



# COMPLAINT FORM

Version 01.2024

## 1 Complainant

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Name/first name

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Address, postcode, place of residence

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Country of residence

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E-mail

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Date of complaint

## 2 Recipient of the complaint

Compliance-function of  
IMT Asset Management AG

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Company name

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Austrasse 56, 9490 Vaduz

Address, postcode, place

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Liechtenstein

Country

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compliance@imt.li

E-mail

### 3 Object of the complaint

- Portfolio management
- Investment advice
- Reception and transmission of orders in relation to one or more financial instruments
- Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments
- Execution of orders on behalf of the customer

Description of the alleged breach of duty by IMT Asset Management AG:

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### 4 Complainant's claim against IMT Asset Management AG

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## 5 Information on the procedure

The complaint should be sent electronically, if possible, to the e-mail-address stated above. IMT Asset Management AG will endeavour to collect and examine all relevant evidence and information regarding the complaint. The complainant will receive a response to the complaint within 20 days.

The complainant has the additional possibility to take the matter to the Conciliation Board, the address of which is stated below. It is recommended, however, that the complainant should wait for a reply from IMT Asset Management AG before approaching the Conciliation Board.

### Conciliation Board of Liechtenstein

Dr. Peter Wolff, Attorney-at-Law

PO Box 343

Landstrasse 60

9490 Vaduz

Telephone +423 220 20 00

Fax +423 220 20 01

[info@schlichtungsstelle.li](mailto:info@schlichtungsstelle.li)

The Conciliation Board is neither a court of law, nor does it have the authority to make judicial rulings. Instead it promotes discussion between the parties involved and submits a negotiated solution to them. Since the parties are not bound by the proposal from the Conciliation Board, they are free to either accept it or to take other steps, for example legal measures.

## 6 To be filled by IMT Asset Management AG

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Date when complaint was received

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Date when response was submitted to complainant

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Result of complaint processing