

Principles of the  
complaint management  
of the  
ICM InvestmentBank AG

## CUSTOMER COMPLAINTS POLICY

The satisfaction and trust of our customers are our highest priority. It is important to us to give you the opportunity to express criticism when something is not completely to your satisfaction. We have therefore set up a complaints office and provided measures for complaint management.

### Complaints should be directed to:

**ICM InvestmentBank AG**

**Dep. Compliance**

**- confidential –**

**Weintraubengasse 2**

**90403 Nürnberg**

**Tel. +49-(0)911-20 650-30**

**Fax. +49-(0)911-20 650-50, 51**

**[v.linzmeier@i-c-m.de](mailto:v.linzmeier@i-c-m.de)**

Of course you can always contact your local contact person or use our Contact form on our website.

### For the processing of complaints we need the following information:

- Complete contact details of the complainant (address, telephone number, e-mail address if applicable)
- Description of the facts
- Purpose of the complaint (e.g. correction of an error)
- If necessary, copies of the documents facilitating the understanding of the process

### Approach of complaints procedures

The complainant receives an acknowledgment. An answer will be given, depending on the complexity of the complaint, within a reasonable time after the complaint has been received. If the complaint can be dealt with quickly, the complainant will receive an answer instead of the acknowledgment.

For you as a customer, this service is of course free.

In case we would not be able to resolve the issue in our dialogue with you to your satisfaction, you always still have the opportunity to contact the **arbitration service for asset finance disputes arising from financial service agreements in writing**

VuV-Ombudsstelle  
Stresemannallee 30  
60569 Frankfurt  
Telefax: +49 69 66055019  
Email: [contact@vuv-ombudsstelle.de](mailto:contact@vuv-ombudsstelle.de)

You can also contact the Federal Financial Supervisory Authority (in German: **Bundesanstalt für Finanzdienstleistungsaufsicht -BaFin**) in writing or by their online portal

**Bundesanstalt für Finanzdienstleistungsaufsicht** (Federal Financial Supervisory Authority)  
Graurheindorfer Straße 108  
53117 Bonn  
Telephone: +49 (0) 228 / 4108 - 0  
Fax: + 49 (0)228 4108-1550  
Email: [poststelle@bafin.de](mailto:poststelle@bafin.de)  
[www.bafin.de](http://www.bafin.de)

You can also undertake legal action.

These principles are reviewed regularly.

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Your ICM InvestmentBank AG