

## **Investor Information on Complaints Handling Procedures and the CSSF acting as an out-of-court complaint resolution body**

Ashmore Investment Management (Ireland) Limited (“Ashmore Ireland”), as Management Company to the Ashmore SICAV, has adopted a Complaints Handling Policy. The Complaints Handling Policy sets out how investor complaints will be handled, the responsibilities of the parties involved in the handling of complaints and oversight of complaints handling by the relevant Designated Persons of Ashmore Ireland.

Investors in the Ashmore SICAV should follow the procedure set out below which is designed to comply with Luxembourg laws and regulations.

### **Filing a complaint**

Investors can file a complaint in writing, verbally or by electronic communication to express dissatisfaction. A complaint can be submitted free of charge to the Northern Trust Global Services SE as Administrator and Corporate and Domiciliary Agent of Ashmore SICAV or by contacting Ashmore Ireland directly at the address below.

Northern Trust Global Services SE

Postal Address: FOA Compliance Officer, 10 rue du Château d’Eau, L-3364 Leudelange, Grand Duchy of Luxembourg

Ashmore Investment Management (Ireland) Limited

Postal Address: 32 Molesworth Street, Dublin 2, Ireland

Email: [dp-ireland@ashmoregroup.com](mailto:dp-ireland@ashmoregroup.com)

Telephone: +353 1 5881300

In order to investigate complaints and promptly and thoroughly as possible, please provide the following information:

- Full name of complainant
- Role of complainant on account, such as investor or representative of investor
- Complainant contact details
- Relevant account number(s)
- Detailed description of the complaint
- Documents or other information relating to the complaint
- Any other information considered relevant by the complainant in relation to the complaint

Complaints will, in the normal course of events be acknowledged in writing within five (5) business days of receipt. Where a response to the complaint cannot be provided within this time period, the complainant will be contacted and will be provided with point of contact details for the duration of the investigation into their complaint.

In the ordinary course of events, complaints will be investigated, and the appropriate course of action determined and communicated to the complainant within forty (40) business days of receipt of the complaint.

Where this is not possible or practicable, the complainant will be advised of the anticipated timeframe for completion of any investigation and determination of the appropriate course of action.

Should the investigation be foreseen to take longer than fifteen (15) business days following the date of receipt of the complaint, the complainant shall be informed by Northern Trust Global Services SE of the delay and the cause, as well as the action plan proposed in order to resolve the issue to the satisfaction of the complainant. Where a complainant does not receive a response or is not satisfied with the action plan proposed received, they should contact Ashmore Ireland's Compliance department at the address above who will further consider the matter.

If a complainant remains dissatisfied with the final response, they may refer the matter to the CSSF Out-of-Court Redress process for consideration.

Online: <https://www.cssf.lu/en/customer-complaints/>

By Post: Commission de Surveillance du Secteur Financier, Département Juridique II, 283, route d'Arlon L-2991 Luxembourg

By Fax: (352) 26 25 12601

By Email: [reclamation@cssf.lu](mailto:reclamation@cssf.lu)

Please note that referrals to the CSSF must be filed within one (1) year of a complaint being filed with us.

The CSSF will also accept requests that have been filed via the European Online Dispute Resolution (ODR) Platform <http://ec.europa.eu/odr>

Further details in relation to the CSSF Out-of-Court Redress process and the applicable CSSF Regulations (Number 16-07) and Circular (17/671) can also be found on the CSSF website:

<https://www.cssf.lu/en/customer-complaints/>