



NEWALPHA ASSET MANAGEMENT

Policy for handling customer enquiries or complaints

November 2021

Foreword

First of all, contact your usual advisor.

We remind you that for any request for information or complaint, you must first contact your advisor who remains your main contact for the product in question.

You may also contact us at a later stage. To do so, follow the policy described below.

I. Who can contact us?

Holders of financial instruments managed or designed by the La Française Group may contact us for any question or complaint relating to these products (performance, net asset value, regulatory documents, etc.).

Clients to whom La Française Group companies provide an investment service (investment advice, order reception/transmission, etc.) may also contact them with any questions/complaints relating to the investment service provided.

If you have any questions about a service or a financial instrument provided by the La Française Group, you can contact us as described below.

- **by telephone or fax at the following numbers :**

La Française – Service Clients & Partenaires:

Telephone : +331.53.62.40.60

Fax : +331.44.56.11.03

- **by post to the following address :**

La Française – Service Clients & Partenaires

Address : 128 boulevard Raspail 75006 Paris - FRANCE

For complaints, a special processing system has been set up and is described below in point IV.

The processing of your requests / complaints is free of charge.

II. How to contact us?

By email	reclamations.clients@lafrancaise-group.com
By mail	La Française- Service Clients & Partenaires 128 boulevard Raspail 75006 Paris FRANCE

In the subject line of your letter/email, it is important to indicate the nature of your request using the following terminology:

- The company concerned (in this case New Alpha Asset Management)
- The service or product concerned
- Request for regulatory documents

- Request for information / explanation / clarification
- Complaint (dissatisfaction / dissatisfaction) about a financial instrument or a service provided
- Other requests

Please note that the telephone is a means of contacting us for any request for information. However, in the event of dissatisfaction on your part, the telephone is not a method chosen by the La Française Group to deal with your complaints. In this case, a written record of the reasons for your dissatisfaction is required (by mail or e-mail), in order to better identify the subject of your complaint and to provide you with a better service.

III. Processing times

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

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

Your request concerns a regulatory document: annual accounts, monthly reporting, prospectus, information note, etc.	Maximum time: 8 working days to send the latest published documents
Your request concerns general information.	Maximum time limit: 10 working days
Your request concerns a complaint.	Maximum time limit: 2 months

Deadlines run from the date of receipt of the request by La Française Group. A system of time stamps on the request allows us to monitor compliance with these processing times.

IV. Le traitement des réclamations

What is a complaint?

A complaint is a statement that the customer is dissatisfied with the trader.

A request for information, advice, clarification, service or performance is not a complaint.

Processing the complaint

Your complaint is handled by the Customer Relations Departments. The Compliance Department of the La Française Group may participate in the validation of the response to your complaint in order to ensure that you receive an appropriate response that complies with the regulations and respects your interests.

What should you do if you are not satisfied with the response from the La Française Group to your complaint?

If you are not satisfied with the response to your complaint following the various exchanges with the La Française Group, you can contact the :

- Crédit Mutuel Mediator, or
- AMF Mediator, the public mediator competent for all complaints concerning financial instruments.

Please note that your choice is final for this complaint.

La Française Group has chosen its own mediator, namely the Crédit Mutuel Mediator, who is a company mediator.

You can contact the Crédit Mutuel Mediator:

- By post

Mr. Mediator of Crédit Mutuel
MR SCHILLINGER
63, chemin Antoine Pardon
69160 Tassin La Demi-Lune

- By using the form available on the website to submit your case online:
www.lemediateur-creditmutuel.com

You will find below more information about the mediation service:

Who is the Crédit Mutuel Mediator?

The Crédit Mutuel Mediator is an independent and impartial person who has been chosen for his skills and experience.

Mediation process

As soon as he receives the documents on which your request is based, the Mediation officer informs you, by e-mail or by post, of the opening of the mediation procedure and its starting date, reminding you that the parties may withdraw from the process at any time.

The Mediator shall, at the request of one of the parties, communicate all or part of the documents in the file. The Mediator is free to receive the parties together or separately.

In the event of any circumstance likely to affect his independence or impartiality or likely to create a conflict of interest, the Mediator shall inform the parties without delay, and shall inform them of their right to object to the continuation of his mission. If one of the parties consequently refuses to continue the mediation, the Mediator's mission is terminated.

The mediator may not receive any instructions from the parties.

How long does the Mediator have to respond?

You will receive the Mediator's proposal by post within a maximum of 3 months of receiving your request.

For more information about the Crédit Mutuel Mediation officer, please read the Mediation Charter or visit the Mediation officer's website, accessible from the La Française Group website (www.la-francaise.com/fr/service-clientele/).

You may also contact the Mediator of the Autorité des Marchés Financiers (AMF) under the following conditions:

- By post :
Autorité des marchés financiers (AMF)
Médiation
17, place de la Bourse
75082 PARIS CEDEX 02
- By electronic form (link below)
<http://www.amf-france.org/Formulaires-et-declarations/Epargne-Info-Service/Demande-une-mediation.html>

The AMF Ombudsman deals with any complaint that falls within his remit:

- marketing of financial products,
- portfolio management,
- transmission and reception of stock market orders
- securities or PEA account keeping, etc.

How does the mediation procedure work?

The mediation procedure is free.

Each of the parties submits to the Mediation officer his observations and analysis of the dispute, producing, if necessary, a legible copy of the supporting documents in his possession (account opening agreement, management mandate, subscription form, transaction notices, periodic statements, management reports, exchange of letters, screen copies, etc.). The procedure is adversarial and written. The Ombudsman may also call the parties to a meeting. In all cases, he seeks an amicable solution that is accepted by both parties. The parties indicate whether they agree with this solution. If so, the Mediator ensures that it is actually implemented. The parties may modify it or decide at any time to interrupt the procedure.

V. Protection of personal data

In application of the amended law n°78-17 of 6 January 1978 relating to information technology, files and freedoms, it is specified that the personal data collected is mandatory for the processing of customer

requests/complaints, and that as such, it will be processed by the La Française Group.

This data may be used for the purposes of processing the client request/complaint. It may also be communicated to third parties when this is necessary for the processing of the customer request/complaint.

The persons to whom the data relates have the right to obtain information from the La Française Group, 128 boulevard Raspail 75006 Paris FRANCE, to demand, if necessary, that it be rectified and to oppose its use for commercial prospecting purposes.

Appendix: Agreements of La Française Group Companies

The Customer & Partner Service of La Française is competent for all questions/complaints relating to New Alpha Asset Management

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

The approval of the companies can be consulted on the following websites:

- www.amf-france.org
- www.acpr.banque-france.fr
- www.orias.fr



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