



Client Information and Complaint Handling Policy

May 2025

This policy from New Alpha Asset Management, part of the La Française Group, aims to outline the process for monitoring and handling customer inquiries and complaints. The goal is to continuously improve the quality of the products and services we offer to our clients.

Last update: May 2025

First, get in touch with your usual advisor.

We would like to remind you that for any inquiries or complaints, you should first reach out to your advisor, who is your primary contact for the product in question. If needed, you can also contact us afterward. Please follow the guidelines outlined below for this process.

Summary

I. *Who can contact us?* 4

II. *How to contact us?*..... 4

III. *Processing times* 6

IV. *Handling complaints* 6

V. *Personal data protection*..... 10

I. Who can contact us?

Holders of financial instruments managed or designed by New Alpha Asset Management can reach out to us with any questions or concerns regarding these products, including performance, net asset value, regulatory documents, and more.

Clients who receive investment services from the company (such as investment advice or order reception and transmission) can also reach out to us with any questions or complaints regarding the investment services provided.

If you have any questions about a service or financial instrument provided by New Alpha AM, please feel free to reach out to us using the contact information provided below.

II. How to contact us?

- ***By phone or fax at the following number:***

New Alpha Asset Management – Service Clients

Phone number: +331 44 56 10 00

- ***By mail to the following address:***

Groupe La Française - New Alpha AM

Address: 128 boulevard Raspail 75006 PARIS

- ***By email to the following addresses:***

Addresses: reclamations@newalpha.net

reclamations.clients@la-francaise.com

Regarding complaints, a specific processing system is put in place and described below in section IV. The processing of your requests/complaints is done at no cost.

In the subject of your letter or email, please make sure to specify the nature of your request using the following terminology:

- The service or product in question
- Request for regulatory documents
- Request for information / explanation / clarification
- Complaint (dissatisfaction) regarding a financial instrument or a service provided.
- Other requests

We would like to highlight that you can reach out to us by phone for any information you may need. However, in case of dissatisfaction for your part, the phone is not an option for submitting your complaints to Groupe La Française. Instead, they require a written record of the reasons for your dissatisfaction (via mail or email) in order to better understand the nature of your complaint and provide you with a better solution. Assistance.

III. Processing times

If you contact us by email: you will receive an acknowledgment of receipt for your request.

If you contact us by any other means, you will not receive an acknowledgment of receipt for your request unless it concerns a complaint received by mail: in this case, an acknowledgment of receipt will be sent to you within 10 days maximum, unless the response to your complaint has already been sent to you.

Your request concerns a complaint:

Maximum timeframe: 2 months from the date the complaint is sent, as indicated by the postmark.

You will be kept updated on the progress of the processing of your claim, especially if there are any special circumstances that prevent the Groupe La Française from meeting the maximum timeframe of 2 months that they have committed to.

The deadlines start from the sending of the complaint to the New Alpha Asset Management service. The postmark serves as proof for mail received by postal means.

IV. Handling complaints

What is a complaint

A complaint is a statement expressing a customer's dissatisfaction with a professional, regardless of who they are addressing it to.

A request for information, opinion, clarification, service, or provision is not a complaint.

Reminder: the phone is a means for you to contact us for any information request. However, in case of dissatisfaction on your part, the phone is not a method chosen by Groupe La Française to handle your complaints. In impact, In This Hello, We require a written explanation of your dissatisfaction (by mail or email) in order to better understand the nature of your complaint and provide you with better service.

Processing of the complaint

Your complaint will be handled by the Customer Relations Departements.

The Compliance Department of Groupe La Française may participate in validating the response to your complaint to ensure that you receive an appropriate answer that complies with regulations and respects your interests.

What should you do if you're not satisfied with the response from Groupe La Française regarding your complaint?

If, after the various discussions with Le Groupe La Française, you are not satisfied with the response to your complaint, you can contact either:

- Crédit Mutuel Mediator, or at
- The AMF ombudsman is the public mediator responsible for handling all complaints related to financial instruments.

Please note that your choice is final for this claim. The La Française Group has chosen its own mediator, namely the mediator of Crédit Mutuel, who is a corporate mediator.

You can contact the Mediator of Crédit Mutuel:

By mail:

The Mediator of Crédit Mutuel

63, Antoine Pardon Path
69160 Tassin La Demi-Lune
France

By using the form provided on the website for submitting your application online.

