

## Complaints Form

### IMPORTANT INFORMATION

Sparkasse Bank Malta p.l.c. (the “**Bank**” or “**we**”) is providing this form in order to facilitate the filing of a complaint. The use of this form is not compulsory and complaints may be made by other means. However, the Bank would need the necessary information to identify the complainant and to deal with the complaint, as requested in this form.

It is important that you provide us with complete and correct information. We may contact you for further information or clarification regarding your complaint.

**This form must be completed and signed by the person making the complaint (the “complainant” or “you”) or by a person duly authorised to act on the complainant’s behalf. If someone files a complaint on your behalf, we may ask for the necessary documents to show that the person doing so is duly authorized to represent you.**

**The information marked with (\*) is mandatory; if the information required is not provided or is incorrect, the Bank may not be able to handle the complaint properly.**

Kindly send the completed form signed and dated, by e-mail or mail, to:

Email: [compliance@sparkasse-bank-malta.com](mailto:compliance@sparkasse-bank-malta.com)

Mail: Attn: Compliance Department; Sparkasse Bank Malta p.l.c.; 101 Townsquare, Ix-Xatt ta' Qui-si-Sana; Sliema SLM3112; Malta.

For the purpose of the Bank’s complaints handling procedure, a distinction is made between complaints and queries. You may lodge a complaint if you are dissatisfied or displeased with a service or product provided by the Bank. This form is intended to be used for complaints and not for queries. If you have a query or require information or clarification about a particular product or service, kindly contact your Client Relationship Officer or the Manager of the relevant Department at the Bank.

If you have a query specifically related to privacy or data protection or you wish to submit a request to exercise your rights as a data subject under data protection legislation, please contact us by e-mail to: [dataprotection@sparkasse-bank-malta.com](mailto:dataprotection@sparkasse-bank-malta.com); or by mail to: Attn: Compliance Department; Sparkasse Bank Malta p.l.c.; 101 Townsquare, Ix-Xatt ta' Qui-si-Sana; Sliema SLM3112; Malta.

*This part must be completed if the Complainant is an Individual*

### IDENTIFICATION OF THE COMPLAINANT - INDIVIDUAL

Account Holder(s)

TITLE	FIRST NAME(S)*	SURNAME*
PASSPORT / ID CARD NO.*	PASSPORT/ID COUNTRY OF ISSUE*	

*This part is to be completed if the complainant is a legal entity (e.g. a company, partnership or association)*

### IDENTIFICATION OF THE COMPLAINANT – LEGAL ENTITY

Company / entity details

ENTITY NAME*	TRADING NAME
REGISTRATION NUMBER*	

101, Townsquare, Ix-Xatt ta' Qui-si-Sana, Sliema SLM 3112

Tel: (+356) 2133 5705 – Fax: (+356) 2133 5710 info@sparkasse-bank-malta.com – www.sparkasse-bank-malta.com

*If the complaint is submitted by a person acting on behalf of the complainant (the “representative”), the details of the representative should be included below. The complaint should be submitted together with a copy of the power of attorney or other appropriate document authorising the representative to act on the complainant’s behalf.*

**DETAILS OF THE COMPLAINANT’S REPRESENTATIVE**

TITLE	FIRST NAME(S)*	SURNAME*
PASSPORT / ID CARD NUMBER AND COUNTRY OF ISSUE*	CAPACITY (RELATIONSHIP WITH THE COMPLAINANT)	

*Please include your contact details below, if you are not a customer of the Bank at the time the complaint is made or if you wish the Bank to communicate with you about the complaint on a particular e-mail or mail address. We will generally communicate via e-mail. By signing and submitting this form you authorise us to contact you and communicate with you on the e-mail address, mail address and, or number(s) given below for the purpose of handling your complaint.*

**CONTACT DETAILS**

Company / entity details

EMAIL ADDRESS	TELEPHONE/MOBILE NUMBER
MAILING ADDRESS	

101, Townsquare, Ix-Xatt ta' Qui-si-Sana, Sliema SLM 3112

Tel: (+356) 2133 5705 – Fax: (+356) 2133 5710 info@sparkasse-bank-malta.com – www.sparkasse-bank-malta.com

**DETAILS OF THE SERVICE OR PRODUCT YOU ARE COMPLAINING ABOUT**

ACCOUNT NUMBER (IF APPLICABLE)

NAME OF THE PRODUCT (FINANCIAL INSTRUMENT) / NATURE OF THE SERVICE

Service or activity complained about

Transactions in securities or other financial instruments;  
Credit facility  
  
Terms and conditions, forms and other Bank documents  
  
Other:

Investment advisory services;  
  
Custody or depositary services  
  
Fees or charges

Payment services;  
  
Disclosures or provision of information  
  
Communications and relationship management

Department involved in the service or activity

Private Banking & Payments Department  
  
Other:

Securities & Custody Department

Client Relations & On-Boarding

NAME(S) OF THE PERSON(S) WITHIN THE BANK INVOLVED IN THE SERVICE OR ACTIVITY

DATE(S) WHEN THE SERVICE OR ACTIVITY WAS CARRIED OUT

DESCRIPTION OF THE COMPLAINT\* PLEASE INCLUDE AS MUCH INFORMATION AS POSSIBLE TO DESCRIBE WHAT LEAD YOU TO FILE THE COMPLAINT AND HOW IT AFFECTED YOU.

