



ETHENEA

# Summary of investor rights

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ETHENEA Independent Investors S.A.

16, rue Gabriel Lippmann · 5365 Munsbach · Luxembourg

Phone +352 276 921-10 · Fax +352 276 921-1099 · [info@ethenea.com](mailto:info@ethenea.com) · [www.ethenea.com](http://www.ethenea.com)



# Summary of investor rights

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Within the meaning of Article 4(3) of Regulation (EU) 2019/1156 of the European Parliament and of the Council of 20 June 2019 to facilitate the cross-border marketing of collective investment undertakings and amending Regulations (EU) No 345/2013, (EU) No 346/2013 and (EU) No 1286/2014.

## 1 Entitlement to receive certain information relating to your investment in the Fund

As a Investor of the fund, a copy of the latest annual and a semi-annual financial statements of the Fund will be available to you on [www.ethenea.com](http://www.ethenea.com) and a copy of such reports shall be provided to you on request and free of charge by contacting ETHENEA Independent Investors S.A.

The latest Net Asset Value per Share is also available from <http://www.ethenea.com> and <http://www.bloomberg.com> and on request from ETHENEA Independent Investors S.A.

The current prospectus of the Company shall also be available from ETHENEA Independent Investors S.A., a paper copy of which will be delivered to you on request and free of charge.

Material changes to certain information contained in the prospectus provided to you before you invested in the Fund shall be notified to you in accordance with applicable regulatory requirements.

## 2 Voting rights and related matters

Save to the extent that an Investor has chosen to invest in “Shares” of a SICAV Fund - Structure which do not carry voting rights, a Shareholder has the right to vote (whether in general meeting or, where so permitted under the Articles of Association, by way of a written resolution) on shareholder resolutions relating to the Fund, relevant Sub-Fund or Class in accordance with the conditions set down in the Fund prospectus and Article of Association.

## 3 Complaints Management

ETHENEA Independent Investors S.A. is committed to providing the best possible service to investors in the funds it manages ("Investors") at all times. However, if investors are not satisfied, they have the right to file a complaint. For this purpose, ETHENEA Independent Investors S.A. has established a complaints office with the aim of ensuring that complaints are handled transparently and promptly.

Corresponding further information on the complaint management can be found in the document on complaint management published on the website [www.ethenea.com](http://www.ethenea.com).



To enforce their rights, investors may take legal action before the ordinary courts or, if such a court is available, also initiate a procedure for alternative dispute resolution.

## 4 Out-of-court settlement of disputes on

Investors have the right to submit a request for out-of-court settlement of a complaint to the competent supervisory authority, the Commission de Surveillance du Secteur Financier (CSSF). (see: <https://www.cssf.lu/de/kundenbeschwerden/>)

## 5 Consumer arbitration body

ETHENEA Independent Investors S.A. has committed to participate in dispute resolution procedures before a consumer arbitration board.

In case of disputes, consumers may call upon the competent national consumer arbitration board. ETHENEA Independent Investors S.A. participates in dispute resolution proceedings before this arbitration board.

Consumers are natural persons who invest in the fund for a purpose that can predominantly be attributed neither to their commercial nor to their self-employed professional activity, i.e. who act for private purposes.

## 6 EU online dispute resolution platform

In the event of disputes in connection with sales contracts or service contracts concluded electronically, consumers may also turn to the EU's online dispute resolution platform (<http://www.ec.europa.eu/consumers/odr>).

The following e-mail can be given as the contact address of ETHENEA Independent Investors S.A. in this regard: <mailto:info@ethenea.com>

The platform is not itself a dispute resolution body, but merely puts the parties in contact with a competent national dispute resolution body.

The right to appeal to the courts remains unaffected by a dispute resolution procedure.

## 7 Cancellation of cross-border distribution

Funds of ETHENEA Independent Investors S.A. may have been notified for distribution in various EU member states. Investors are advised that ETHENEA Independent Investors S.A. may decide to cancel the arrangements it has made for the distribution of the units of its collective investment undertakings in accordance with Article 93a of Directive 2009/65/EC and Article 32a of Directive 2011/61/EU.



## Document history

Version	Author	Date	Description
1.0	C. Theiß	24.11.2021	Initial creation