

# Complaint Form

## 1 Complaining party

Surname/Forename  
Address, Postcode, Town  
Country  
E-Mail  
Date of complaint

## 2 Subject of complaint

- Portfolio management
- Investment consulting
- Acceptance and forwarding of orders regarding one or more financial instruments
- Securities and financial analysis or general recommendations in any other form that concern transactions with financial instruments
- Execution of orders on the customer's behalf

Description of the asserted breach of duty by the asset management company

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## 3 Claim of the complaining party towards the asset management company

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#### 4 Information on the procedure

If possible, the complaint should be submitted electronically to the e-mail address provided in Attachment 3, Section 2. Swiss Capital Wealth Management (Liechtenstein) AG will take every effort to collect and examine all relevant evidence and information concerning the complaint. The complainant will receive a statement concerning their complaint within 20 days.

The complainant has the option to also bring the matter before the Liechtenstein Conciliation Board, whose contact details are given below. However, it is recommended to wait for the statement from Swiss Capital Wealth Management (Liechtenstein) AG before doing so.

##### **Liechtenstein Conciliation Board (Liechtensteinische Schlichtungsstelle)**

Dr. Peter Wolff, lawyer  
PO Box 343  
Mitteldorf 1  
9490 Vaduz

Telephone +423 238 10 30  
Fax +423 238 10 31  
info@schlichtungsstelle.li

The Conciliation Board is neither a court of law nor does it have any power to impart justice. It does however promote talks between the parties and proposes a possible solution to them. Since the parties are not bound by the Conciliation Board's proposal, they are free to accept it or to take other measures, such as legal action.

#### 5 To be filled in by the asset management company

Date on which the complaint was received

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Date on which the answer to the complaining party was sent

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Result of processing the complaint

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