

**nuveen**

A TIAA Company

# Nuveen Europe and APAC Client Complaints Handling

Annex 3 of Policy and Procedure

---

**June 2024**

---

**Version 7**

4463728

## Appendix 3 – Luxembourg website Client complaint policy

### Information for Investors and Clients to publish on Nuveen Luxembourg website

Complaints must be submitted in writing to

By post	<b>Nuveen Asset Management Europe S.à r.l.</b> for the attention of the Responsible Complaints Manager 4a, rue Henri M Schnadt L-2530 Luxembourg G-D Luxembourg	<b>Nuveen Alternatives Europe S.à r.l.</b> for the attention of the Responsible Complaints Manager 4a rue, Henri M Schnadt L-2530 Luxembourg G-D Luxembourg
By phone	+352 2487 1830	+352 2487 1830
By fax	+352 2487 1833	+352 2487 1833
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

By post	<b>Nuveen Asset Management Europe S.à r.l., German Branch</b> for the attention of the Responsible Complaints Manager Junghofstraße 9 60315 Frankfurt Deutschland	<b>Nuveen Asset Management Europe S.à r.l., Denmark Branch</b> for the attention of the Responsible Complaints Manager Bredgade 45 B 1 1260 Copenhagen Denmark
By phone	+49 69 667736 871	tbc
By fax	+49 69 667736 872	None
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

By post	<b>Nuveen Asset Management Europe S.à r.l., Netherlands</b> for the attention of the Responsible Complaints Manager ITO Tower, unit 9.10, Gustav Mahlerplein 66B, 1082 MA Amsterdam, The Netherlands	<b>Nuveen Asset Management Europe S.à r.l., Sweden</b> for the attention of the Responsible Complaints Manager Kungsgatan 30, 111 35 Stockholm, Sweden
By phone	+31 20 7940 518	+46 8 50530130
By fax	None	None
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

By post	<b>Nuveen Asset Management Europe S.à r.l., Italy</b> for the attention of the Responsible Complaints Manager Via Monte Napoleone 3 20121 Milan Italy
By phone	+39 02 30315650
By fax	+39 02 30315651
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

Complainants may file their complaint in the official language(s) of their country of residence.

The complaint shall be supported by a statement of the reasons on which it is based together with, inter alia, the following documents:

- A detailed and chronological statement of the facts underlying the complaint and the steps already taken by the applicant;
- In the case where a person acts on behalf of an applicant or on behalf of a legal person, a document showing that the person is legally entitled to act as such;
- A copy of a valid ID document of the applicant (natural person) or, where the applicant is a legal person, of the natural person representing this legal person

The written acknowledgement of receipt will be provided to the complainant within a period which shall not exceed 10 business days after receipt of the complaint, unless the answer itself is provided to the complainant within this period.

On a receipt of a Complaint, Nuveen will:

- Investigate the complaint competently, diligently and impartially, obtaining additional information as necessary;
- Assess fairly, consistently and promptly the subject matter of the complaint;
- Assess whether the complaint should be upheld
- Determine what remedial action or redress (or both) may be appropriate; and if appropriate, whether Nuveen has reasonable grounds to be satisfied that another respondent may be solely or jointly responsible for the matter alleged in the complaint; and
- Comply promptly with any offer of remedial action or redress accepted by the complainant

Nuveen is entrusted with the management of all complaints to ensure a thorough examination of the issues involved. Nuveen will handle all complaints with the utmost diligence, transparency and objectivity and will communicate its decision to the complainant in writing within one month of receipt of the complaint by registered mail with return receipt. All relevant data is logged in the Complaint Register.

In accordance with article 15(2) of the CSSF regulation 16-07, where the complainant did not obtain an answer or a satisfactory answer at the level at which s/he submitted his/her

complaint in the first instance, the complainant has the opportunity to rise the complaint up to the senior management:

By post	<b>Nuveen Asset Management Europe S.à r.l.</b> for the attention of the Responsible Complaints Manager 4a, rue Henri M Schnadt L-2530 Luxembourg G-D Luxembourg	<b>Nuveen Alternatives Europe S.à r.l.</b> for the attention of the Responsible Complaints Manager 4a rue, Henri M Schnadt L-2530 Luxembourg G-D Luxembourg
By phone	+352 2487 1830	+352 2487 1830
By fax	+352 2487 1833	+352 2487 1833
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

