CORPORATE & INSTITUTIONAL

How to Voice Your Concerns

Resolving your complaints with us

At Lloyds Bank Corporate Markets Wertpapiershandelsbank GmbH ("we", "us", "our"), we aim to provide excellent customer service whenever you deal with us. If we do not achieve this, please tell us so we can have the opportunity to put things right.

You can write (including email) or speak to:

- your Relationship Manager or anyone in your Relationship Manager's team
- your case handler or anyone else in your case handler's team
- Bundesanstalt für Finanzdienstleistungsaufsicht ("BaFin") (see below)

You can expect us to:

- take your complaint seriously and positively;
- understand the nature of your complaint and how you feel it should be resolved;
- advise you whether we can resolve the matter immediately or not;
- keep you regularly informed of progress when investigating an unresolved complaint, using your preferred method of communication where possible; and
- be fair in our assessment, putting matters right if we have caused you inconvenience, distress, disadvantage or loss.
- learn from our mistakes.

The majority of complaints should be resolved within two (2) working days. When this is not going to be the case, we will provide an acknowledgement of your complaint within five

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(5) working days unless other arrangements are agreed with you in advance.

After that, we will regularly update you on progress as advised in our acknowledgement until we have completed our investigations and issued our final response.

You may contact your Relationship Manager at any time should you wish to discuss progress or any other matter relating to the complaint.

Our final response will address all of your concerns and confirm whether the complaint is being upheld or rejected.

What to do if you're unhappy with how we have handled your complaint

If you are unhappy with our response, you should contact your Relationship Manager as soon as possible, including details of further information that may be applicable to the case. You can expect us to fully consider the reasons for your dissatisfaction, take into account any new information and for us to either provide an updated decision or reaffirm our prior position.

You may also complain to BaFin. However, BaFin will only consider your complaint once you have tried to resolve it with us, so please come to us first and we will do all we can to help.

If your claim is rejected by us, you can turn to BaFin. BaFin can examine, for example, whether or not a company is complying with the agreed contractual terms and legal requirements. However, BaFin primarily looks at whether the matter is significant for German supervisory law and, if so, to what extent. BaFin is not allowed to provide information about the results of any regulatory examination which may take place, as it is subject to a statutory duty of confidentiality.

For more information:

In English: Help & Contact – Bafin

In German: Hilfe & Kontakt – Bafin



Important information about compensation arrangements

We are a member of the Compensation Scheme for Investment Service Providers (Entschädigungseinrichtung der Wertpapierhandelsunternehmen, or "EAW"), Charlottenstrasse 33/33 a, 10117 Berlin. EAW is the compensation Institution body responsible under the Investor Compensation Act ("AnlEntG").

The AnlEntG contains the provisions on possible compensation claims against EAW if an institution is not in a position to meet liabilities from securities transactions. It also regulates the scope of any compensation claim.

According to the AnlEntG, liabilities from securities transactions are protected up to 90% of their value, up to a maximum of EUR 20,000 per creditor. The claim for compensation does not exist to the extent that funds are not transferred into the currency of an EU Member State or denominated in euro. It only covers obligations arising from securities transactions, which are part of the Institute's main contractual obligations (primary obligations). Claims for damages resulting from consulting errors, for example, are not covered. Certain investors are not protected, for example, Credit Institutions and financial service providers, insurance companies, medium-sized and large corporations and enterprises of the public sector.

We are not authorised to accept client funds or to have access to client assets. Investments are always carried out via partner banks, fund companies or issuers. Further information can be found on the website of the EdW, **http://www.e-d-w.de/**

Our service promise

Our aim is to provide a great customer experience. If you have a concern we will try to resolve it as quickly as possible. Raising a complaint with us will not affect any rights you may have wish to pursue the issue through formal legal proceedings.

Additional support

If you need this communication in another format, such as large print, braille or audio CD, please contact us.

You can call us using Relay UK if you have a hearing or speech impairment. There's more information on the Relay UK help pages relayuk.bt.com

SignVideo services are also available if you're Deaf and use British Sign Language: **lloydsbank.com/contact-us/sign-video** If you need support due to a disability please get in touch.

Calls and online sessions may be monitored or recorded.

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Lloyds Bank Corporate Markets Wertpapierhandelsbank GmbH is a wholly-owned subsidiary of Lloyds Bank Corporate Markets plc. Lloyds Bank Corporate Markets Wertpapierhandelsbank GmbH has its registered office at Bockenheimer Landstrasse 2-4, 60306 Frankfurt, Germany. The company is registered with the Amtsgericht Frankfurt am Main, HRB 111650. Managing director: Anthony Bryson and Wolfgang Koehler. Vat number: DE321667438. Lloyds Bank Corporate Markets Wertpapierhandelsbank GmbH is authorised and supervised by the Bundesanstalt für Finanzdienstleistungsaufsicht ("BaFin")

This information is correct as of July 2026 and is relevant to Lloyds Bank Corporate Markets Wertpapierhandelsbank GmbH products and services only.