
Additional Information on the Complaints Procedure of STX

Policy Statement

STX Fixed Income B.V. (STX) believes that the majority of issues or concerns raised by a Client should and can be resolved in cooperation between the Client and their contact person(s) within STX. It is STX's policy to welcome Clients' raising concerns or issues, as we look upon them as an opportunity for STX to learn, adapt, improve and provide better services. This policy is intended to ensure that complaints are dealt with properly and that all complaints or comments by Clients are taken seriously.

STX believes that the majority of concerns or issues raised by clients or prospective clients can be solved before it becomes a complaint and consequently we have adopted a two level approach;

1 Level – You have a concern or issue: Please reach out to your contact person(s) with STX:

Initially we encourage the client or prospective client to reach out to its contact person(s) within STX or contact the Brokers team by sending an email to brokers@stxfixedincome.com or per phone to +31 20 7095 200. We believe that the majority of issues can be solved in this manner. If you choose to submit a concern or issue by email, it is our aim to respond to you no later than after 2 business days. We will always do our utmost to ensure that any issue is investigated and that you will receive a response without any unnecessary delay.

2 Level – If you are not happy with the outcome of the talks with your contact person(s):

Filing a Complaint

If you, as a client or a prospective client of STX, have raised a concern or issue with your contact person(s) with STX without receiving a satisfactory answer, you may file a complaint with STX to our compliance department, either as a mail to compliance@stxgroup.com. You may of course also submit it per post, however we recommend that you submit it per email.

In STX we wish for complaints to be submitted in writing as this will in general avoid misunderstandings and thus the issues, concerns and/or complaint can be investigated more efficiently, which enables us to get back to you with our response as quickly as possible.

We will acknowledge receipt of the complaint within 2 business days and we will aim at providing you with a response no later than after 28 days. Please note, that a response may also be an invite to a meeting between the parties, whenever this is deemed to be the most efficient solution.

Responsible Person

In STX the person responsible for handling and investigating the complaint will be an officer from our Compliance team. The complaints responsible will ensure that the complaint is treated and investigated properly.

Alternative Dispute Resolution

In the event, that you feel your complaint has not been resolved satisfactorily, you may use the framework set up under the agreement and/or contract between you and STX.

History of the document		
Effective date	Version	Comments
20180101	1	Implementation of policy