LB≡BW VC

Complaint Management Principles

of LBBW Venture Capital GmbH (LBBW VC)

I. Foreword

Your satisfaction is our top priority. It is important to us that you have the opportunity to express criticism and concerns. We have therefore established a complaints office and implemented measures for complaints management. The aim of our complaints management is to ensure that complaints are handled appropriately and in a timely manner. Incoming complaints are evaluated in order to identify and remedy recurring errors or issues.

With these principles, we provide you with an overview of the process for handling your complaints.

II. Complaints Handling Procedure

(1) All (potential) individuals, organisations or companies that are affected by a service or business activity of LBBW VC may submit a complaint.

(2) Responsibility for handling complaints lies with the complaints management function of LBBW VC. You may submit complaints to LBBW VC electronically, in writing, or orally.

Complaints submitted electronically may be sent to the email address:

future@lbbwvc.de

For written complaints, please contact:

LBBW Venture Capital GmbH
Beschwerdemanagement
Königstraße 10c
70173 Stuttgart

(3) To process your complaint, we require the following information:

- Your full contact details (address, telephone number, and, if applicable, email address);
- Description of the matter;
- Statement of the request and/or what you wish to achieve with the complaint (e.g. correction of an error, improvement of services, clarification of a disagreement);
- Copies of any documents required to understand the matter (if available);
- If you contact us in the name and on behalf of another person, proof of your authorisation to represent that person.

(4) As a rule, you will receive an acknowledgement of receipt of your complaint from us. If we are able to handle and conclude the complaint promptly, you will receive a response instead of an acknowledgement of receipt. Depending on the complexity of the complaint, our response will be provided within a reasonable period after receipt of the complaint. If we do not fully uphold your complaint, you will receive a clear explanation of the reasons

(5) Unfortunately, it may sometimes occur that we are unable to find a satisfactory solution for you. For the settlement of disputes with LBBW VC, you may submit a written complaint to Landesbank Baden-Württemberg:

Landesbank Baden-Württemberg (LBBW)
Beschwerdemanagement (2173/H)
70144 Stuttgart

You may also contact the consumer arbitration board established at the Association of Public Banks in Germany (VÖB). The complaint must be submitted in text form to:

Bundesverband Öffentlicher Banken Deutschlands (VÖB)
Verbraucherschlichtungsstelle
Postfach 110272
D-10832 Berlin
E-Mail: ombudsmann@voeb-kbs.de
Internet: www.voeb.de

Further details are governed by the rules of procedure of the aforementioned arbitration board, which can be provided upon request. LBBW VC participates in the dispute resolution procedure before this recognised consumer arbitration board.

Furthermore, you may submit a complaint to the German Federal Financial Supervisory Authority (Bundesanstalt für Finanzdienstleistungsaufsicht – BaFin). The complaint to BaFin should describe the facts of the case and state the reason for the complaint. The addresses are:

Bundesanstalt für Finanzdienstleistungsaufsicht
Graurheindorfer Straße 108
D-53117 Bonn

and

Bundesanstalt für Finanzdienstleistungsaufsicht
Marie-Curie-Straße 24-28
D-60439 Frankfurt am Main

III. Other Notes

(1) The handling of complaints is free of charge

(2) These principles are reviewed at regular intervals.