
TIKEHAU CAPITAL EUROPE LIMITED

Complaints Handling Procedure

1. Foreword

Tikehau Capital Europe Limited (“TCE”, the “Firm”), a MiFID Investment Firm incorporated and registered in England and Wales (company number 09154248), with its registered office is at 30 St. Mary Axe, London EC3A 8BF, England. TCE is authorised and regulated by the Financial Conduct Authority (“FCA”) under firm reference number 647919.

The Firm has established and maintains a written procedure for the prompt and effective handling of client complaints in accordance with FCA requirements.

A complaint (“Complaint”) is defined as any oral or written expression of dissatisfaction, whether justified or not, from or on behalf of a person who is or has been a client, relating to the provision of, or failure to provide, a financial service or redress by TCE or its representatives. A Complaint may be raised by any party with an interest in the matter, irrespective of an existing or prior contractual relationship. This includes (but is not limited to) clients, former clients, potential clients, their agents or beneficiaries. Routine requests for information, clarification, advice or service are not classified as Complaints unless they contain an expression of dissatisfaction.

In accordance with the FCA’s Dispute Resolution Complaints (“DISP”) Sourcebook, a MiFID complaint covers any dissatisfaction regarding the provision of investment services to a client, whether such client is classified as a Retail Client, Professional Client or Eligible Counterparty. Unlike other DISP provisions, which generally apply only to complaints from eligible complainants, these obligations apply broadly. TCE has notified the FCA that it does not have any eligible complainants.

The Firm is required to establish and maintain a complaints handling policy and procedures to ensure the prompt management of client complaints. The Compliance function is responsible for investigating complaints and twice a year the Firm submits a complaints report to the FCA.

2. Complaints Handling

In the event that a Complaint needs to be raised, there are three levels of recourse available at no cost:

1. Initial Contact

The Firm recommends that clients initially contact their usual TCE representative/contact person. Many issues can be resolved quickly and informally. If you are not satisfied with the response, you can escalate your Complaint as detailed below.

2. Submitting a Complaint to Compliance

If the issue remains unresolved, a Complaint can be sent to TCE’s Compliance department:

- **By email:** compliance-uk@tikehaucapital.com
- **By post:**
Tikehau Capital Europe Limited
Compliance Department



30 St. Mary Axe
London EC3A 8BF
United Kingdom

What to include:

- Your name and contact details
- Your relationship with the firm
- A clear description of your concerns, including key dates
- Any relevant documents or evidence
- How you would like us to resolve the matter

Our commitments:

- **Acknowledgement:** We will acknowledge receipt of your written Complaint within 10 business days from the date you send it, unless we provide a full response within that period.
- **Response:** We aim to provide a response within a maximum of two months from the date you send your written Complaint. If we cannot respond within this timeframe (for example, due to the need to retrieve archives or conduct additional research), we will write to explain the reason for the delay and when you can expect our response.
- **Oversight:** Complaints are overseen by our Compliance function to ensure fair, efficient and effective resolution.

3. If you remain dissatisfied

If you remain dissatisfied with our final response, or if you have not received a final response within eight weeks of us receiving your Complaint, you may be able to refer your Complaint to the Financial Ombudsman Service (“FOS”) free of charge. Whether you can use the FOS depends on your eligibility under FCA rules. Please consult the FOS website for details, including the 6-month time limit for referral following our final response.

Financial Ombudsman Service

Exchange Tower, London E14 9SR. United Kingdom

Phone: 0800 023 4567

<https://www.financial-ombudsman.org.uk>

This procedure does not affect your right to pursue civil action.

Notes:

- “Business days” are UK working days.
- Complaints sent by post are considered received on the postmark date.