

**Within the meaning of Article 4(3) of Regulation (EU) 2019/1156 of the European Parliament and of the Council of 20 June 2019 to facilitate the cross-border marketing of collective investment undertakings and amending Regulations (EU) No 345/2013, (EU) No 346/2013 and (EU) No 1286/2014**

### Complaint management

DJE Investment S.A. is committed to provide the best possible service to investors in its managed funds (“Investors”) at all times. If investors are nevertheless not satisfied, they have the right to file a complaint. DJE Investment S.A. has set up a complaints office for this purpose with the aim of ensuring that complaints are processed transparently and promptly.

Further information on the complaints management can be found in the complaints management document published on the website [www.dje.de](http://www.dje.de).

To enforce their rights investors may take legal action through ordinary courts or if such a court is available, they may also initiate proceedings for alternative dispute resolution.

### Out-of-court settlement of disputes

Investors have the right to file an application for out-of-court settlement of a complaint with the competent supervisory authority, the Commission de Surveillance du Secteur Financier (CSSF).

(<https://www.cssf.lu/de/kundenbeschwerden/>)

### Consumer arbitration board

DJE Investment S.A. has committed itself to participate in dispute resolution proceedings before a consumer arbitration board for its cross-border managed funds in accordance with German law.

In the event of disputes consumers may call upon the “Ombudsstelle für Investmentfonds” of the BVI Bundesverband Investment und Asset Management e.V. as the competent consumer arbitration board. DJE Investment S.A. participates in dispute resolution proceedings before this arbitration board.

The contact details of the “Ombudsstelle für Investmentfonds” are:

Office of the BVI Ombudsman

Bundesverband Investment und Asset Management e.V.

Unter den Linden 42

10117 Berlin

Telefon: +49 30 6449046-0

Telefax: +49 30 6449046-29

E-Mail: [info@ombudsstelle-investmentfonds.de](mailto:info@ombudsstelle-investmentfonds.de)

[www.ombudsstelle-investmentfonds.de](http://www.ombudsstelle-investmentfonds.de)

Consumers are natural persons who invest in the fund for a purpose that can predominantly be attributed neither to their commercial nor to their independent professional activity, i.e. who act for private purposes.

### EU online dispute resolution platform

In the event of disputes in connection with sales contracts or service contracts concluded electronically, consumers can also turn to the EU’s online dispute resolution platform ([www.ec.europa.eu/consumers/odr](http://www.ec.europa.eu/consumers/odr)). For this

purpose, the following e-mail can be given as the contact address of DJE Investment S.A.: [info@dje.lu](mailto:info@dje.lu).

The platform is not itself a dispute resolution body but merely puts the parties in contact with a competent national dispute resolution body.

The right to appeal to the courts remains unaffected by a dispute resolution procedure.

### Right of revocation pursuant to Section 305 of the German Investment Code (Kapitalanlagegesetzbuch)

If the purchaser of units of an open-ended investment fund has been determined by oral negotiations outside the permanent business premises of the person who sold the units or brokered the sale to make a declaration of intent to purchase, he shall be bound by this declaration only if he does not revoke it in text form within a period of two weeks with the management company or a representative within the meaning of Section 319 of the German Investment Code (“KAGB”); this shall also apply if the person who sold the units or brokered the sale has no permanent business premises. In the case of distance selling transactions, Section 312g (2) sentence 1 number 8 of the German Civil Code shall apply

The timely dispatch of the notice of revocation shall be sufficient to comply with the time limit. The revocation period shall not begin to run until the copy of the application to conclude the contract has been handed over to the purchaser or a purchase invoice has been sent and the copy or the purchase invoice contains information on the right of revocation that satisfies the requirements of Article 246 (3) sentences 2 and 3 of the Introductory Act to the German Civil Code. If the commencement of the period is disputed in accordance with section 305 (2) sentence 2 KAGB, the burden of proof shall be on the seller.

The right of withdrawal does not exist if the seller proves that

1. the buyer is not a consumer within the meaning of § 13 of the Civil Code or
2. he has visited the purchaser for the negotiations leading to the sale of the shares on the basis of a prior appointment pursuant to Section 55 (1) of the Trade, Commerce and Industry Regulation Act (Gewerbeordnung).

If the revocation has been made and the purchaser has already made payments, the management company is obliged to pay the purchaser, if necessary concurrently with the retransfer of the purchased units, the costs paid and an amount corresponding to the value of the units paid for on the day following receipt of the notice of revocation.

The right of revocation may not be waived.

The above provisions on the right of revocation relating to the purchase of investment units shall apply accordingly to the sale of units by the investor.

**Annulment of cross-border distribution**

Funds of DJE Investment S.A. may have been notified for distribution in different EU member states. Investors' attention is drawn to the fact that DJE Investment S.A. may decide to discontinue the arrangements it has made for the distribution of the units of its collective investment undertakings pursuant to Article 93a of Directive 2009/65/EC and Article 32a of Directive 2011/61/EU.

**Model declaratory actions**

In the event of disputes with DJE Investment S.A., consumers domiciled in Germany have the right to participate in collective redress in the form of a model declaratory action pursuant to Section 606 of the German Code of Civil Procedure (ZPO).

**DJE Kapital AG**

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Signatory of:

