

Complaints procedure

Customer complaint is important to us

Nasdaq Clearing wants to ensure a good management of complaints and to maintain trust towards members and clients. Please see Nasdaq Clearing's policy regarding complaints, according to which all complaints will be treated fairly and as quickly as possible.

Contact the operational person initially

Are you dissatisfied with Nasdaq Clearing's performance or failure to perform relating to clearing, and that affected you directly, you should first contact the staff you had contact with on the matter.

Nasdaq Clearings management of formal complaints

If the dissatisfaction persists after the initial contact with the staff of the matter a formal complaint can be reported to the Legal Department. A formal complaint to the Legal Department shall be prepared in writing.

Complaints shall be made as soon as possible and no later than thirty (30) days following the date on which the complainant first became aware or should have reasonably become aware of the circumstances giving rise to the formal complaint.

The written complaint shall contain the following information.

- a description of the nature of the complaint;
- information on the complainant's name, address, and account number;
- the name of all persons identified in the complaint;
- the disposition of the complaint.

You can contact the Legal Department via e-mail or by sending your complaint by post. Contact details can be found below:

Adam Göransson
Head of European Legal and Regulatory Team (acting)
Office of General Counsel
Tullvaktsvägen 15
105 78 Stockholm, Sweden
adam.göransson@nasdaq.com

The Legal Department shall acknowledge a complaint within five (5) working days of receipt.

The Legal Department will aim to notify the complainant of the result of the initial investigation within ten (10) weeks of receipt of the written complaint.