



## Summary of Investor Rights

As an investor or potential investor (the "Investors") in an investment fund (the "Funds") managed by Hauck & Aufhäuser Fund Services S.A. ("HAFS"), you are entitled to specific rights, in particular those set out below.

- Disclosure Right

Investors are entitled to receive the information prescribed for the respective Fund. This includes, in particular, the relevant "offering documents", such as the prospectus, the articles of association or the management regulations/partnership agreement, as well as the Key Information Document (KID/KIID), to the extent applicable in each case.

Further information on this can be found in the offering documents. In addition, further fund-related information may be published on the HAFS website at <https://www.hauck-aufhaeuser.com/>.

- Right to redeem Shares/Units

Investors in open-ended Funds generally have the right to redeem or, where provided for, convert their shares or units in accordance with the terms of the respective Fund documentation.

The conditions, deadlines, and any restrictions are set out in the offering documents of the respective Fund. The right to redeem or convert may be temporarily suspended in certain circumstances.

- Right to participate in Fund Assets and Income

Investors participate in the net assets of the Fund in proportion to their investment.

To the extent that the Fund generates income, the allocation of such income is governed by the provisions of the respective share or unit class. Depending on the structure, income may be distributed or accumulated/reinvested. Details are specified in the offering documents of the respective Fund.

- Voting Rights

To the extent provided for by the legal form and structure of the respective Fund, Investors may exercise voting rights. The scope, requirements, and exercise of these rights are governed by the respective offering documents of the Fund as well as the applicable corporate law provisions.

- Complaints Management

Investors have the right to file complaints. HAFS maintains appropriate and transparent procedures for the prompt and fair handling of complaints.

Further information on the complaints procedure can be found on the HAFS website at <https://www.hauck-aufhaeuser.com/>.



- **Data Protection**

Investors have rights regarding the processing of their personal data in accordance with the applicable data protection regulations.

Further information on the processing of personal data can be found in the HAFS privacy notice at <https://www.hauck-aufhaeuser.com/>.

- **Out-of-Court Dispute Resolution**

Investors may file complaints for out-of-court dispute resolution with the competent Luxembourg supervisory authority, the Commission de Surveillance du Secteur Financier (CSSF).

Further information on this can be found at:

<https://www.cssf.lu/en/customer-complaints/>

- **De-notification of Cross-Border Distribution**

Where a Fund has been notified for cross-border distribution in one or more Member States of the European Union, HAFS may terminate the corresponding distribution arrangements subject to the conditions of the applicable legal provisions, in particular pursuant to Article 93a of Directive 2009/65/EC (UCITS Directive) and Article 32a of Directive 2011/61/EU (AIFM Directive).

### **Important Legal Information**

This summary is based on Article 4(3) of Regulation (EU) 2019/1156 of the European Parliament and of the Council of 20 June 2019 on facilitating cross-border distribution of collective investment undertakings.

The above overview contains only a summary of key investor rights and does not constitute an exhaustive list of all rights. The specific rights of an investor depend, in particular, on the legal form, structure, and terms and conditions of the respective Fund.

The respective applicable offering documents of the Fund shall be solely authoritative. Depending on the fund structure, these include, in particular, the prospectus, the articles of association or management regulations/partnership agreement, the investment conditions, the Key Information Document, as well as the latest annual and semi-annual reports.

Investors should read the offering documents of the respective Fund carefully before making an investment decision and consult professional advisers if necessary.

The information provided on this website constitutes neither an offer nor a solicitation of an offer to acquire shares or units in the Fund.

### **Contact**

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