

Konwave AG		
Konwave Investor Complaint Policy		
Creation	17. Februar 2025	
Valid from	17. Februar 2025	
Replaced	New	

# Konwave Investor Complaint Policy

## 1. Purpose & Scope

This Investor Complaints Policy describes the procedures for receiving, handling and resolving complaints in a fair, transparent and efficient manner. It applies to all investors who have dealings with Konwave AG and covers complaints relating to investment products, services or interactions with our representatives.

## 2. Definition of a Complaint

A complaint is any written or verbal communication from an investor expressing dissatisfaction with our products, services or business behaviour. Complaints may relate to:

- Fund performance or investment returns
- Fees, costs or commissions
- Service quality or delays
- Compliance with regulatory requirements

## 3. Submission of complaints

Investors can submit complaints via the following channels:

- E-Mail: [info@konwave.ch](mailto:info@konwave.ch)
- Phone: +41 71 352 59 40
- Post: Konwave AG, Obstmarkt 1, CH-9100 Herisau

## Complaints Should Include the Following Information:

- Name and contact details of the investor
- Fund details
- A clear description of the complaint
- Relevant supporting documents

#### **4. Complaint Handling Procedure**

1. Acknowledgment: Complaints will be acknowledged within 3 business days.
2. Investigation: A thorough review will be conducted by the compliance function of Konwave AG.
3. Response: A resolution will be communicated within 10 business days. If additional time is required, the investor will be informed of the expected timeframe.

#### **5. Escalation Process**

If the investor is dissatisfied with the resolution, the complaint can be escalated to:

- Swiss Banking Ombudsmann, Bahnhofplatz 9, CH-8021 Zürich

#### **6. Confidentiality & Data Protection**

All complaints will be handled with strict confidentiality, and personal data will be processed in accordance with applicable data protection laws.

#### **7. Record-Keeping & Reporting**

All complaints and resolutions will be documented and retained for at least 10 years in compliance with regulatory requirements.

#### **8. Review & Updates**

This policy will be reviewed periodically and updated as needed to reflect regulatory changes and best practices.

For questions regarding this policy, please contact [info@konwave.ch](mailto:info@konwave.ch)