

## **COMPLAINTS MANAGEMENT POLICY**

### **Disclosure Statement**

This Disclosure Statement, is supplemental to the MUFG Securities EMEA plc (“**MUS(EMEA)**”, “**we**”, “**our**” or “**us**”) / MUFG Securities (Europe), N.V. (“**MUS(EU)**”, “**we**”, “**our**” or “**us**”) **Terms of Business** and thus forms part of the terms of the contract between us and you. Please let us know, as soon as possible, if there is anything that you do not understand.

Each of the terms that appear in bold is defined in Section 5 (Definitions) of this document. Other terms used and capitalised are defined in the Terms of Business.

#### **1. Introduction**

MUS(EMEA) / MUS(EU) operate a Complaints Policy (the “**Policy**”) that is in accordance with the requirements of the EU Markets in Financial Instruments Directive II (“**MiFID II**”) and the rules of the relevant competent authority (Financial Conduct Authority (“**FCA**”) or Autoriteit Financiële Markten (“**AFM**”).

MUS(EMEA) / MUS(EU) are committed to providing a fast and efficient service for its customers and have a zero tolerance of any form of behaviour that would lead to a complaint. However, there may be instances where you may not be satisfied with the products or services we have provided. To address this, we have a complaints policy which we use to investigate and resolve all complaints from **Clients** and potential clients. We will handle all complaints promptly, fairly, fully and in good faith.

Should you wish to make a complaint, please contact your MUS(EMEA) / MUS(EU) contact directly. Alternatively you can send your complaint to [complaints@uk.mufg.jp](mailto:complaints@uk.mufg.jp).

#### **2. Scope**

The Policy is endorsed by the firm’s management body and applies to complaints relating to all MUS(EMEA) / MUS(EU) business by Clients and potential clients. It does not distinguish between **Professional Clients** and **Eligible Counterparties**.

#### **3. Procedure**

Your MUS(EMEA) / MUS(EU) contact will be the first point of contact for handling your complaint. However, should you wish to address your complaint to another person, you can contact the Compliance Officer via [complaints@uk.mufg.jp](mailto:complaints@uk.mufg.jp)

Your MUS(EMEA) / MUS(EU) contact will send you written confirmation of receipt of your complaint, without undue delay. This letter will include the name and title of the member of staff who will be handling the complaint. If the complaint can be resolved within three business days following receipt, we will send you a final response by that time. Where we are unable to resolve the

issue within this timeframe, your MUS(EMEA) / MUS(EU) contact will advise you of this and provide a revised timeframe for resolution.

We will endeavour to inform you about the progress we are making in solving the complaint on an ongoing basis and will send you a final response to your complaint within 4 weeks. Unfortunately, there may be circumstances where it is not possible to resolve your complaint within 4 weeks. If this is the case, we will provide you with a new timeframe.

#### 4. **Contact**

Should you have any questions about the Policy or about a complaint that you have made to MUS(EMEA) / MUS(EU), please do not hesitate to contact us via your MUS(EMEA) / MUS(EU) contact or via the email address listed above.

#### 5. **Definitions**

**Client** – means Professional Client and/or Eligible Counterparty.

**Eligible Counterparty** – means a client categorised as a per se eligible counterparty or elective eligible counterparty in accordance with the rules of the relevant competent authority (FCA or the AFM).

**Professional Client** – means a client categorised as a per se professional client or an elective professional client in accordance with the rules of the relevant competent authority or the AFM.

**Terms of Business** – means the terms of business between MUS(EMEA) / MUS(EU) and you, the client which sets out the terms on the basis of which we provide services to you