

Neuberger Berman Europe Limited Complaint Handling Process

Effective Date - April 2022

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.

A complaint is any expression of dissatisfaction, whether justified or not, about NBEL or its appointed agents’ provision of, or failure to provide a financial services activity.

Where the complaint handling process refers 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 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 following:

- 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 written acknowledgment providing assurance that NBEL has received the complaint, will be provided to the client along with a point of contact. If the complaint cannot be resolved immediately, the client will be kept informed of the progress in a timely manner.

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 verbally, in writing or by e-mail to:

<p style="text-align: center;">NBEL The Chief Compliance Officer Neuberger Berman Europe Limited The Zig Zag Building 70 Victoria Street London SW1E 6SQ United Kingdom E-mail: NBELCompliance@nb.com</p>
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The Financial Ombudsman Service (“FOS”) is also available for [Eligible Complainants](#) of NBEL to refer their complaints to, free of charge, should they remain dissatisfied with the NBEL’s response. Please note that a

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complainant (other than a trustee of a pension scheme trust) who was a [Professional Client](#) or an [Eligible Counterparty](#) in relation to NBEL and the activity in question at the time of the act or omission that is the subject of the complaint is not considered an Eligible Complainant.

The FOS is a statutory dispute resolution scheme set up under Part XVI and Schedule 17 of the Financial Services and Markets Act 2000 (as amended).

Complaints to the FOS need to be made within six years of the event complained of (or three years from the date on which the complainant became aware, or ought reasonably to have become aware, that they had cause for complaint) and within six months of the final response from NBEL. Some exemptions to these [time limits](#) are available.

Further information on the FOS is available using its contact details below:

- Website: <https://www.financial-ombudsman.org.uk/>
- Tel: 0800 023 4567
- Email: complaint.info@financial-ombudsman.org.uk