

CLAIM AND COMPLAINT FORM

1.- COMPLAINANT'S DATA

SURNAME		FIRST NAME (or BUSINESS NAME)			(Tax) ID number
Full Address		City	Province	Postal Code	COUNTRY
Phone number		Email			

In the case of CONSUMERS' AND USERS' ASSOCIATIONS

Registration Number in the State Registry of Consumers' and Users' Associations	
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ADDRESS FOR NOTIFICATION PURPOSES (if different from the complainant)

SURNAME		FIRST NAME (or BUSINESS NAME)			
Full Address		City	Province	Postal Code	COUNTRY
Phone number		Email			

1 bis.- OTHER CO-OWNERS' DATA (if applicable)

SURNAME	FIRST NAME (or BUSINESS NAME)	(Tax) ID number/code
SURNAME	FIRST NAME (or BUSINESS NAME)	(Tax) ID number/code
SURNAME	FIRST NAME (or BUSINESS NAME)	(Tax) ID number/code

2.- REPRESENTATIVE'S DATA (if applicable) (and corresponding power of attorney)

SURNAME		FIRST NAME (or BUSINESS NAME)			(Tax) ID number/code
Full Address		City	Province	Postal Code	COUNTRY
Phone number		Email			

In the case of CONSUMERS' AND USERS' ASSOCIATIONS

Registration Number in the State Registry of Consumers' and Users' Associations	
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ADDRESS FOR NOTIFICATION PURPOSES (if different from the representative)

SURNAME		FIRST NAME (or BUSINESS NAME)			
Full Address		City	Province	Postal Code	COUNTRY
Phone number		Email			

3.- DATA OF ENTITY AGAINST WHICH THE COMPLAINT HAS BEEN FILED

BUSINESS NAME				
OFFICE OR BRANCH NUMBER :				
Full Address		City	Province	Postal Code

4.- REASON FOR THE COMPLAINT

A.- THE COMPLAINT IS ABOUT: (select one of the following options)

A.1.- INVESTMENT PRODUCTS * (enter, if available, the following data)

* Shares, debt obligations, structured bonds, convertible bonds, preferred shares, swaps, warrants, etc.

Product name	ISIN Code	Description

REASONS

Marketing	Buy and sell orders	Advice	Fees	Other

A.2.- INVESTMENT FUNDS (or collective investment) (enter, if available, the following data)

Fund or CIS name	ISIN Code	Description

REASONS

Marketing	Subscriptions - redemptions	Advice	Fees	Other

A.3.- ABOUT PORTFOLIO MANAGEMENT CONTRACTS

A.4.- INCIDENTS RELATED TO THE PURCHASE OR SALE OF SECURITIES

A.5.- ABOUT ONLINE TRANSACTIONS

A.6.- ABOUT TESTAMENTARY DISPOSITIONS

A.7.- OTHER

B. Specify the REASON for the claim or complaint: (you must provide a copy of any documents or records that substantiate the information given)

B.4.1.- YEAR when the facts that caused the dispute occurred:

B.4.2.- DATE the complaint was submitted to the entity's Customer Service Department or Ombudsman ⁽¹⁾ ⁽²⁾

⁽¹⁾ or Ombudsman, where appropriate

⁽²⁾ Proof that the complaint has previously been submitted to the entity's Customer Service Department or Ombudsman and that either a month has elapsed without a response or that the response given has been contested by the complainant.

Indicate whether:

C.1.- NO complaints or claims have been filed in relation to the facts with any other administrative body

C.2.- I have NOT submitted a complaint about this matter to CNMV

5.- I WOULD LIKE TO SUBMIT THE FOLLOWING TO CNMV:

Select an option:

A CLAIM ⁽¹⁾

A COMPLAINT ⁽²⁾

⁽¹⁾ Claims shall be considered those made by users of financial services in relation to specific facts or actions or omissions by financial institutions with a view to obtaining compensation to the detriment of the user's interests or rights, which the latter considers have been harmed by breaches on the part of the entities against which the complaint has been made, of the regulations on transparency and customer protection or of good financial practices and usage. (Order ECC/2502/2012, of 16 November).

⁽²⁾ Complaints shall be considered those made by users of financial services regarding delays, neglect or any other failing in the actions of the financial institutions against which the complaint has been filed. (Order ECC/2502/2012, of 16 November).

....., 20.....

SIGNATURE

COMPLAINANT / REPRESENTATIVE

Documentation provided (please tick the appropriate box):

Power of attorney

Document presented to the Entity's Customer Service Department (or Ombudsman)

Entity's Customer Service Department (or Ombudsman) response

Copy of the agreements related to the transaction to which the complaint relates

Other documents supporting the complaint:

.....	<input type="checkbox"/>
.....	<input type="checkbox"/>
.....	<input type="checkbox"/>
.....	<input type="checkbox"/>
.....	<input type="checkbox"/>
.....	<input type="checkbox"/>
.....	<input type="checkbox"/>

SEND YOUR CLAIM / COMPLAINT TO: INVESTOR DEPARTMENT / CNMV / Calle Edison, 4, 28006 Madrid.

The SPANISH SECURITIES MARKET COMMISSION (COMISIÓN NACIONAL DEL MERCADO DE VALORES, CNMV) hereby informs you that your personal data collected through this form will be processed. Therefore, as a rights holder, you must read this **Basic information on data protection** (described in detail in our **Privacy and Data Protection Policy** contained in <http://cnmv.es/portal/Utilidades/NotaLegal.aspx>).

Data controller	CNMV (Tax ID Code Q-2891005-G), Calle Edison nº 4, 28006 Madrid. Data Protection Officer dpd@cnmv.es
Purpose	To identify you as the person authorised to make this request, and send you the relevant notifications in relation to it.
Legal basis	Processing of this data is based on your consent. In the event that you do not consent to the processing of your data, the data controller will not be able to process your request.
Recipients	The CNMV departments strictly involved in the assessment of your request. Your data will only be forwarded to third parties in the event that such information is strictly necessary to assess your request.
Rights	<p>You can exercise your rights of access, rectification, deletion and portability of your data, limitation or objection to its processing, as well as your right to withdraw the consent given, through the email address derechospd@cnmv.es, duly proving your identity.</p> <p>If you consider that your rights over your personal data have been violated, you may file a complaint with the Spanish Data Protection Agency and, prior to doing so, if you deem it appropriate, you can contact the CNMV Data Protection Officer.</p>