



Vogt Asset Management

Attachment 7

Complaints Form

For lodging a complaint with Vogt Asset Management AG, Zweistäpfle 6, Postfach 140, 9496 Balzers, Liechtenstein

Submissions can be sent to the following email address: compliance@vam.li

Complaints Form

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1. Complainant

Surname, First name

Address, postal code, city

Country of domicile

E-Mail

Date of the complaint

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

...

4. Information on the proceedings

The complaint should, if possible, be submitted using the aforementioned e-mail address compliance@vam.li. Vogt Asset Management AG (short: VAM) 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 VAM to respond to the issues raised.

Liechtensteinische Schlichtungsstelle (Liechtenstein Conciliation Board)

Dr. Peter Wolff, Attorney-at-Law

P.O. Box 343

Landstrasse 6

9490 Vaduz

Telephone +423 220 20 00

Fax +423 220 20 01

info@schlichtungsstelle.li

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.

Place, date

Complainant's signature

5. To be completed by the asset management company

Date of receipt of the complaint

Date of reply sent to the complainant

Result of the processing of the complaint

Place, date

Signature of the person responsible for VAM