

Information on customer complaints against Sector Capital AS

Sector Capital AS (organisation number: 813 391 082, "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 1: Reception and transmission of orders
- No 2: Execution of orders
- No 3: Dealing on own account
- No 5: Investment advice
- No 6: Placing of public offerings or issues; underwriting of public offerings or issues

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

- No 1: Safekeeping and administration of financial instruments
- No 2: Granting credits or loans
- No 3: Advice on capital structure, strategy et al.; advice and services re. to mergers and purchases

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: info@sector.no
or in a letter to: Sector Capital AS, PB 1994 Vika, 0125 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 Capital 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 Capital AS employees.

The complainant shall, within 2 business days upon Sector Capital'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.

A complaint template can also be found at the Norwegian Alternative Investment Association's home page: <http://nkff.no/in-english>.

Should the client disagree with the company's decision, he/she can carry the complaint forward to The Norwegian Financial Services Complaints Board. Further information is available on <http://www.finkn.no/English>.