



Complaint Handling Procedure

AQR Capital Management (Germany) GmbH
BaFin License: 155282

Date: 5 December 2019

AQR Capital Management (Germany) GmbH (“AQR Germany”) has internal policies and procedures in place to ensure that complaints are handled in a clearly defined and effective manner. This procedure represents AQR Germany’s commitment to fair and transparent dealings with our clients.

What is the procedure for making a complaint?

In order to investigate a complaint effectively, we may need the following information from you:

- Appropriate identification (e.g. full legal name of the organization, an investor number, etc.);
- Contact details (e.g. business address, telephone number, an e-mail, etc.);
- Sufficient detail of the nature of the complaint and supply of any relevant documents and other information that may support the complaint and its resolution (e.g. the relevant Fund name, description of the complaint, etc.).

Handling your complaint

AQR Germany takes all investor concerns seriously and will deal with them as quickly as possible. We will generally provide you with an acknowledgement letter and information regarding alternative dispute resolution bodies (ADR) within 10 working days.

Upon completion of our investigation and conclusive assessment of your complaint we will provide you with the result of our analysis within 60 working days and, if applicable, with details regarding next steps. Should we not be able to provide you with a conclusive analysis within this timeframe, we will inform you about the timeframe in which we will be able to come back to you with conclusive feedback.

If required, AQR Germany will submit information with regards to your complaint to the Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) as the competent regulator in line with regulatory reporting requirements. You also have the possibility to file a complaint with the BaFin directly.

Alternative dispute resolution bodies (ADR)

As an alternative or if you are not satisfied with our final response you have the right to address your complaint for settlement to an alternative dispute resolution body (ADR).



Please address all complaints to Maximilian Harper, Compliance Officer;

E-mail: EMEALegalCompliance@aqr.com
Postal address: AQR Capital Management (Germany) GmbH,
Bockenheimer Landstraße 2-4,
60306 Frankfurt am Main, Germany