

# COMPLAINTS FORM



MAIESTAS

MAIESTAS ASSET MANAGEMENT AG  
[www.maiestas.li](http://www.maiestas.li)

# COMPLAINTS FORM

For submitting a complaint to Maiestas Asset Management AG,  
Austrasse 59, FL-9490 Vaduz, Liechtenstein, E-Mail: [contact@maiestas.li](mailto:contact@maiestas.li).

## 1. Complainant

Surname, First name

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Address, postal code, city

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Country of domicile

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E-Mail

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Date of the complaint

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## 2. Subject of the complaint

Portfolio management

Investment advice

Acceptance and forwarding of orders that have one or more financial instruments as their object

Executions of orders in the name of the Client

Securities analysis and financial analysis or other forms of general recommendations pertaining to transactions with financial instruments directly servicing the Client.

Consultancy of companies concerning capital structuring, sector-specific strategy and questions in this field, as well as consultancy and services in connection with company mergers and acquisitions.

Description of the asserted breach of duty by the asset management company:

## 3. Claim brought by the complainant against the asset management company.

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## 4. Information on the proceedings

The complaint should, if possible, be submitted using the aforementioned e-mail address. The asset management company shall endeavor to compile and to assess all relevant evidence and information relating to the complaint. The complainant shall receive a response to his complaint within 20 days.

The complainant also has the opportunity to submit his complaint to the below-specified arbitration body. Complainants are recommended, however, to wait for the asset management company to respond to the issues raised.

Liechtensteinische Schlichtungsstelle (Liechtenstein Conciliation Board)

Dr. Peter Wolff, Attorney-at-Law

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The Conciliation Board is not a court of law, nor does it have the authority to issue legal judgements. Instead, it promotes a dialogue between the involved parties, and submits a negotiating solution to them. As the parties are not bound by the proposal made by the Conciliation Board, they remain free to accept this or to take other, for example legal, measures.

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## 5. To be completed by the asset management company

Date of receipt of the complaint

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Date of reply sent to the complainant

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Result of the processing of the complaint

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