

Complaints Procedure MGM Regulatory & Governance January 2019

1. General observations

MGM Regulatory & Governance is committed to deliver the best possible services to its clients. However, in the event of a client becoming dissatisfied about any aspect of its services, MGM Regulatory & Governance aims to deal with this fairly, promptly and efficiently. MGM Regulatory & Governance has therefore set up this complaints procedure to ensure this will happen.

2. Definitions

The following defined terms are used in this complaints procedure:

- a. Complaint:
Any written expression of dissatisfaction from or on behalf of a client directed at a lawyer of MGM Regulatory & Governance or the people working under the responsibility of MGM Regulatory & Governance regarding the establishment and performance of a service provided, an engagement letter, the quality of the services or the amount of the invoice, not being a complaint as referred to in Section 4 of the Counsel Act (*“Advocatenwet”*);
- b. Complainant: the client, or his representative, who has filed the complaint;
- c. Complaints officer: M.G.M. van Dijken Eeuwijk.

3. Applicability

This company complaints procedure applies to all services provided by MGM Regulatory & Governance to its clients. The complaints officer at MGM Regulatory & Governance will ensure that complaints are handled in conformity with this company complaints procedure.

4. Purpose

This complaints procedure is set up for the purpose of:

- a. laying down a procedure with which to handle the complaints of clients within a reasonable period of time and in a constructive and knowable manner;
- b. laying down a procedure with which to determine the causes of complaints made by clients;
- c. maintaining and improving relations with existing clients by way of a satisfactory treatment of their complaints;
- d. improve the quality of the services provided by handling and analysing complaints.

5. Information

This complaint procedure is included on the website of MGM Regulatory & Governance (www.mgm-governance.com). Reference to this company complaints procedure has been included as well in the General Terms and Conditions which are also mentioned on aforementioned website.

6. Internal complaints.

- 6.1 When a client submits a complaint to MGM Regulatory & Governance, the complaint will promptly be dealt with by the complaints officer.
- 6.2 The complaints officer will endeavour to find a resolution with the complainant.
- 6.3 The complaints officer will handle the complaint within 30 days after receipt of the complaint or will inform the complainant that this term will be extended, stating the reasons and specifying the term within which an assessment will be issued regarding the complaint.
- 6.4 The complaints officer will notify the client of its assessment regarding the validity of the complaint in writing; this may or may not include recommendations.
- 6.5 In the event that the complaint has been handled satisfactorily, the client and the complaints officer will sign the assessment regarding the validity of the complaint.

7. Confidentiality

- 7.1 In the course of the procedure the complaints officer will maintain confidentiality of the content of the procedure.
- 7.2 No charges will be made for the time taken to handle a complaint.

8. Duties of the Complaints Officer

- 8.1 The complaints officer is in charge of the timely handling of the complaint.
- 8.2 The complaints officer will keep the complainant informed of the ongoing procedure.
- 8.3 The complaints officer is in charge of updating the filed complaints.

9. Complaint registration.

The complaints officer will record the complaint along with registration of the subject category of the complaint.

10. Competent Court.

- 10.1 Complaints as referred to in Article 2 of this company complaints procedure that have not been resolved to the satisfaction of complainant after being dealt with according to this complaints procedure may subsequently be submitted by complainant to the competent court in Utrecht.
- 10.2 Contrary to the procedure as laid down in this company complaints procedure, the complainant and MGM Regulatory & Governance may at any time jointly decide to discontinue the handling of a Complaint, in which case the complainant can submit the complaint to the competent court in Utrecht.