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## FIA LEGAL DOCUMENT

In application of the various laws to which our activities are subject, we ask you to find below the regulatory information which will govern all of our contractual relations.

### THE COMPANY

**ACTIVE ASSET ALLOCATION INTERNATIONAL CONSULTING**, SAS with capital of € 175,213.30, registered in the Nice Companies Trade Register under number 528 033 202 and whose headquarter is located at 2 Rue Guiglia, 06000 NICE, FRANCE.

The VAT code is FR 87 528 033 202

The NAF code is 7022Z (business advice and other management advice)

The personal data that you send us as part of our Financial Investment Advisory activity and the services we offer are collected and processed by Active Asset Allocation, represented by Adina GRIGORIU (Chairman) as data controller within the meaning of provisions of the General Regulations on the Protection of Personal Data (GDPR). They are intended for the proper performance of our services, to ensure that your needs match our solutions and to contact you.

The data collected will be kept for the duration of our contractual relationship and then archived for a period of five years. In accordance with the law "Informatique et Libertés", you can exercise your right of access to your data and have them rectified by contacting: [contactweb3a@active-asset-allocation.com](mailto:contactweb3a@active-asset-allocation.com).

### FRAMEWORK OF ACTIVITY AND TUTORSHIP AUTHORITY

The activity of Financial Investment Advisory, offering independent or non-independent advisory services within the meaning of Article 325-5 of the RGAMF, is governed by Law No. 2003-706 of August 1, 2003, the Monetary Code and Financial and related laws, decrees and ordinances, and is exercised under the cover of registration n ° 13000765 with ORIAS, available on the website [www.orias.fr](http://www.orias.fr), member of ANACOFI-CIF under the n ° E008967, association approved by the Financial Markets Authority (FMA).

L'ANACOFI-CIF: NATIONAL ASSOCIATION OF FINANCIAL ADVICE - CIF, 21 Boulevard des Batignolles, 75008 Paris - Tel. : 01 53 25 50 80 - Site: [www.anacofi-cif.fr](http://www.anacofi-cif.fr).

The ANACOFI-CIF is an association governed by the 1901 law, and approved by the AMF - SIRET n ° 498 687 888 00012 Training activity registered under number 11 75 521 1975 with the Prefect of the Ile de France region.

Active Asset Allocation benefits from a professional liability guarantee in accordance with Articles L341-5 and L541-3 of the Monetary and Financial Code and Article L512-6 of the Insurance Code from Liberty Mutual Insurance Europe Limited, 5, boulevard de la Madeleine, 75001, Paris.



## INVOICING MODE AND STAFF REMUNERATION

Active Asset Allocation charges fees, which are subject to negotiation and discussion between Active Asset Allocation and its client, after defining its needs and objectives.

## CLAIMS PROCESSING

**(Article 325-12-1 of the RGAMF and AMF Instruction n ° 2012-07 of 07/13/12 - Update 04/24/13, 11/20/13 and 10/17/14)**

For any complaint, your advisor can be contacted as follows:

By post: Active Asset Allocation - Claims Department, 2 Rue Guiglia, 06000 Nice - France

By phone: 04 93 18 02 97

By email: [contactweb3a@active-asset-allocation.com](mailto:contactweb3a@active-asset-allocation.com)

Your advisor undertakes to process your complaint within the following deadlines:

- 10 working days maximum from receipt of the complaint, to acknowledge receipt, unless the response itself is provided to the customer within this period;
- 2 months maximum between the date of receipt of the complaint and the date of sending the response to the customer, except in the event of specific, duly justified circumstances.

Competent mediator for disputes with a company:

Mediator of ANACOFI - 92, Rue d'Amsterdam, 75009, Paris - France

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Please read and keep a copy of this document signed by us and give us a copy countersigned by yourself.

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City:

Date:

For:

Name of Signatory :

Signature preceded by the words "Read and Approved":