

## **Braemar Securities España, S.A Complaints Disclosure**

Braemar Securities España, S.A. (“**BSE**”) is a company incorporated in Spain, company number ESA21827993, and regulated by the Comisión Nacional del Mercado de Valores (CNMV), Firm Reference Number XXXX.

While BSE maintains the highest professional standards when working with our clients, there may be occasions where you may wish to make a complaint. In doing so we shall address your problem and ensure there is no repetition of the issue.

### **How to submit a complaint?**

1. Any query should be raised with your normal contact at BSE. We will always endeavour to resolve your issue in this way before you raise a complaint.
2. If our responses do not resolve the issue in hand to your satisfaction, you have the right to raise an official complaint to our Compliance team.
3. We shall promptly send you a written acknowledgement that your complaint has been received and will deal with your complaint efficiently and effectively, and to do so we established necessary procedures.
4. We politely request that complaints are made in writing to **Compliance** either via email to [compliance@braemar.com](mailto:compliance@braemar.com) or via mail to:

#### **Compliance**

Paseo de la Castellana, 31,

Edificio Pirámide,

28046

Madrid

- a. Please include the following information to help assist BSE to address your complaint, please include where possible: Name of complainant
- b. Address of complainant
- c. Full details of the complaint, including but not limited to:-
  - Date and time of the event causing the complaint.
  - Name of BSE employee if any with whom you have discussed the matter.
  - Compliant Description.

## Complaints Resolution

- 1 BSE will ensure you are kept informed of the progress of the measures being taken for resolution of the complaint. Subsequently, BSE will write to you after four weeks if a final decision has not been reached.
- 2 BSE will issue a final response to you within 8 weeks unless further information has been requested from you (the “**Final Response**”).
- 3 However, if your complaint is more complex and requires further investigation by us, we will keep you up to date regarding the progress of investigation, status, and reasons for delay.
- 4 An update will be provided monthly (every four weeks) until the complaint case has been resolved.