

Investor Rights and Complaint Management

Summary of Investor rights and Complaint Management

Your satisfaction is very important to us, therefore Universal-Investment-Gesellschaft mbH (“Universal Investment”) has set up a complaints office for all its fund investors to contact if you wish to complain or voice criticism. We will promptly confirm receipt of each complaint and process it timely. We will then inform you about the further procedure regarding your concern.

The processing is free of charge for you. You can file a complaint in English, German, or, in the case of an EU-UCITS, in the official language of your EU Member State.

You can reach us in the following ways:

Universal-Investment-Gesellschaft mbH
Beschwerdestelle/ Complaints Office
Theodor-Heuss-Allee 70
60486 Frankfurt am Main
Germany

e-mail: beschwerde@universal-investment.com

In order to enforce your rights, you can also take legal action before the ordinary courts or also initiate an alternative dispute resolution procedure. More information about the procedure can be found here.

In addition to possible individual claims, you also have the option of registering your claims in the register of actions if and to the extent that a model declaratory action exists. Within the framework of a model declaratory action, institutions authorized by the German Federal Office of Justice can have claims or legal relationships between consumers and companies determined by the court. These bodies include, but are not limited to, consumer associations.

After the public announcement of the model declaratory action on the website of the Federal Office of Justice, you can register your claims or legal relationships, which depend on the declaratory objectives of the model declaratory action for entry in the register of claims. The registration is free of charge.

Further information on the model declaratory judgement procedure and the public announcements in the complaints register can be found under [BfJ - Verfahren für Verbraucher \(bundesjustizamt.de\)](#).

For certain civil disputes, such as claims for damages due to incorrect, misleading or omitted public capital market information or failure to inform about this, there is also the possibility of registering claims within the framework of capital investor model proceedings.

Once the model plaintiff has been announced in the register of model proceedings in the electronic Federal Gazette (www.bundesanzeiger.de), persons who have not yet brought an action for the same claim can register their claim with the responsible Higher Regional Court. The applicant must be represented by a lawyer.

Furthermore, it is possible to complain to the German Federal Financial Supervisory Authority (BaFin). This possibility exists if you would have the impression that Universal-Investment-Gesellschaft mbH violates legal regulations.

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Germany

For more information about the procedure, please visit www.bafin.de.

Contact

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