

# Complaint Management

04/2025

DJE Kapital AG attaches great importance to offer you at any time the best possible service. Please do not hesitate to contact us if you are not satisfied with our service.

A complaint is defined as any statement of dissatisfaction that a client or interested party addresses to DJE Kapital AG regarding an investment service or an ancillary investment service.

In Order to investigate your request and to resolve it, we need the following information:

- Your name and your address or email address
- Your phone number where you can be reached during the day
- The best time for you to call
- Description of your concern including dates, amounts and other useful information
- Your proposal or request to resolve the issue

**Please use the following possibilities to submit your complaint:**

**By letter:**

DJE Kapital AG  
Compliance  
Pullacher Str. 24  
82049 Pullach  
Germany

**By e-mail:** send an email to [beschwerdemanagement@dje.de](mailto:beschwerdemanagement@dje.de)

**This is how your complaint will be handled:**

**Fast and individual solution**

We strive to answer your complaint promptly and without any delay. A confirmation of receipt is sent when the complaint management process is initiated. A confirmation of receipt will not be sent if the complaint is answered verbally or in writing on the same day. We set ourselves a deadline of 10 working days for processing the complaint. We consider every complaint and develop an individual solution. In doing so we conduct research to obtain all necessary information. If we need more time to respond to the complaint, we will send you an interim information stating the expected processing time.

**Reply**

We will inform you about the details and the result of our investigation in our response letter. We would also be pleased to discuss the result with you personally.

**Measures to be taken**

If your complaint reveals a deficiency in our organization, appropriate measures will be introduced and implemented immediately to prevent a recurrence of the complaint.

**Procedure to settle a dispute for private investors**

Die DJE Kapital AG has joined the ombudsmans's office of the Association of Independent Asset Managers (Verband unabhängiger Vermögensverwalter e.V.). Private investors/clients have the possibility to call the ombudsman's office to settle disputes with the company. Disputes can be resolved by an independent and neutral arbitrator. Requests for arbitration should be sent in writing to the office of the VuV-Ombudsstelle, Stresemannallee 30, 60596 Frankfurt am Main, Germany.

Further information on the ombudsman office and its procedure can be found at <https://vuv-ombudsstelle.de/>

You also have the option to file a civil lawsuit.

**Supervisory authority**

Alternatively, you can submit a complaint to the Bundesanstalt für Finanzdienstleistungsaufsicht (German Federal Financial Supervisory Authority/ BaFin). Complaints should be sent to the BaFin by letter, fax or email and should include the facts and the reason for the complaint.

Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)  
Marie-Curie-Str. 24-28  
60439 Frankfurt am Main  
Germany  
Fax: +49(0)228 4108-1150  
Email: [poststelle@bafin.de](mailto:poststelle@bafin.de)