

BNP PARIBAS DEALING SERVICES

Complaints handling



July 2026



BNP PARIBAS
ASSET MANAGEMENT

The sustainable
investor for a
changing world

PURPOSE AND BACKGROUND

BNP Paribas Dealing Services, hereafter “Dealing Services”, continuously strives to provide you with the highest quality of service possible.

However, aware that problems can sometimes arise, our complaint handling management framework is there to help you.

Our framework has two main objectives:

- **Improve customer satisfaction** through a reasonable and quick handling of complaints we receive.
- **Improve our products, procedures, and the operation of our organisation**. By identifying weaknesses and potential problems, complaint monitoring helps us to implement the appropriate corrective action needed.

The purpose of this document is to explain how to submit a complaint. It is also designed to inform you of our commitments and provide you with all helpful information about our complaint handling procedure and available remedies you have.

It must be noted that following the acquisition of AXA Investment Managers (hereinafter AXA IM) by BNP Paribas Cardif on July 1st, 2025, the legal entities of the two asset management groups BNP Paribas Asset Management (hereinafter BNPP AM) and AXA IM have merged. Dealing Services and AXA Investment Managers IF (hereinafter “AXA IM IF”), the legal entities in which the respective trading desks of BNPP AM and AXA IM in France were housed, have merged, with Dealing Services absorbing AXA IM IF on 1st January 2026.

However, two separate operational perimeters remain, referred to as “ex-Dealing Services” and “ex-AXA IM IF”. As a general approach and unless advised otherwise, this document applies to both perimeters, i.e. Dealing Services. Where a process is not applicable to both perimeters, it will be specified hereafter.

DO YOU HAVE A COMPLAINT?

A complaint is a statement of your dissatisfaction with Dealing Services for example, in connection with one of the investment services provided to you (together referred to as RTOE):

- reception and transmission of orders
- execution of orders on behalf of third parties.

Any request sent for information, clarification or any opinion, clarification, service, or benefit requested will be handled by our teams without being considered as a complaint.

HOW TO SUBMIT YOUR COMPLAINT?

1/ - You may submit your complaint at any time to the competent departments¹ which will seek to reach a solution.

By e-mail at the address below, specifying in the subject of your message that it relates to a complaint:

- Ex AXA IM IF: GlobalMarketsCoordination@axa-im.com
- Ex-Dealing Services: paris_dealing_services_client_support@bnpparibas.com

¹ Global Market Coordination Team for ex AXA IM IF perimeter
Front Office Reporting & Data Analytics team for ex-Dealing Services perimeter

By post to the following address:

- **Ex AXA IM IF**

BNP Paribas Dealing Services
Attn. Global Markets Coordination team
Tour Majunga
6, place de la Pyramide
92908 Paris – La Défense cedex – France.

- **Ex Dealing Services**

BNP Paribas Dealing Services
Attn. Front Office Reporting & Data Analytics team
8, rue du Port
92729 Nanterre cedex – France.

OUR COMMITMENTS

We guarantee free, prompt and transparent complaint handling process and we strive to resolve your issue as efficiently as possible.

FREE SERVICE

We will handle your complaint free of charge. You will not incur any special costs (administrative nor other fees) associated with handling your complaint.

TIMELINESS

We are committed to handling complaints within the following timeframe:

- **A maximum of ten working days** from the date your complaint is sent to acknowledge receipt, unless the response itself is provided to you within this period
- **A maximum of two months** between the date your complaint is sent and the date you receive our response, except in exceptional circumstances, which will be duly justified

TRANSPARENCY

We are committed to responding to any of your request concerning progress of your complaint handling.

We will also keep you informed when, due to special circumstances, we are unable to provide a response within the promised timeframe.

EFFICIENCY

Our dedicated department has the necessary resources and expertise for fair and consistent complaints handling from our customers or prospects, including non-resident ones.

We set up a Policy of complaints' handling and controls are in place in order to identify any dysfunction and to follow the implementation of the remedial actions plan associated if any.

Clients can submit their complaint to us in French or English and will receive a response in the same language.