By post	<b>Nuveen Asset Management Europe S.à r.l., German Branch</b> for the attention of the Responsible Complaints Manager Junghofstraße 9 60315 Frankfurt Deutschland	<b>Nuveen Asset Management Europe S.à r.l., Denmark Branch</b> for the attention of the Responsible Complaints Manager Bredgade 45 B 1 1260 Copenhagen Denmark
By phone	+49 69 667736 871	tbc
By fax	+49 69 667736 872	None
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

By post	<b>Nuveen Asset Management Europe S.à r.l., Netherlands</b> for the attention of the Responsible Complaints Manager ITO Tower, unit 9.10, Gustav Mahlerplein 66B, 1082 MA Amsterdam, The Netherlands	<b>Nuveen Asset Management Europe S.à r.l., Sweden</b> for the attention of the Responsible Complaints Manager Kungsgatan 30, 111 35 Stockholm, Sweden
By phone	+31 20 7940 518	+46 8 50530130
By fax	None	None
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

By post	<b>Nuveen Asset Management Europe S.à r.l., Italy</b> for the attention of the Responsible Complaints Manager Via Monte Napoleone 3 20121 Milan Italy
---------	---

By phone	+39 02 30315650
By fax	+39 02 30315651
By email	<a href="mailto:EMEACS@nuveenglobal.com">EMEACS@nuveenglobal.com</a>

In the absence of a response sent to the investor within the set terms, or if the investor is not satisfied with the resolution of the complaint, before resorting to a court the investor may contact:

Your country	Regulator's name and process to escalate a complaint to the Regulator
For Luxembourg	<p>Commission de Surveillance du Secteur Financier (CSSF).</p> <p>The request must be filed with the CSSF in writing, by post, by fax, by e-mail or via an online form</p> <p>For more information:  <a href="https://www.cssf.lu/en/customer-complaints">https://www.cssf.lu/en/customer-complaints</a></p>
For Germany	<p>Bundesanstalt für Finanzdienstleistungsaufsicht (BAFIN).</p> <p>The request must be filed with the BAFIN in writing, by post, by fax, by e-mail or via an online form</p> <p>For more information:  <a href="https://www.bafin.de/DE/Verbraucher/BeschwerdenAnsprechpartner/beschwerdenansprechpartner_node.html">https://www.bafin.de/DE/Verbraucher/BeschwerdenAnsprechpartner/beschwerdenansprechpartner_node.html</a></p>
For Denmark	<p>Finanstilsynet</p> <p>The request must be filed with the Finanstilsynet in writing, by post, by fax, by e-mail or via an online form</p> <p>For more information:  <a href="https://www.finanstilsynet.dk/Forbrugerinformation/Her-kan-du-klage">https://www.finanstilsynet.dk/Forbrugerinformation/Her-kan-du-klage</a></p>
For Sweden	<p>Finansinspektionen</p> <p>The request must be filed with the Finansinspektionen in writing, by post, by fax, by e-mail or via an online form</p> <p>For more information:  <a href="https://www.konsumenternas.se/">Contact us   Finansinspektionen</a>  <a href="https://www.konsumenternas.se/">https://www.konsumenternas.se/</a></p>
For The Netherlands	<p>De Autoriteit Financiële Markten (AFM)</p> <p>The request must be filed with the AFM in writing, by post, by fax, by e-mail or via an online form</p> <p>For more information:  <a href="#">Complaints procedure</a>   <a href="#">Subjects for consumers</a>   <a href="#">AFM Consumers</a></p>
For Italy	<p>Commissione Nazionale per la Società e la Borsa (CONSOB)</p> <p>The request must be filed with the CONSOB in writing, by post, by fax, by e-mail or via an online form</p> <p>For more information:  <a href="#">Consumer Protection Office (consob.it)</a></p>

Commission de Surveillance du Secteur Financier (CSSF) (the Luxembourg regulator) who acts as intermediary in out-of-court settlements between companies under its control and their clients. The request has to be done in French, German, Luxembourgish or English and must be filed with the CSSF in writing, by post or by fax to the CSSF or by e-mail (to the address/number available on the CSSF website, [www.cssf.lu](http://www.cssf.lu)), or online on the CSSF website. In order to facilitate the filing of a request, the CSSF publishes a form on its website.

When the complainant files a request with the CSSF, his/her request must be filed with the CSSF within one year after s/he filed his/her complaint with Nuveen. Additional details on this process could be found in CSSF Regulation 16-07 and CSSF Circular 17-671.

The rights and guarantees stipulated under Luxembourg law (Law of August 2, 2002) regarding the protection of individuals and the handling of personal information are recognized.