

 <b>CME Group</b> <span style="float: right;"><i>LEADING WITH CONVICTION AND INTEGRITY</i></span>		
<b>EMEA-APAC COMPLAINTS PROCEDURE</b>	CME Group Procedure Document No:	N/A
	Procedure Document Issued By:	EMEA Regulatory Compliance
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## PURPOSE AND SCOPE

The purpose of this Procedure is to set out details on the management of customer complaints to ensure that they are handed fairly and effectively, in a prompt and transparent manner and in accordance with applicable regulatory requirements (including, but not limited to, Article 26 of the MiFID organisational requirements Delegated Regulation<sup>1</sup>. In accordance with those requirements, this Procedure shall be published on the CME Group website.

Great importance is placed on customer interests and this Procedure provides an opportunity to investigate, address and improve services for customers.

This Procedure applies to the following regulated CME Group entities in the EMEA and APAC regions (hereafter “Regulated Entities”):

- *BrokerTec Europe Limited (UK)*
- *CME Amsterdam B.V. (The Netherlands)*

## COMPLAINTS MANAGEMENT

The Compliance function is responsible for maintaining the complaints management process on behalf of the Regulated Entities.

In accordance with this, the Compliance function has established and implemented a transparent complaints management procedure for the prompt and effective handling of complaints.

Communications with customers about complaints shall be made in a clear manner, in plain language that is easy to understand, and shall ensure the complaint is replied to without undue delay.

## DEFINITION OF A COMPLAINT

<sup>1</sup> COMMISSION DELEGATED REGULATION (EU) 2017/565 of 25 April 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council as regards organisational requirements and operating conditions for investment firms and defined terms for the purposes of that Directive and the UK onshored version of the same as amended and transposed into the laws of the United Kingdom pursuant to the European Union (Withdrawal) Act 2018 and the European Union (Withdrawal Agreement) Act 2020.

A complaint is defined as:

*Any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service or a redress determination which alleges that the complainant has suffered (or may suffer) financial loss or material inconvenience.*

## COMPLAINTS NOT COVERED BY THIS PROCEDURE

For a matter to be treated as a complaint, the dissatisfaction should relate to a specific aspect of the service being provided which would not include:

- A desire from the customer to see additional or supplementary features (e.g. service developments that are outside the scope of the existing agreement for services);
- Circumstances that are entirely out of the control of the Regulated Entities (e.g. relating to the acts (or failures to act) of one or more customers using the service in question);
- Challenges on the basis of existing and agreed fee structures;
- Dissatisfaction with general policies or with the exercise of discretion where no unprofessional or other misconduct, mistake, lack of care, unreasonable delay, bias or lack of integrity is alleged;
- Claims where the complainant is clearly not acting in good faith; or
- Operational enquiries.<sup>2</sup>

## COMPLAINTS PROCEDURE

All complaints shall be treated fairly and as promptly as possible.

### Initial handling

General enquiries and complaints can be received via various channels. In circumstances where the issue at hand is considered to be an enquiry (and does not fall within scope of the definition of a complaint detailed in this procedure) the receiver of the enquiry may attempt to resolve the issue independently. If however, the nature of the enquiry evolves into a complaint or is identified as one from the outset then the receiver of the complaint shall instruct the customer to direct their complaint to [InternationalCompliance@cmegroup.com](mailto:InternationalCompliance@cmegroup.com) for further review and investigation.

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<sup>2</sup> A Regulated Entity may decide to treat an operational enquiry or series of operational enquiries as a complaint in certain circumstances.

The person receiving the complaint should also make clear that customers may also direct their complaint, at any time, directly to the Compliance function at [InternationalCompliance@cmegroup.com](mailto:InternationalCompliance@cmegroup.com).

Where an individual person has been formally appointed by a Regulated Entity as a Complaints Officer, then that person shall be informed of any complaint pertaining to that Regulated Entity and shall lead the handling of any such complaint by Compliance.

## **Handling by Compliance**

### *(a) Acknowledgment of receipt*

Compliance will promptly acknowledge the receipt of the complaint by way of a written confirmation to the customer, indicating that the complaint is being investigated independently, and that a response will be provided in due course including findings and any corrective action.

Compliance will also notify the senior manager of the relevant business line detailing the circumstances of the complaint.

### *(b) Investigation*

The investigation of the complaint shall be led by Compliance. Any required information or explanation will be sought from relevant business or support functions, or directly from the customer if necessary.

The investigation shall determine whether the complaint is upheld, and if so, what corrective actions may be appropriate in response to the issue.

Compliance shall conclude the investigation as quickly as possible and will ensure the complainant is kept informed of the progress of the measures being taken for the complaint's resolution.

### *(c) Response*

The conclusions of the investigation shall be communicated promptly, and in clear language, to the customer. In the event that a complaint is partially or fully rejected, reasons shall be given with a reasonable level of detail.

In the event that the complainant is dissatisfied with the outcome, Compliance will inform the client about their options, including potential referral to an alternative dispute resolution body where appropriate. A list of such bodies located in the European Union is available via the link below: [https://consumer-redress.ec.europa.eu/dispute-resolution-bodies\\_en](https://consumer-redress.ec.europa.eu/dispute-resolution-bodies_en). In the UK, clients may be able to refer the matter to the Financial Ombudsman Service.

### *(d) Reporting*

Compliance shall report on a regular basis (and at least quarterly) to the Board or CEO of the relevant Regulated Entity concerning any complaints made in respect of that entity's services.

Such reporting shall include an analysis of the root causes of any complaints and any measures deemed appropriate to remedy such root causes.

## RECORD KEEPING

Compliance shall maintain a record of all complaints received and managed under this Procedure, including:

- The legal entity and service that is the subject of the complaint;
- The customer who made the complaint (including name and any account number);
- The date on which the complaint was received;
- The circumstances of the complaint;
- The outcome and conclusions of the investigation;
- The date on which a final response was given;
- Any remedial actions taken as a result of the complaint;
- Any correspondence received from or sent to the customer in connection with the complaint.

## OVERSIGHT AND REVIEW OF PROCEDURE

CME Group will periodically audit and monitor compliance with this Procedure as necessary and appropriate. This Procedure is subject to review as needed but at least on an annual basis.

Revision History for EMEA-APAC Complaints Procedure	
Date	Revision
August 2020	Stand-alone document created
June 2022	Periodic review – updates to Regulated Entity list and legislative references
September 2023	Periodic Review
December 2024	Periodic Review
November 2025	Periodic Review - update to Regulated Entity list