

# **Online filing of complaints**

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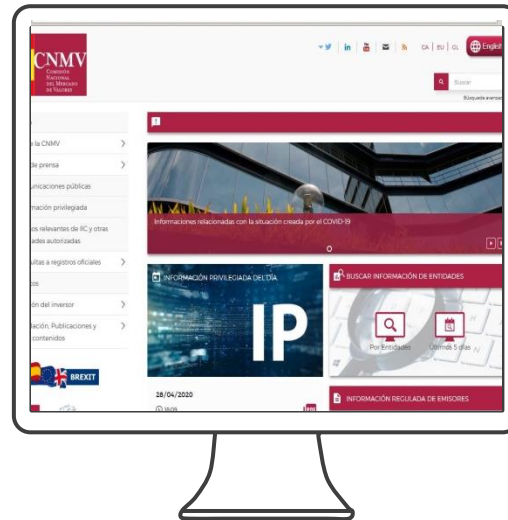
**The Complaints Service**

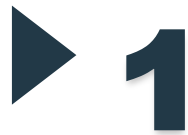


**The Complaints Service would like to remind investors that they have an online procedure at their disposal for filing complaints.**

## ► The procedure is very simple

You only have to follow four steps that are indicated for initiating a quick, safe and easily accessible procedure through your electronic devices.





**Access the investors website and the section “How to file a complaint”**

http://www.cnmv.es

ver favoritos Herramientas Ayuda


Relevant information on CIS and other authorised entities

Registration files >

Prospectuses

**Investors and financial education** >

Legislation, Publications and other content >

 BREXIT

## INVESTORS AND FINANCIAL EDUCATION

Home

### LATEST NEWS

- 21/07/2021  
The CNMV has published its quarterly bulletin for the second quarter of 2021
- 07/07/2021  
The CNMV temporarily suspends the on-site filing of documentation at the registry of its head office in Barcelona

### COMPLAINTS

Home > Investors and financial education

- Who can file a complaint and why?
- How to file a complaint**
- Criteria applied when settling a complaint
- The FIN-NET Network

▶ **2**

**Click on the link “Submit your complaint by electronic means”**

Firstly, you must consult the Customer Care Service or Customer Ombudsman for the entity. The address of these services must be available in their offices or on their website. You can also consult it on the CNMV website. If you do not agree with the response received, or if you have not received a reply after a month have passed, you can submit a complaint to the Complaints Service through the following channels:

- Submit your complaint by **electronic means** by telematic means, through the CNMV Virtual Office, using either their digital certificate or digital DNI (national identity document), or their username and password, investors may consult the guide or see the explanatory video.
- Submit a **form** addressed to the Complaints Service: C/ Edison, 4, 28006 Madrid - C/ Bolivia 56, (4<sup>a</sup> Planta) 08018 Barcelona.

There is also an investor assistance service telephone number you can call: 900 535 015.



**3**

**Create a user Id. with your email address or using a valid online identification method**



The complainant can choose to:

- Create a user Id. with their email address
- Use a digital certificate or DNI (national identity document)
- Verify their identity through the use of a p@ssword

ACCESO A RECLAMACIONES INDIVIDUALES, QUEJAS O CONSULTAS

Presentación y seguimiento de reclamaciones individuales, quejas y consultas de inversores

sin certificado ni DNI electrónico

Correo <sup>1</sup>


Repita el Correo


Clave <sup>2</sup>


<sup>1</sup> Su dirección de correo  
<sup>2</sup> Clave, de al menos 8 posiciones, que usted debe elegir en el primer acceso y que utilizará en accesos sucesivos

Asegúrese de tener acceso a la dirección de correo introducida, en ella recibirá un código de verificación necesario para finalizar el proceso

[¿Olvidó su clave?](#)

Con certificado o DNI electrónico 

Identidad Electrónica mediante Cl@ve 





**4**

**Complete the form, attach the documentation and send it.**

## The complainant must:

- Complete the form
- Attach the files with the documentation (proof of the prior complaint filed with the entity and other supporting documents)
- Send the complaint



Inicio Cerrar sesión

### RECLAMACIONES Y QUEJAS DE INVERSORES

Reclamante Representante Domicilio a efectos de notificación Entidad reclamada Datos reclamación Documentación

#### Datos del Reclamante

Tipo de Persona \* -- Tipo de Documento \* Núm Documento \*

Nombre \*

Primer Apellido \*

Segundo Apellido \*

En caso de ASOCIACIONES DE CONSUMIDORES Y USUARIOS

Nº de inscripción registral en el Registro Estatal de Asociaciones de Consumidores y Usuarios \*

Tipo de Vía \* -- Seleccione --

Número \* Piso \* C.P. \*

Localidad \* Provincia \* País \* -- Seleccione --

Teléfono \* Correo electrónico \*

#### Datos de otros cotitulares (si procede)

Tipo de Persona -- Tipo de Documento -- Núm Documento \*

Nombre \*

Primer Apellido \*

Segundo Apellido \*

Añadir Cotitular

Siguiente

Upon submission of the complaint, complainants can access the case file via the CNMV's virtual office through the same method used to file the complaint (using the same user Id. and password or the other online identification methods)

The screenshot displays the CNMV website interface. On the left, a navigation menu includes the following items: 'Hechos relevantes de IIC y otras entidades autorizadas', 'Consultas a registros oficiales', 'Folletos', 'Sección del inversor', and 'Legislación, Publicaciones y otros contenidos'. Below the menu are logos for 'BREXIT', 'FINTECH', and 'FINANZAS SOSTENIBLES'. The 'sede electrónica CNMV' logo is circled in red with a hand cursor pointing to it. On the right, a section titled 'Informaciones relacionadas con la situación creada p...' contains a banner for 'INFORMACIÓN PRIVILEGIADA DEL DÍA' with the letters 'IP' in large white font. Below the banner, two news items are listed: one dated 28/04/2020 at 18:09 about 'AENA, S.M.E., S.A.' regarding business and financial situation, and another dated 28/04/2020 at 18:06 about 'AENA, S.M.E., S.A.' regarding results.

## ▶ Advantages of electronic processing

01

### **IMMEDIACY OF THE NOTIFICATIONS**

The notifications of the Complaints Service are sent by email. The complainant has easy access to the notifications through the link provided in the email or on the CNMV's virtual office.

02

### **VISUALISATION OF THE PROCESSING STATUS**

The complainant immediately knows the processing status of the case file by simply accessing it on the CNMV's virtual office.

03

### **STREAMLINE THE FILING OF DOCUMENTS**

The complainant can attach the necessary documentation by accessing the case file on the CNMV's virtual office, when the status of the case file is other than "in the process of verification".

# **SIMPLIFY BY USING ONLINE COMPLAINTS**