Please visit : www.lemediateur-creditmutuel.com

Below, you will find more information about the mediation service:

Who is the Mediator of Crédit Mutuel?

The Credit Mutuel Mediator is an independent and impartial person selected for their skills and experience.

What types of disputes should you use the Mediator for?

You can reach out to the Credit Mutuel Mediator if you are an individual acting for personal reasons and not for professional purposes. This applies to any disputes that fall under the legal scope of banking mediators as defined by law, primarily those related to:

- Regarding your account agreement, its operation, its fees, closing, and transferring of the account.
- Sales of "bundled" products or services (meaning they are purchased together for a single, often flat-rate price);
- Sales of products or services that come with "bonuses" (meaning they offer you financial or in-kind benefits for free).
- This includes the proper execution by the bank of contracts related to the following products and services: credit operations, savings products, financial services, and any activities associated with these services and products.
- When selling insurance contracts

Mediation process

If your request is accepted and once we receive the documents supporting your application, the Mediator will inform you, either electronically or by regular mail, about the start of the mediation process and its commencement date. Please note that the parties can withdraw from the process at any time.

The Mediator communicates, at the request of either party, all or part of the documents in the file. The Mediator is free to meet with the parties together or separately.

If any situation arises that could impact the Mediator's independence, impartiality, or create a conflict of interest, the Mediator will promptly inform the parties involved, as well as their right to object to the continuation of the mediation. If one of the parties chooses not to proceed with the mediation as a result, the Mediator's mission will be terminated.

The Mediator cannot receive any instructions from the parties.

What is the Mediator's response time?

You will receive the Mediator's proposal by mail within a maximum of 3 months after receiving your request. This timeframe may be extended in the case of a complex dispute.

For more information about the Mediator of Credit Mutuel, we invite you to read the Mediation Charter:

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www.newalpha.net

New Alpha Asset Management, société par actions simplifiée au capital de 2 435 540 €
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l'AMF sous le n° GP 05000001 du 20/01/2005 · www.amf-france.org



You can find the mediation charter for Credit Mutuel at the following link: https://www.lemediateurcreditmutuel.com/partage/fr/CC/Mediateur/references/charte_mediation_credit_mutuel.pdf or visit the Mediator's website at <https://www.lemediateur-creditmutuel.com/>

Or to visit the Mediator's website (<https://www.lemediateur-creditmutuel.com/>)

You can also contact the Mediator of the Financial Markets Authority (AMF) under the following conditions:

In writing:

Financial Markets Authority (AMF)

*17, Place de la Bourse
75082 PARIS CEDEX 02
FRANCE*

By electronic form (link below)

The AMF Mediator intervenes in any complaint that falls within their area of expertise.

Selling financial products,
Portfolio management,
Sending and receiving stock orders,
Securities account or PEA, etc.

When should you contact the Mediator? Please visit the AMF website at amf-france.org.

How does the mediation process work?

The mediation process is free of charge. Each party presents their observations and analysis of the dispute to the Mediator, providing if applicable, a legible copy of the supporting documents in their possession (account opening agreement, management mandate, subscription form, transaction notices, periodic statements, management reports, correspondence exchanges, screen captures, etc.). The procedure is conducted in writing and allows for both parties to present their arguments. The Mediator may also convene the parties to a meeting. In all cases, the Mediator seeks an amicable solution that is accepted by both parties. They indicate whether they agree with this solution. If they do, the Mediator ensures its effective implementation. The gatherings can ... Edit Or make a decision At everything instant to interrupt the procedure.

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V. Personal data protection

According to the law n°78-17 of January 6, 1978, relating to information technology, files, and freedoms, it is specified that the personal data collected is mandatory for processing customer requests/complaints, and as such, it will be processed by Le Groupe La Française.

This data may be used for the purposes related to processing customer requests/complaints. It may also be shared with third parties when necessary for processing customer requests/complaints.

Individuals whose data is being processed have the right to request access to it from Groupe La Française, located at 128 boulevard Raspail 75006 PARIS. They also have the right to request corrections if necessary and to object to the use of their data for marketing purposes, including commercial use.

New Alpha Asset Management:

New Alpha Asset Management is a management company approved by the AMF under registration number GP-05000001 since January 20, 2005.

The approvals of companies can be consulted on the websites: www.amf-france.org