

## Complaint Management

The complaint management procedures apply to clients and potential clients.

Boerse Stuttgart cats GmbH is obliged to establish effective and transparent policies and procedures for the handling of complaints.

The established internal procedures serve the purpose to handle the complaints promptly.

### How may a complaint be filed?

The client or potential client may hand in a complaint in writing (letter), by phone or via email.

**In writing:**       Boerse Stuttgart cats GmbH  
                          Beschwerdemanagement  
                          Börsenstraße 4  
                          70174 Stuttgart

**By phone:**       +49 711/ 222 985 250

**Via E-Mail:**       [catshelp@boerse-stuttgart.de](mailto:catshelp@boerse-stuttgart.de)

The following details help us to process the complaint accordingly:

- contact details of the complainant
- description of the facts of the complaint
- relevant documents, if any
- if the complaint is filed in the name of another person: proof of power of representation

### How are complaints processed?

Boerse Stuttgart cats GmbH will provide the client with a timely confirmation regarding the receipt of the complaint. Depending on the complexity of the case, the processing of the complaint may require a certain amount of time. However, the processing of a complaint and the response to the client will take no longer than 15 working days. In case no response should be possible within this period of time, the client will be informed about the circumstances leading to the delay as well as the estimated date as to which the ongoing investigation of the case will be finished.

### Which alternative means of dispute resolution are available?

The client may file a complaint with the German Supervisory Authority for Financial Services (Bundesanstalt für Finanzdienstleistungsaufsicht – BaFin).

The address is as follows:

Bundesanstalt für Finanzdienstleistungsaufsicht  
Marie-Curie-Straße 24-28  
D-60439 Frankfurt am Main

The client also has the opportunity to take legal action.