

Handbook Complaints filing process

Edition 06/2026



LUXEMBOURG
STOCK EXCHANGE

Table of contents

Context and purpose	2
Who is entitled to file a complaint?	2
How can the LuxSE be reached for a complaint?	2
How will your complaint be handled?	3
What are the response times?	3
What else can be done if no response or a not satisfactory response is provided?	3

Context and purpose

The Luxembourg Stock Exchange (the **LuxSE**) operates in Luxembourg a regulated market, as defined by article 4(1)(21) of MiFID II¹ and a multilateral trading facility, called Euro MTF, as defined by article 4(1)(22) of MiFID II. In addition the LuxSE qualifies as a specialised professional of the financial sector in accordance with the Luxembourg law dated 5 April 1993 on the financial sector, as amended.

The present handbook (the **Handbook**) shall inform every interested person making use of a product or service offered by the LuxSE to be informed on how to file a complaint. At the LuxSE, it is a priority to provide a high quality of service and constantly improve the products and services offered. It is therefore of utmost importance to receive feedback on elements in that offering that require the LuxSE's attention.

The Handbook provides details on the mandatory information to be submitted, the process to be followed and the responses that can be expected from the LuxSE when filing a complaint with the LuxSE. In addition information on the out-of-court complaint resolution process with the Luxembourg financial sector regulator (the *Commission de Surveillance du Secteur Financier*, the **CSSF**) is provided.

Who is entitled to file a complaint?

Every legal or natural person who is seeking recognition of a right or remedy for a harm in the context of a product or service offered by the LuxSE is entitled to file a complaint with the LuxSE. Complaints that are not related to a financial product or service of the LuxSE will not be taken into account.

How can the LuxSE be reached for a complaint?

Every complaint must be sent in writing to the attention of the Executive Committee either by mail at:

- Luxembourg Stock Exchange
- To the attention of the Executive Committee
- PO Box 165
- L-2011 Luxembourg

or by e-mail at:

- secretariatgeneral@luxse.com
- Subject of the e-mail: Complaint to the attention of the Executive Committee

¹ Directive 2014/65/EU of the European Parliament and the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU, as transposed into the Luxembourg legal framework by the law of 30 May 2018 on markets in financial instruments, as amended.

How will your complaint be handled?

The Chairperson of the Executive Committee has appointed the Secretary General of the LuxSE as the person in charge of handling the complaints.

To file a valid complaint with the LuxSE, the complaint must:

- be sent in writing to one of the above mentioned addresses;
- contain sufficient information on the context and the reasons of the complaint to allow the LuxSE to provide an appropriate response; and
- provide contact details of the person filing the complaint to allow for a response and, where relevant, an exchange prior to the provision of the response. These contact details should cover at least the name, address and telephone number and for legal persons, the company name and title of the person filing the complaint.

Further information regarding the treatment of personal data can be found on the LuxSE's website at: <https://www.luxse.com/gdpr>. In case of queries or requests related to the processing of personal data, the LuxSE can be reached through the following e-mail address: privacy@luxse.com.

What are the response times?

In accordance with the CSSF Regulation N°16-07 dated 11 November 2017 relating to out-of-court complaint resolution (the **Regulation**):

- an acknowledgement of receipt of the complaint shall be provided within 10 Luxembourg business days from the date of receipt of the complaint;
- a definitive response to the complaint signed by a member of the Executive Committee and the Secretary General shall be provided, to the extent possible, by postal mail within 1 month from the date of receipt of the complaint;
- in the event of the occurrence of special circumstances for which the above deadline cannot be met, the person having filed the complaint will be informed of the causes of the delay and the revised deadline for the response to the request.

What else can be done if no response or a not satisfactory response is provided?

If no response or a response deemed not satisfactory is provided, a request can be made to the CSSF in accordance with the procedure applicable to the out-of-court complaint resolution further detailed in the Regulation accessible on the CSSF's internet page <https://www.cssf.lu>.

Requests to the CSSF may be sent either

by mail:

- Commission de Surveillance du Secteur Financier
- L-2991 Luxembourg

by fax or e-mail as indicated on the CSSF internet page:

- <https://www.cssf.lu>

or directly on the CSSF internet page through an online form.

The request to the CSSF shall be sent within one year from the date the complaint was filed with the LuxSE.