Complaint Form

for submitting a complaint by post or email to:

Luxor Asset Management Trust reg., Landstrasse 8, FL-9496 Balzers
E-Mailadresse: info@luxor.li

Complainant

_____

Name, First Name

_____

Adress, Postal code, City

_____

Country of Residence

_____

Email Address

_____

Date of Complaint

Subject of Complaint

- ☐ Portfolio management
- ☐ Investment advice
- ☐ Reception and transmission of orders in relation to one or more financial instruments
- ☐ Execution of orders on behalf of the client
- ☐ Investment research and financial analysis or other forms of general recommendations relating to transactions in financial instruments, directly serving client relationship management
- ☐ Advice to undertakings on capital structuring, industry-specific strategy and related matters, as well as advice and services relating to mergers and acquisitions

Description of the alleged breach of duty by the Asset Management Company:

_____
_____
_____
_____
_____
_____
_____
_____

Claim by the Complainant against the Asset Management Company

_____
_____
_____
_____
_____

Information on the Complaint Procedure

Where possible, complaints should be submitted electronically to the email address stated above. The Asset Management Company will endeavour to gather and review all relevant evidence and information relating to the complaint. The complainant will receive a response to their complaint within 20 days.

The complainant also has the option of referring their matter to the conciliation board listed below. However, it is recommended that the complainant first await the response from the Asset Management Company.

Liechtenstein Conciliation Board
Dr. Peter Wolff, Rechtsanwalt
Postfach 343
Landstrasse 60
9490 Vaduz

Telephone +423 220 20 00
Fax +423 220 20 01
info@schlichtungsstelle.li

The Conciliation Board is neither a court nor does it have judicial authority. Rather, its role is to facilitate dialogue between the parties involved and to propose an amicable settlement. As the parties are not bound by the Conciliation Board's proposal, they are free to accept it or to pursue other measures, including legal action.

To be completed by the Asset Management Company

_____

Date of Complaint

_____

Date of Response to the Complainant

_____

Outcome of the Complaint Handling Process