



LA FINANCIÈRE
DE L'ÉCHIQUIER



Investor Rights

2021

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Chapter 1. Summary of Investor Rights

1. Background

The paragraph below describes your main rights as an Investor or Potential Investor (“Investor” or “Investors”) in mutual funds (“Funds”) for which La Financière de l’Echiquier acts as an asset management company under the European Regulation on cross-border distribution ((EU) Regulation 2019/1156).

However, this document is not a complete list of these rights. If you wish to obtain more details, please refer to the funds’ regulatory documents.

2. Right to Information about Investments

All Investors have information about the funds in which they are invested or in which they plan to invest. This information specifically includes:

- Regulatory documents
- Annual or half-yearly financial reports
- Monthly reports

All of these documents are available on the asset management company’s website.

Investors may submit any other requests to their usual advisor or the asset management company.

Investors will be notified of any significant change made to the regulatory documents in compliance with applicable regulatory requirements. In addition, these items are included on the Funds page of the asset management company’s website.

3. Right to Redeem Investments

All Investors have the right to redeem their investment following the redemption procedure and schedule set forth in each Fund’s Regulatory Documents.

4. Right to Vote and Right to Attend General Meetings

If the investment is made in a sub-fund of a SICAV (French open-end investment company), each shareholder is entitled to an invitation to attend in person or assign a proxy and vote in the (ordinary or extraordinary) general meetings.

5. Right to File a Claim

La Financière de l’Echiquier agrees to follow the claims procedure as described in Chapter 2 of this document.

Chapter 2. Claims Handling

1. Background

In the course of doing business, La Financière de l'Echiquier (LFDE) may receive messages of dissatisfaction from its clients.

For this reason, LFDE has established a claims handling procedure suited to its organisation.

2. Definitions

a. Claim

A claim is a statement of the client's dissatisfaction with the professional.

The following are not claims :

- Request for information
- Request for advice
- Request for clarification
- Request for a service or delivery

b. Client

This policy pertains to Professional and Non-Professional Clients of La Financière de l'Echiquier.

A person is considered a Client within the meaning of MiFID 2 if LFDE provides an investment, advisory, or discretionary management service, i.e., Private Banking Clients or Institutional Clients who have entrusted LFDE with a management mandate

In addition, Private Banking clients that have subscribed to a life insurance policy in which LFDE acts as broker are also considered Clients within the meaning of this policy.

Finally, by extension, institutional clients investing on their own account in units of an LFDE fund are considered Clients.

All other investors who own a fund managed by the asset management company are invited to contact the financial intermediary through which they subscribed to the funds or the advisor who supplied them with investment advisory or equivalent services.

3. Claims Handling

To submit your claims to us, please write to us at one of the addresses below, according to your situation:

- For Private Banking Clients, we ask that you first contact your private banker, or e-mail us at: GestionClients@lfde.com
- For Institutional Clients, please e-mail us at: Client_Service@lfde.com

You may also submit it via postal mail to:

- FRANCE
LA FINANCIERE DE L'ECHIQUIER – 53 avenue d'Iéna 75116 PARIS – France
- SPAIN
LA FINANCIERE DE L'ECHIQUIER – Calle Jose Abascal 41, 28003 MADRID – España
- ITALY
LA FINANCIERE DE L'ECHIQUIER – via Brera, 3 – 20121 MILANO – Italia
- SWITZERLAND
LA FINANCIERE DE L'ECHIQUIER – Rue du Général Dufour 11 - 1204 GENEVE - Suisse
- GERMANY
LA FINANCIERE DE L'ECHIQUIER – Bockenheimer Landstrasse 51-53 - 60325 Frankfurt am Main – Deutschland

Any claim received in this way will be answered with confirmation of receipt within 10 days. Moreover, we are committed to providing an appropriate response within two months from that date.

4. Possible Remedies

However, if you are dissatisfied with the way in which your claim is handled, you may contact the professional associations of your country to request a mediation procedure.

Addresses, by country, for requesting an out-of-court settlement:

Germany

- Trustee Authority: BaFin - Bundesanstalt für Finanzdienstleistungsaufsicht
- Address: Graurheindorfer Straße 108 - 53117 Bonn – Germany
- Tel.: + 49 (0)228 4108-0
- Website: <https://www.bafin.de>

Belgium

- Association: Ombudsfm
- Address: Ombudsfm North Gate II, Boulevard du Roi Albert II, n°8, bte. 2 / 1000 Bruxelles.
- Tel.: +32 2 545 77 70
- Website: <https://www.ombudsfm.be/fr/entreprises/introduire-une-plainte/>

Italy

- Trustee Authority: Commissione Nazionale Per Le Società E La Borsa
- Address: CONSOB - Consumer Protection Office - Via G. B. Martini, 3 - 00198 Rome (Italy)
- Tel.: +39 06 8416 703 or +39 06 8417 707
- Website: https://www.acf.consob.it/glossario/-/asset_publisher/cThPbj4ayk1c/content/reclamo?inheritRedirect=false

Luxembourg

- Trustee Authority: Commission de Surveillance du Secteur Financier
- Address: CSSF - 283, route d'Arlon - L-1150, Luxembourg
- Tel.: (+352) 26 251 – 2574 – (+352) 26 251 - 2904
- Website: <https://www.cssf.lu/fr/reclamations-clientele/>

Netherlands

- Trustee Authority: Klachteninstituut Financiële Dienstverlening
- Address: Kifid - Postbus 93257 - 2509 AG, DEN HAAG
- Tel.: 070-333 8 999
- Website: <https://www.afm.nl/en/consumenten/themas/klacht>

Spain

- Trustee Authority: Comisionado para la Defensa del Inversor de la CNMV
- Address: CNMV - Torre Serrano Serrano, 47 28001 Madrid
- Tel.: 902 149 200
- Website: <https://www.cnmv.es/Portal/inversor/Como-Reclamar.aspx>

Switzerland

- Association: Swiss Chambers' Arbitration Institution
- Address: SCAI - Boulevard du Théâtre 4, case postale 5039, 1211 Genève 11
- Tel.: +41 22 819 91 57
- Website: www.swissarbitration.org/Ombuds-FIN

Portugal

- Trustee Authority: Comissao do Mercado de Valores Mobiliarios
- Address: CMVM – Rua Laura Alves, n.º4 , 1050-138 Lisboa
- Tel.: 800205339
- Website: https://www.cmvm.pt/en/Investor_area/Reclamacoes/Pages/Complaints.aspx

Austria

- Trustee Authority: Financial Market Supervision in Austria
- Address: Austrian Financial Market Authority (FMA) Consumer Information & Complaints - Otto-Wagner-Platz 5 - A-1090 Vienna
- Tel.: (+43-1) 249 59-3444
- Website: <https://www.fma.gv.at/en/complaints-and-points-of-contact/>

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This document may be updated at any time by La Financière de l'Echiquier. It is not a contract.

For more information on this policy, please send your questions or requests to controleinterne@lfde.com.



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INVESTMENT MANAGEMENT COMPANY ACCREDITED BY THE AMF UNDER NO. 91 004