



Registered office: 3, Boulevard Royal L-2449 Luxembourg  
R.C.S. Luxembourg: Section B, number 221.009

## **SUMMARY OF INVESTOR RIGHTS**

Luxembourg, February 2024

This is a summary of rights for Luxembourg domiciled funds managed by AFFM SA (the “Company”) afforded to you as an investor whose name appears on the share/unit register of a collective investment scheme managed by the Company (the “Funds”).

This summary of investor rights is prepared in relation to Regulation (EU) 2019/1156 of the European Parliament and of the Council of June 20, 2019 on facilitating cross-border distribution of collective investment undertakings and amending Regulations (EU) No 345/2013, (EU) No 346/2013 and (EU) No 1286/2014 (the “Regulation”). One of the goals of the Regulation is to ensure that investors are provided with a summary of investor rights resulting from their investment in an undertaking for collective investment in transferable securities in the meaning of Directive 2009/65/EC or, under certain circumstances, in an alternative investment fund in the meaning of Directive 2011/61/EU.

The summary is not intended to be an exhaustive list of rights that you as an investor may have in respect of the Funds. Should you require further details, please refer to the prospectus, offering memorandum, articles of incorporation and/or management regulations of the relevant Fund or approach the Company. The below summary in English is also available in other languages on request.

### **1) Entitlement to receive certain information relating to your investment**

As an investor you have the right to receive from AFFM and/or the Funds information that AFFM is legally required to publish. This concerns:

- a copy of the prospectus or pre-contractual disclosure document of the Funds
- a copy of the articles of incorporation, management regulations of the Funds
- a copy of the latest annual and, if available, semi-annual financial statements of the Fund
- the Key Investor Information Document or Key Investor Document
- the latest net asset value per share/unit of a Fund
- Information about Engagement Policy / Proxy Voting / Voting Rights Policy
- Information about Conflicts of Interest Policy
- Information about Best Execution Policy
- Information about Remuneration Policy
- Complaints Handling Procedures
- Information about SFDR / Sustainability Risk / ESG Policies

This information is accessible on our website or will be made available to you on request and free of charge by contacting AFFM and/or the relevant central administration agent of the Fund.

As an investor, your right of information shall be guaranteed and any material changes to certain information contained in the prospectus provided to you before you invested shall be notified to you in accordance with applicable regulatory requirements.

## **2) Entitlement to redeem your investment and receive dividend distributions**

Investors are entitled to redeem their investment and receive the redemption proceeds relating to their shares/units within the timeframe and subject to the provisions detailed in the prospectus and the constitutive documents of the relevant collective investment scheme. Depending on the type of shares/units subscribed, investors may be entitled to receive dividend, within the timeframe and subject to such conditions detailed in the relevant prospectus and constitutive documents.

## **3) Voting rights and related matters**

Save to the extent that an investor has chosen to invest in shares/units which do not carry voting rights, an investor has the right to vote (whether in ordinary or extraordinary general meeting or, where so permitted under the relevant constitutive documents, by way of a written resolution) on resolutions relating to the relevant collective investment scheme, sub-fund or share/unit class thereof in accordance with the conditions set down in the relevant prospectus and constitutive documents. Investors shall also be entitled to be treated fairly and equally, within the timeframe and subject to such conditions as detailed in the relevant prospectus and constitutive documents, in case of liquidation of the relevant collective investment scheme, sub-fund or share/unit they are invested into.

## **4) Entitlement to make a complaint**

As an investor, you are entitled to file a complaint free of charge. Any such complaint must be handled by AFFM SA or its delegates promptly and effectively.

Further information on AFFM SA complaints policy is available at: <http://affm.lu/literature.aspx>

## **5) Investor rights against the relevant collective investment scheme and its service providers**

As an investor, you have a right of action against the collective investment scheme of which you are an investor for any breach of contract.

Investors do not have any direct contractual rights against any service provider appointed in respect of the relevant collective investment scheme because of the absence of a direct contractual relationship between investors and such service provider. Instead, the relevant collective investment scheme or AFFM SA as applicable, has a right of action to pursue a service provider in respect of an alleged wrongdoing committed against the relevant collective investment scheme or AFFM SA by the relevant service provider.

An investor has a regulatory right of action to pursue the depositary appointed by the relevant collective investment scheme in respect of (i) any loss of an asset held in the custody of such depositary or any of its delegates or (ii) of any other losses caused by such depositary's negligence or intentional failure to properly fulfil its obligations under applicable regulations provided that this does not lead to a duplication of redress or to unequal treatment of investors in the relevant collective investment scheme.

## **6) Right to Data Privacy**

As an investor, you have provided or will provide information to AFFM which may constitute personal data within the meaning of the Data Protection Legislation. Please be aware that this personal data may be processed in accordance with the Privacy Statement, the current version of which is available here: <http://affm.lu/privacy.aspx>

## **7) Terminate marketing arrangements within EU member states**

The Funds may have been notified for distribution in different EU member states. Investor's attention is drawn to the fact that AFFM may decide to terminate marketing arrangements regarding distribution of its collective investment undertakings under EU denotification process. Nevertheless, the possibility to cease marketing UCITS or AIFs Funds in a particular member state will neither come at a cost to

Investors nor diminish their rights to receive accurate information on the continued activities of those Funds.

## **8) General**

Any person who would like to receive further information regarding the strategy followed for the exercise of voting rights of the relevant collective investment scheme, the conflict-of-interest policy, the best execution policy and the complaints handling procedure of AFFM SA can find these on the website.

It should be noted that this summary addresses rights conferred on investors under the applicable legislation governing the operation of the collective investment scheme in which you are invested. You may also be afforded rights under other legislation or regulatory frameworks which are not addressed above, including for example, your rights as a data subject under EU Regulation 2016/679.

## **Contact**

### **AFFM SA**

Address: 3 Boulevard Royal, L-2449 Luxembourg, Grand Duchy of Luxembourg  
Phone: +352 260 967 242  
E-Mail: [compliance@affm.lu](mailto:compliance@affm.lu)  
Website: [www.affm.lu](http://www.affm.lu)