

**Table listing the claims registered by the professional (sub-paragraph 1 of Article 16(3) of CSSF Regulation N° 16-07 relating to out-of-court complaint resolution)**

COMMISSION DE SURVEILLANCE

DU SECTEUR FINANCIER

283, route d’Arlon L-1150 Luxembourg

BP : L-2991 Luxembourg

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| 1. GENERAL DATA ON YOUR INSTITUTION | |
| 1.1 Name of the institution |  |
| 1.2 Identification number**[[1]](#footnote-1)** |  |
| 1.3 Name of the person responsible within the management for complaint handling |  |

|  |  |
| --- | --- |
| **2. COMPLAINTS REGISTERED BY YOUR INSTITUTION** | |
| **2.1. General information on complaints** | |
| 2.1.1. Reference period | From       to |
| 2.1.2. Total number of complaints received by your institution during the reference period |  |

|  |  |
| --- | --- |
| **2.2. Number of complaints by category** | |
| **Categories** | **Number of complaints** |

|  |  |
| --- | --- |
| **Complaints that do not relate to a specific product or service** | |
| Staff behaviour |  |
| Fees in general |  |
| Banking secrecy |  |
| Taxation |  |
| Provision of documents (statements, account summaries, etc.) |  |
| Inheritance |  |
| Guarantees/collateral |  |
| Insurance advice |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Accounts and payment services** | |
| Account opening refusal |  |
| Account termination |  |
| Account blocking |  |
| Dispute of a transaction |  |
| Execution of a transaction |  |
| Cash withdrawal at bank counter |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Savings products** | |
| Savings account termination |  |
| Yield |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Consumer credits** | |
| Loan refusal |  |
| Loan termination |  |
| Request for debt restructuring |  |
| Early repayment |  |
| Interest rate |  |
| Advice and information |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Mortgage loans** | |
| Loan refusal |  |
| Loan termination |  |
| Request for debt restructuring |  |
| Early repayment |  |
| Interest rate |  |
| Advice and information |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
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| **Loans to professionals[[2]](#footnote-2)/Other loans** | |
| Loan refusal |  |
| Loan termination |  |
| Request for debt restructuring |  |
| Early repayment |  |
| Interest rate |  |
| Advice and information |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Home loan and savings contracts** | |
| Contract termination |  |
| Yield |  |
| Redemption of the contract |  |
| Advice and information |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Payment cards** | |
| Card refusal |  |
| Refusal to raise the usage limit |  |
| Card withdrawal |  |
| Unauthorised use |  |
| Cash withdrawal (ATM) |  |
| Blocking of card |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Web Banking** | |
| Service unavailable |  |
| Technical failure |  |
| Others (please specify) |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Safe deposit box** | |
| Access to safe deposit box |  |
| Pricing |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

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| **Investment activities** | |
| Conflict of interests |  |
| Dispute on order execution |  |
| Quality of advice |  |
| Investment performance |  |
| Non-observance of the client's investment profile |  |
| Non-compliance with the management agreement |  |
| Transfer of portfolio/securities |  |
| Pricing/Fees |  |
| Others (please specify) |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Undertakings for collective investment** | |
| Prospectus |  |
| Investment policy |  |
| Subscription/Redemption of shares/units |  |
| Obligations of depositary banks |  |
| Advertising document |  |
| NAV calculation errors |  |
| Fund management |  |
| Service quality in general |  |
| Others (please specify) |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Other categories of complaints** (please specify) | |
|  |  |
|  |  |
|  |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Other categories of complaints** (please specify) | |
|  |  |
|  |  |
|  |  |
|  |  |
| **TOTAL** |  |

|  |  |
| --- | --- |
| **Other categories of complaints** (please specify) | |
|  |  |
|  |  |
|  |  |
|  |  |
| **TOTAL** |  |

1. including letter “B” (Bank), “P” (PFS), etc. indicating the type of activity of the institution. [↑](#footnote-ref-1)
2. Investment loans, credit lines, etc. [↑](#footnote-ref-2)