

Disclosure of Complaint Handling Procedures of Wells Fargo Securities Asia Limited

A complaint can be a written or verbal expression of dissatisfaction or an assertion of wrongdoing or mismanagement from a complainant concerning a financial product or service of Wells Fargo or one of its third parties. Wells Fargo Securities Asia Limited (**WFSAL**) has put in place Complaint Handling Procedures to ensure any complaint lodged by its clients relating to its business are handled in a timely and appropriate manner.

This disclosure document provides key information about the complaint handling procedures at WFSAL.

1. How to lodge a complaint

You may lodge a complaint, whether verbal or written, against WFSAL and/or our staff, by or on behalf of a customer about provision of, or failure to provide, services or products by WFSAL and/or one of our Third Parties through the following channels:

- By mail: 2705-2709, 27F Three Pacific Place, 1 Queen's Road East, Wan Chai, Hong Kong
(Attention to Compliance Manager)
- By email: hkbranchcompliance@wellsfargo.com
- By phone:
 - (852) 9028 1586 (For Complaints)
 - (852) 3856 1000 (For General Enquiries)
- By fax: (852) 2105 5501

Please provide information such as the facts, your concerns, desired outcomes, and contact details in your complaint. Information in relation to your complaint will be confidential and will be processed by the responsible staff strictly on a need-to-know basis.

Alternatively, clients may also contact their respective business representatives (if any).

2. Complaints handling process

Once your complaint is received, we will:

- Acknowledge your complaint within seven (7) calendar days of the day of receipt, and
- Aim to provide a final or interim response with an explanation why we are not able to make a response and an indicative timeframe, within a reasonable period, for a full response within thirty (30) calendar days of the receipt of your complaint.

Complaint will be followed up, and investigated where necessary, for fact-finding without any undue influence. Findings and results from the complaint handling process are supported by objective evidence as far as practicable to address your concerns. If you are not satisfied with our responses to your complaint, you may provide additional information to us so we can further investigate your complaint.

3. Right to refer a dispute

Where clients are not satisfied with the final response, they have a right to refer a dispute to the Financial Dispute Resolution Centre Ltd (FDRC). As licensed corporation, WFSAL is required to comply with the Financial Dispute Resolution Scheme (FDRS) for managing and resolving disputes administered by the FDRC in full and be bound by the dispute resolution processes provided for under the FDRS.