

# Complaints Reporting Procedure – Nasdaq Clearing AB

## Customer complaints are important to us

Nasdaq Clearing AB (“Nasdaq Clearing”) wants to ensure a proper management of complaints and to maintain trust towards members and clients. Please see Nasdaq Clearing's policy regarding complaints (the “Complaints Management Policy”), according to which all complaints will be treated fairly and as quickly as possible. The Complaints Management Policy is available on Nasdaq Clearing's webpage<sup>1</sup>.

## Contact the operational person initially

If you have been affected directly by Nasdaq Clearing's performance or failure to perform clearing services, you should first contact the staff you had contact with on the matter.

## Nasdaq Clearing's management of formal complaints

If the dissatisfaction persists after the initial contact with the staff of the matter, a formal complaint can be reported to the Legal Department. A formal complaint to the Legal Department shall be made in writing and be dated.

Complaints shall be made as soon as possible and no later than thirty (30) days following the date on which the complainant first became aware or should have reasonably become aware of the circumstances giving rise to the formal complaint.

The written complaint shall contain the following information:

- a description of the nature of the complaint;
- information on the complainant's name, address, and account number;
- the name of all persons identified in the complaint;
- the disposition of the complaint.

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<sup>1</sup> <https://www.nasdaq.com/solutions/about-nasdaq-clearing>

You can contact the Legal Department via e-mail or by sending your complaint by post. Contact details can be found below:

Johan Mattsson  
Head of European Legal and Regulatory Team  
Office of General Counsel  
Tullvaktsvägen 15  
105 78 Stockholm, Sweden  
[joan.mattsson@nasdaq.com](mailto:joan.mattsson@nasdaq.com)

The Legal Department shall acknowledge a complaint within five (5) working days of receipt.

The Legal Department will aim to notify the complainant of the result of the initial investigation within ten (10) weeks of receipt of the written complaint.