HOW WOULD YOU LIKE US TO PUT THE MATTER RIGHT FOR YOU?

DOCUMENTS ATTACHED TO THE COMPLAINT PLEASE LIST THE SUPPORTING DOCUMENTS PROVIDED TOGETHER WITH THIS COMPLAINT (E.G. THE CONTRACT NOTE, THE NOTICE RECEIVED FROM THE BANK, ANY CORRESPONDENCE OR ANY OTHER DOCUMENT WHICH YOU DEEM RELEVANT).

ADDITIONAL COMMENTS (OPTIONAL):

**PRIVACY NOTICE**

The Bank is committed to processing personal data in the handling of complaints in accordance with its obligations under the General Data Protection Regulation (Regulation (EU) 2016/679; "GDPR") and the Data Protection Act (Chapter 586 of the Laws of Malta).

General information regarding data protection under the GDPR is given in the General Data Protection Notice to Customers, available from our website. Additional information specifically related to personal information provided to the Bank in filing and dealing with a complaint is given below.

Personal information provided in this form or otherwise in relation to the complainant or any individual representing the complainant, will be processed for the purpose of handling the complaint, dispute resolution and taking remedial action; analysis, research and statistics for the evaluation, development and improvement of the Bank's business model and strategy and, or the Bank's systems, products and services; reporting to regulator or supervisory authority and other competent authority; compliance with legal and regulatory obligations under applicable law; archiving; and instituting, defending and enforcing legal claims, administrative, arbitration or court proceedings.

The processing of personal data is based on one or more of the following legal bases: (i) to perform a contract, including the Bank's standard terms and conditions and other agreements which may be entered into for the provision of services or products by the Bank, including the use of the Online Services; (ii) compliance with a legal or regulatory obligation to which the Bank is subject; and, or (iii) legitimate interests pursued by the Bank or by a third party (for example, the protection and management of the business and financial interests, reputation and risk exposures of the Bank and of third parties involved in the relevant services and activities).

Personal data related to the complainant or any individual representing the complainant will be treated as confidential, but may be disclosed or accessible to third parties, such as professional advisors, delegates, agents, IT and software suppliers and other service providers of the Bank (and their sub-contractors), referrers of business, financial institutions, intermediaries and other third parties involved in the transaction, service or activity; regulatory or supervisory authorities, courts, arbitrators, administrative bodies and law enforcement agencies.

You have the right to request access to your personal data as well as the right to request rectification or, where applicable, erasure of any inaccurate, incomplete or immaterial personal data; to request restriction of processing, to object to processing and to request data portability for the data held by the Bank.

If you consider that the processing of your personal data is carried out in an unlawful manner, you may lodge a complaint with the Information and Data Protection Commissioner.

The retention period of the personal data provided in this form is six (6) years.

Please complete and sign the box below.

**COMPLAINANT'S CONFIRMATION\***

The undersigned hereby confirms that to the best of his / her knowledge, the information furnished in this form is true, accurate, correct and complete.

NAME	SIGNATURE
SURNAME	
DATE	

SPARKASSE BANK MALTA PUBLIC LIMITED COMPANY IS A PUBLIC LIMITED LIABILITY COMPANY REGISTERED IN MALTA WITH REGISTRATION NUMBER C27152 AND REGISTERED OFFICE AT 101 TOWNSQUARE, IX-XATT TA' QUI-SI-SANA, SLIEMA SLM3112, MALTA. SPARKASSE BANK MALTA PUBLIC LIMITED COMPANY IS LICENSED BY THE MALTA FINANCIAL SERVICES AUTHORITY TO CARRY OUT THE BUSINESS OF BANKING IN TERMS OF THE BANKING ACT (CAP. 371 OF THE LAWS OF MALTA), TO PROVIDE INVESTMENT SERVICES AND CUSTODY AND DEPOSITARY SERVICES IN TERMS OF THE INVESTMENT SERVICES ACT (CAP. 370 OF THE LAWS OF MALTA), AND IS AUTHORISED TO ACT AS CUSTODIAN OF RETIREMENT SCHEMES IN TERMS OF THE RETIREMENT PENSIONS ACT (CAP. 514 OF THE LAWS OF MALTA).

**FOR BANK USE ONLY**

MAIN ACCOUNT NUMBER	RECEIVED BY
	REVIEWED BY