

# Handling of Complaints

## AXA Investment Managers Asia Limited

AXA Investment Managers Asia Limited continuously strives to provide you with the highest quality of service possible.

However, aware that problems can sometimes arise, our complaint handling management framework is there to help you.

Our framework has two main objectives:

- **Improve customer satisfaction** through a reasonable and quick handling of complaints we receive.
- **Improve our products, procedures, and the operation of our organisation.** By identifying weaknesses and potential problems, complaint monitoring helps us to implement the appropriate corrective action needed.

The purpose of this document is to explain how to submit a complaint. It is also designed to inform you on our commitments and provide you with all helpful information about our complaint handling procedure and available remedies you have.

### Do you have a complaint?

A complaint is a **declaration of your dissatisfaction** with AXA Investment Managers Asia Limited in relation to one of the investment services provided to you (asset management / investment advice), to the subscription of one of our fund or to its legal documentation.

Any request sent to AXA Investment Managers Asia Limited for information, clarification or any opinion, service or benefit requested will be handled by our teams without being considered as a complaint.

## **How to submit your complaint?**

1/ - You may submit your complaint at any time using the different ways below. Our teams will seek to reach a solution:

**By e-mail** at the address below, specifying in the subject of your message that it is relating to a complaint:

[complaintaxaimasia@axa-im.com](mailto:complaintaxaimasia@axa-im.com)

**By post** to the following address:

AXA Investment Managers Asia Limited  
Suites 3603-05, One Taikoo Place,  
Taikoo Place, 979 Kings Road, Quarry Bay, Hong Kong

**By telephone** (no surcharge):

AXA Investment Managers Asia Limited  
From Hong Kong: 2285 2000  
Outside Hong Kong: +852 2285 2000

(You may be asked for a written confirmation by e-mail or post.)

2/ - If you subscribed to one of our fund on the advice of an intermediary who does not belong to the AXA Investment Managers Group, please kindly submit your complaint directly to this financial institution.

Contact information for the complaint department is generally available on the website of the entity in question.

Otherwise, and if an AXA Investment managers entity or product is involve, our staff can act as a relay with this intermediary. For this purpose, your complaint must include the name of this institution as well as any helpful information that you may have so that your complaint can be handled efficiently.

## **Our Commitments**

We are committed to provide a free, fast and transparent complaint handling and as efficient as possible to find a solution that satisfies you.

## **Timeliness**

AXA Investment Managers Asia Limited is committed to handle client complaints within the following timeframe:

- An acknowledgement of receipt of your complaint no later than 2 business days after the receipt;
- Maximum of 30 days between the date of your complaint receipt and the date when the response is sent to you, unless a special circumstance occurred that is duly justified to you.

## **Transparency**

We promise to respond to any information requested with regards to the progress of your complaint handling. We will also keep you informed when, due to special circumstances, we are unable to provide a response within the promised timeframe.

## **Efficiency**

Our different departments have the necessary resources and expertise for a fair and consistent complaints handling from our customers or prospects.

AXA Investment Managers Asia Limited has set up a Policy of complaints' handling and controls are in place in order to identify any dysfunction and to follow the implementation of the remedial actions plan associated if any.

## **Referral to the Hong-Kong Financial Dispute Centre Limited (“FDRC”)**

- If based on the outcome of AXA Investment Managers Asia Limited investigations, you are not satisfied, or
- If you have not received our final response after more than 60 days;

You have the right to refer the complaint to the Financial Dispute Resolution Centre Limited (“FDRC”) for monetary disputes up to HK\$ 500,000.