

## CLAIMS PROCESSING

### 1. OBJECT

In accordance with its regulatory obligations in particular of the French supervisory authorities:

- Instruction DOC 2012-07 of AMF
- Position 2022 R 01 of ACPR

This document describes the measures implemented by Tradition Paris ("TSAF" and "TSAF OTC") for the processing of claims issued by its clients or prospects.

*"A complaint is defined as a statement of dissatisfaction with the professional".*

*A request for information or a commercial gesture is not considered as a claim.*

This device is free and no specific pricing could be charged to the customer or prospect as part of the processing of his claim.

### 2. CLAIMS PROCESSING SCHEME

"TSAF" and "TSAF OTC" have implemented a claim-processing scheme as part of the services they offer to their clients or prospects. This device is based on the following guiding principles:

- 1) An acknowledgment of receipt must be sent to the customer, by letter or by mail, within ten (10) working days as of the sending of the Claim ;
- 2) A joint analysis of the claim by the operational services and the compliance department ;
- 3) A written answer within a maximum delay of two (2) months, except in the event of special circumstances, of which the client will be informed ;
- 4) The keeping a dedicated register for efficient, equal and harmonized process;
- 5) Regular information to the governing bodies.

### 3. APPEAL

Any claim could be addressed at any time to your usual contact person (your Front Office contact) or by contacting the Internal Control and Compliance Department directly at the following address:

**Compliance Department**

TSAF – TSAF OTC

9 Place Vendôme

75001 PARIS

[Reclamations@tsaf-paris.com](mailto:Reclamations@tsaf-paris.com)

Telephone number : + 33 (0)1 85 65 55 77

**IMPORTANT:** If you are not satisfied with the response to your complaint or if you do not receive a response within two (2) months of sending your complain, you may contact the French *Autorité des Marchés Financiers* ("AMF") Ombudsman free of charge:

- by mail, at the address: 17 place de la Bourse 75082 PARIS Cedex 2,  
or,
- by electronic form accessible on the AMF website: [Demande de médiation | AMF \(amf-france.org\)](https://www.amf-france.org/fr/demande-mediation).

**Tradition Securities and Futures SA (« TSAF »)**, limited company under French law, with a share capital of €11,486,331 located at 9 place Vendôme, 75001 Paris, France, registered with the Paris RCS under number 342 994 688.

**TSAF OTC**, a limited company under French law, with a share capital of €4,836,412.80, located at 9 Place Vendôme, 75001 Paris, registered with the Paris RCS under number 450 959 341