

CLAIM AND COMPLAINT FORM

1.- COMPLAINANT'S DATA

| | | | | | |
|--------------|--|-------------------------------|----------|-------------|-----------------|
| SURNAME | | FIRST NAME (or BUSINESS NAME) | | | (Tax) ID number |
| Full Address | | City | Province | Postal Code | COUNTRY |
| Phone number | | Email | | | |

In the case of CONSUMERS' AND USERS' ASSOCIATIONS

| | |
|---|--|
| Registration Number in the State Registry of Consumers' and Users' Associations | |
|---|--|

ADDRESS FOR NOTIFICATION PURPOSES (if different from the complainant)

| | | | | | |
|--------------|--|-------------------------------|----------|-------------|---------|
| SURNAME | | FIRST NAME (or BUSINESS NAME) | | | |
| Full Address | | City | Province | Postal Code | COUNTRY |
| Phone number | | Email | | | |

1 bis.- OTHER CO-OWNERS' DATA (if applicable)

| | | |
|---------|-------------------------------|----------------------|
| SURNAME | FIRST NAME (or BUSINESS NAME) | (Tax) ID number/code |
| SURNAME | FIRST NAME (or BUSINESS NAME) | (Tax) ID number/code |
| SURNAME | FIRST NAME (or BUSINESS NAME) | (Tax) ID number/code |

2.- REPRESENTATIVE'S DATA (if applicable) (and corresponding power of attorney)

| | | | | | |
|--------------|--|-------------------------------|----------|-------------|----------------------|
| SURNAME | | FIRST NAME (or BUSINESS NAME) | | | (Tax) ID number/code |
| Full Address | | City | Province | Postal Code | COUNTRY |
| Phone number | | Email | | | |

In the case of CONSUMERS' AND USERS' ASSOCIATIONS

| | |
|---|--|
| Registration Number in the State Registry of Consumers' and Users' Associations | |
|---|--|

ADDRESS FOR NOTIFICATION PURPOSES (if different from the representative)

| | | | | | |
|--------------|--|-------------------------------|----------|-------------|---------|
| SURNAME | | FIRST NAME (or BUSINESS NAME) | | | |
| Full Address | | City | Province | Postal Code | COUNTRY |
| Phone number | | Email | | | |

3.- DATA OF ENTITY AGAINST WHICH THE COMPLAINT HAS BEEN FILED

| | | | | |
|---------------------------|--|------|----------|-------------|
| BUSINESS NAME | | | | |
| OFFICE OR BRANCH NUMBER : | | | | |
| Full Address | | City | Province | Postal Code |

4.- REASON FOR THE COMPLAINT

A.- THE COMPLAINT IS ABOUT: (select one of the following options)

A.1.- INVESTMENT PRODUCTS * (enter, if available, the following data)

* Shares, debt obligations, structured bonds, convertible bonds, preferred shares, swaps, warrants, etc.

| Product name | ISIN Code | Description |
|--------------|-----------|-------------|
| | | |

REASONS

| Marketing | Buy and sell orders | Advice | Fees | Other |
|-----------|---------------------|--------|------|-------|
| | | | | |

A.2.- INVESTMENT FUNDS (or collective investment) (enter, if available, the following data)

| Fund or CIS name | ISIN Code | Description |
|------------------|-----------|-------------|
| | | |

REASONS

| Marketing | Subscriptions - redemptions | Advice | Fees | Other |
|-----------|-----------------------------|--------|------|-------|
| | | | | |

A.3.- ABOUT PORTFOLIO MANAGEMENT CONTRACTS

A.4.- INCIDENTS RELATED TO THE PURCHASE OR SALE OF SECURITIES

A.5.- ABOUT ONLINE TRANSACTIONS

A.6.- ABOUT TESTAMENTARY DISPOSITIONS

A.7.- OTHER

B. Specify the REASON for the claim or complaint: (you must provide a copy of any documents or records that substantiate the information given)

B.4.1.- YEAR when the facts that caused the dispute occurred:

B.4.2.- DATE the complaint was submitted to the entity's Customer Service Department or Ombudsman ^{(1) (2)}

⁽¹⁾ or Ombudsman, where appropriate

⁽²⁾ Proof that the complaint has previously been submitted to the entity's Customer Service Department or Ombudsman and that either a month has elapsed without a response or that the response given has been contested by the complainant.

Indicate whether:

C.1.- NO complaints or claims have been filed in relation to the facts with any other administrative, arbitral or judicial body

C.2.- I have NOT submitted a complaint about this matter to CNMV

5.- I WOULD LIKE TO SUBMIT THE FOLLOWING TO CNMV:

Select an option:

A CLAIM ⁽¹⁾

A COMPLAINT ⁽²⁾

⁽¹⁾ Claims shall be considered those made by users of financial services in relation to specific facts or actions or omissions by financial institutions with a view to obtaining compensation to the detriment of the user's interests or rights, which the latter considers have been harmed by breaches on the part of the entities against which the complaint has been made, of the regulations on transparency and customer protection or of good financial practices and usage. (*Order ECC/2502/2012, of 16 November*).

⁽²⁾ Complaints shall be considered those made by users of financial services regarding delays, neglect or any other failing in the actions of the financial institutions against which the complaint has been filed. (*Order ECC/2502/2012, of 16 November*).

....., **20.....**

SIGNATURE

COMPLAINANT / REPRESENTATIVE

Documentation provided (please tick the appropriate box):

Power of attorney

Document presented to the Entity's Customer Service Department (or Ombudsman)

Entity's Customer Service Department (or Ombudsman) response

Copy of the agreements related to the transaction to which the complaint relates

Other documents supporting the complaint:

| |
|--------------------------|
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |

SEND YOUR CLAIM / COMPLAINT TO: INVESTOR DEPARTMENT / CNMV / Calle Edison, 4, 28006 Madrid.

The SPANISH NATIONAL SECURITIES MARKET COMMISSION (CNMV) hereby informs you that your personal data collected through this document will be processed. Therefore, as the owner of such data, you must read this **basic information on data protection** (widely developed in our **Privacy and Data Protection Policy** which can be found at: [CNMV - Legal note](#))

| | |
|-----------------------|--|
| Data controller | CNMV (Tax Identification code (CIF)), Calle Edison nº 4, 28006 Madrid. Data Protection Officer: may be contacted using this link: CNMV - Exercise of rights |
| Purpose | To identify you as the person authorised to make this request, to carry out the actions deemed appropriate related to the request, as well as to send you the relevant communications that may arise as a result of your request. |
| Legal basis | The CNMV is entitled to process the data as the mission carried out is in the public interest, in the exercise of the public powers conferred on it and in order to comply with applicable legal obligations. |
| Recipients | The CNMV departments strictly involved in assessing your request. The essential data will only be transferred for the strict purpose of evaluating your request. Your data may be communicated to administrative or judicial authorities, the Public Prosecutor's Office, ESMA and other regulators and supervisors in the event of a legal obligation to this effect. Any international personal data transfers outside the EU shall be duly legitimised. |
| Data retention period | The data will be kept for the period of time necessary to process this request, to provide for the possible liabilities that may arise from this purpose and the processing of the data, in addition to the periods of retention of documents established in the regulations on files and Spanish documentary heritage. |
| Rights | As the owner of the data requested in this document, you may exercise your rights of access, rectification, deletion and portability of your data, as well as limitation and objection to their processing. You have the right to file a complaint with the Spanish Data Protection Agency in the event that you consider that your rights over your personal data have been violated. If you consider it appropriate, you may previously contact the CNMV Data Protection Officer. All of this by using the procedure detailed at the following link: CNMV - Exercise of rights . |