

**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  |       |

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| **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  |       |

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

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| **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** |       |

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| **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** |       |

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

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

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| **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** |       |

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

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| **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** |       |

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

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| **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** |       |

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| **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** |       |

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

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

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