

Information on customer complaints against Sector Theta AS

Sector Theta AS (organisation number: 991 426 159, "the Company") is regulated by the Norwegian FSA (Finanstilsynet), and holds the following licenses:

Investment services and activities, Securities Trading Act § 2-1 (1):

No 4: Active management of investors' portfolios

No 5: Investment advice

Ancillary services, Securities Trading Act § 2-1 (2):

No 5: Provision of investment recommendations, analyses and general recommendations

The right to set forth a complaint against the Company is described in the Securities Trading Regulations § 9-13. To ensure a swift process on the Company's side, the complainant should make sure the following information is sent to the Company:

1. A formal complaint should be sent in writing to the Company.
Either by e-mail: compliance@sector.no
or in a letter to: Sector Theta AS, P.O. Box 462 Sentrum, 0105 Oslo, Norway.
2. The complaint should explicitly express that the Company has not fulfilled its duties as agreed, or made an error that have had implications for the client/investor. Sector Theta AS can only respond to inquiries relating to the Company. The complaint should point out:
 - > Who the complainant is: full name and tax id number / fund holder id.
 - > The grounds for the complaint: description of incident, stating the Company's error or neglect as perceived by the client/investor. The complaint should include name, date and time of any contact with Sector Theta AS employees.

The complainant shall, within 2 business days upon Sector Theta's receipt, receive a written confirmation that the complaint has been received. The complainant shall be duly informed should the company need further time to respond to the complaint.

A written response shall, without unfounded delay, be provided once the Company has considered and decided on the result of the complaint.