



# Complaints Form

for submitting a complaint

to Zenit Asset Management AG, 9494 Schaan  
[office@zenit-am.com](mailto:office@zenit-am.com)

## Complaints Form

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### 1. Complainant

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*Name/ Given Name*

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*Street, City, Post Code*

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*Country of Residence*

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*Email*

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*Date of Complaint*

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### 2. Subject Matter of the Complaint

- ☐ Portfolio Management
- ☐ Investment Advisory
- ☐ Acceptance and transmission of orders relating to one or more financial instruments
- ☐ Execution of orders on behalf of the Client
- ☐ Securities and financial analysis or other forms of general recommendations concerning transactions involving financial instruments.
- ☐ Advising companies on capital structuring, sector-specific strategy and related issues as well as advice and services for mergers and acquisitions
- ☐ Description of the alleged breach of duty by the asset management company:

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### 3. Claim of the Complainant against the Asset Management Company

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### 4. Information about the Procedure

If possible, the complaint must be submitted electronically to the above email address. The asset management company will endeavour to collect and examine all relevant evidence and information relating to the complaint. The complainant will receive a response to his/her complaint within 20 days.

The complainant also has the option of taking their complaint to the arbitration board below. However, it is recommended to wait for the statement of the asset management company first.

#### **Liechtenstein Arbitration Board (Liechtensteinische Schlichtungsstelle)**

Dr. Peter Wolff, Attorney  
Landstrasse 60  
Postfach 343  
9490 Vaduz

Telephone +423 220 20 00  
Fax +423 220 20 01  
[info@schlichtungsstelle.li](mailto:info@schlichtungsstelle.li)

The arbitration board is neither a court of law nor does it have the power to adjudicate. Rather, it promotes dialogue between the parties involved and offers them a negotiated solution. As the parties are not bound by the arbitration board's proposal, they are free to accept it or take other measures, such as legal action.

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## 5. To be completed by the Asset Management Company

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*Date Receipt of Complaint*

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*Date Reply to Complainant*

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*Result of the Complaint Handling*

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