



COMPLAINT FORM

Version 02.2019

1 Complainant

Name/first name

Address, postcode, place of residence

Country of residence

E-mail

Date of complaint

2 Recipient of the complaint

Compliance-function of
IMT Asset Management AG

Company name

Austrasse 56, 9490 Vaduz

Address, postcode, place

Liechtenstein

Country

asset@imt.li

E-mail

3 Object of the complaint

- Portfolio management
- Investment advice
- Reception and transmission of orders in relation to one or more financial instruments
- Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments
- Execution of orders on behalf of the customer

Description of the alleged breach of duty by IMT Asset Management AG:

4 Complainant's claim against IMT Asset Management AG

5 Information on the procedure

The complaint should be sent electronically, if possible, to the e-mail-address stated above. IMT Asset Management AG will endeavour to collect and examine all relevant evidence and information regarding the complaint. The complainant will receive a response to the complaint within 20 days.

The complainant has the additional possibility to take the matter to the Conciliation Board, the address of which is stated below. It is recommended, however, that the complainant should wait for a reply from IMT Asset Management AG before approaching the Conciliation Board.

Conciliation Board of Liechtenstein

Dr. Peter Wolff, Attorney-at-Law

PO Box 343

Mitteldorf 1

9490 Vaduz

Telephone +423 238 10 30

Fax +423 238 10 31

info@schlichtungsstelle.li

The Conciliation Board is neither a court of law, nor does it have the authority to make judicial rulings. Instead it promotes discussion between the parties involved and submits a negotiated solution to them. Since the parties are not bound by the proposal from the Conciliation Board, they are free to either accept it or to take other steps, for example legal measures.

6 To be filled by IMT Asset Management AG

Date when complaint was received

Date when response was submitted to complainant

Result of complaint processing