Appendix 7

Complaint Form

For submitting a complaint

to PLEXUS Investments AG, 9491 Ruggell

[info@plexusinvestments.com](mailto:info@plexusinvestments.com)

Complaint Form

# Complaintant

Name/First Name

Address/Postcode/Place of Residence

Country of Residence

E-Mail

Date of Complaint

# Subject of Complaint

* + Portfoliomanagement
  + Investment Advice
  + Acceptance and transmission of orders involving one or more financial instruments
  + Execution of orders on behalf of the client
  + Securities and financial analysis or other forms of general recommendations concerning transactions in financial instruments.
  + Advising companies on capital structuring, industry-specific strategy and related matters, and providing advice and services on mergers and acquisitions of companies
  + Description of the alleged breach of duty by the asset management company:

…

# Claim of the Complainant against the Asset Management Company

…

# Information on the Procedure

If possible, the complaint should be submitted electronically to the above-mentioned e-mail address. The asset management company will endeavour to collect and examine all relevant evidence and information relating to the complaint. The complainant will receive a response to his/her complaint within 20 days.

In addition, the complainant has the option of taking his or her complaint to the conciliation body below. However, it is recommended to wait for the statement of the asset management company first.

**Conciliation Board of Liechtenstein:**

Dr. Peter Wolff, Lawyer

Landstrasse 60   
Postfach 343  
9490 Vaduz

Phone +423 220 20 00

Fax +423 220 20 01

info@schlichtungsstelle.li

The conciliation board is neither a court nor does it have jurisdiction. Rather, it promotes discussion between the parties involved and submits a negotiated 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.

# To Be Completed by the Asset Management Company

Date Complaint Received

Date Reply to Complainant

Result of Complaint/Handling