

Neuberger Berman Europe Limited Complaint Handling Procedure

Effective Date - November 2024

Neuberger Berman Europe Limited ("NBEL") takes client complaints seriously and has established a procedure to fairly and promptly investigate, respond and resolve complaints.

A complaint is any oral or written expression of dissatisfaction, whether justified or not, about NBEL's provision of, or failure to provide a financial service activity. The reference to clients in this procedure includes potential clients.

Complaints received will be handled free of charge.

Client complaints may be submitted to:

The Chief Compliance Officer
Neuberger Berman Europe Limited
The Zig Zag Building
70 Victoria Street
London SW1E 6SQ
United Kingdom
Email: NBELCompliance@nb.com

Any client complaints received by NBEL will be dealt with impartially by the Compliance Department, who may contact the client for additional information as necessary, to ensure the complaint is handled diligently.

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.

NBEL will send a written acknowledgment providing assurance that it received the complaint and is dealing with it.

If the complaint cannot be resolved immediately, the client will be kept informed of the progress of the measures being taken for the complaint's resolution.

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.

If NBEL fails to provide an adequate timely response or if the client is dissatisfied with the final resolution of the complaint, and the client is an [eligible complainant](#), they may be able to refer it to the Financial Ombudsman Service ("FOS"). This must be done within six months of the date of the final response.

The FOS is a free and independent dispute resolution scheme set up by Parliament, to resolve individual complaints between UK financial services companies and their clients,

For further information on the FOS:

Website: <https://www.financial-ombudsman.org.uk/>

Telephone: 0800 023 4567

Email: complaint.info@financial-ombudsman.org.uk