

Theta Capital Management B.V.

Complaints Handling Procedure

Theta Capital Management B.V. (Theta) Is committed to providing the best quality service to its clients. If you are not satisfied with our financial services and/or products, please let us know so we can find a satisfactory solution for you.

Below is a description of our procedure for filing complaints, as well as the options you have if we seem unable to find a solution agreeable to both of us.

What can you complain about?

You can inform us of any dissatisfaction you have about our financial services and/or products, whether that relates to interaction with Theta team members, quality of services/products or for example perceived (material/non-material) damage you have been subject to in relation to our services/products.

How can you file a complaint?

- i. Any initial dissatisfaction with Theta can always be shared with your contact person at Theta; face-to-face, via the phone, digitally or via any other medium. They will try their utter best to resolve your dissatisfaction fast and in a satisfactory manner.
- ii. If it is impossible to reach agreement with your contact at Theta and you insist on filing a formal complaint, to ensure as much objectivity by Theta in further handling your complaint you can do so via the following email address:
compliance@ThetaCapital.com.

When can you complain?

We request you to file your complaint with us as soon as possible after you discover or reasonably should have discovered the matter you are complaining about. The maximum term for filing your complaint is one year.

How long does a response to my complaint take?

Theta will acknowledge your complaint within 3 business days via the email address you use to file the initial complaint. Depending on the complexity of the complaint, Theta aims to provide a first response within 5 business days of the initial reception of the complaint. Where needed due to the complexity of the complaint, Theta will request for an additional time window for a second response to your complaint via email to you.

Are there any costs for filing a complaint?

No, filing a complaint is free of charge.

What if your complaint is not solved satisfactorily?

If the internal resolution by Theta to your complaint is not satisfactory, you are free to follow up and file a complaint with the District Court of Amsterdam, the Netherlands. And of course you can inform the relevant regulator/supervisory authority in case of specific complaints.

Accessibility

If you experience any accessibility barriers or need content in an alternative format, please contact us: compliance@ThetaCapital.com