

## Neuberger Berman Europe Limited – Complaint Handling Process

Effective – 3<sup>rd</sup> January 2018

Neuberger Berman Europe Limited (“NBEL”) takes all instances of client complaints very seriously, and as such has processes in place to ensure expeditious investigation and resolution.

Where the complaint handling process makes references to “clients”, this reference is also equally applicable to “potential clients”.

Any client complaints received by NBEL will be dealt with in an impartial manner by the firms’ Compliance Department, who may contact the client for additional information as necessary, in order to ensure the complaint is handled as diligently as possible.

The assessment of the Compliance Department will seek to determine –

- The subject matter of the complaint
- Whether the complaint should be upheld
- What remedial action and/or redress may be appropriate; and
- Whether there are reasonable grounds to be satisfied that another respondent may be solely or jointly responsible for the matter alleged in the complaint.

All complaints received will be dealt with promptly, and clients will be contacted to acknowledge receipt and provide them with progress thereafter without undue delay if the complaint cannot be resolved immediately.

Complaints received will be handled free of charge.

Once all factors relevant to the complaint have been considered, NBEL will communicate its decision to the client, informing the client of the outcome and all options available to the client to resolve the matter which has been raised.

Client complaints may be submitted in writing to:-

The Chief Compliance Officer  
Neuberger Berman Europe Limited  
Lansdowne House  
57 Berkeley Square  
London W1J 6ER  
United Kingdom

Or by e-mail to:-

[NBELCompliance@nb.com](mailto:NBELCompliance@nb.com)

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