

NBC Global Finance Limited Complaints Handling Process

NBC Global Finance Limited (“**NBCGF**” or the “**Firm**”) is an investment firm regulated and supervised by the Central Bank of Ireland. NBCGF has in place an internal Complaints Management Policy (“**Policy**”), which sets out how the Firm deals with any complaints made. In addition to the Policy, the Firm have published this document to you in order to assist in the complaints handling process.

The Firm wishes to ensure that all our clients or potential clients receive a service which accords with their best interests. Where a client or potential client expresses dissatisfaction with a service provided or a service offered, the Firm will seek to ensure that the matter is investigated and resolved as quickly as possible. In particular, the Firm ensures that:

- Clients’ complaints are dealt with fairly and timely and that any problems are resolved as quickly as possible, with minimum fuss;
- Where it has not been possible to resolve a problem, the client feels that the Firm has handled the problem in a courteous, fair, and prompt manner; and
- The Firm’s objective in dealing with any complaints is to respond fully to the issues raised and at the same time endeavour to bring the case to a conclusion, efficiently and promptly.

Point of Contact to make a Complaint

Complaints may be made by you or by a legal representative or other third party acting on your behalf, and may be made to the Firm in writing or verbally. All such complaints should be provided to our Chief Compliance Officer:

Conor Doyle

Chief Compliance Officer

Email: conor.doyle@nbcgf.ie

Complaints Handling Process

On receipt of a complaint, the Firm will do the following:

1. Firstly the Firm will provide the client with a copy of the Complaints Handling Process;
2. The Firm will acknowledge the complaint in writing on receipt of the complaint;
3. The complaint will be actively investigated by the Firm and the Firm will attempt to investigate and resolve the complaint within in a reasonable timeframe;
4. All correspondence in relation to the complaint will be retained for seven years from the date that the Firm’s relationship with the client ends; and
5. The Firm will provide information about the subject matter of the complaint to the Central Bank of Ireland (the “**Central Bank**”) if requested to do so by the Central Bank or where the client has referred the complaint to the Central Bank.

Free of Charge Process

The client will be able to submit their complaint free of charge.