



# Procedure for handling suggestions, complaints, claims & appeals

15 January 2025

# Procedure for handling suggestions, complaints, claims & appeals

This agreement is dated 15 January 2025

This procedure is applicable to all Principal Projects.

## Content

1) INTRODUCTION	2
2) OBJECTIVE	3
3) APPLICABLE PROCEDURE	4
4) ANNEX	6

### 1) INTRODUCTION

EcoSecurities has designed this procedure for handling suggestions, complaints, claims, or reports from its clients, aligned with best practices and international standards, to strengthen its culture and ensure compliance with conduct regulations, as well as to guarantee its values of transparency, customer service focus, and long-term relationships.

In its general actions, in its role as Developer and Marketer of Carbon Credits and/or any other type of instruments to be used in voluntary or regulated carbon markets, both national and international, to mitigate the growth of greenhouse gas (GHG) concentrations and contribute to mitigating the adverse effects of climate change.

EcoSecurities must:

- Act with honesty, impartiality, professionalism, diligence, and loyalty in the best interest of the clients.
- Have knowledge of its clients that allows the evaluation of their experience and investment objectives, and tailor its services accordingly, employing the necessary means and procedures for these purposes.
- Make available to its clients all information that, being within its knowledge and not subject to confidentiality requirements, could have a direct and objective influence on decision-making.

- Avoid any practice that could mislead or in any way invalidate the consent of its counterparts or other market participants.
- EcoSecurities will address Suggestions, Complaints, Claims, or Reports and, if applicable, may inform the Board of Directors of the Company in the manner provided in this procedure.

## 2) OBJECTIVE

The purpose of this procedure is to establish the mechanisms for handling and, if applicable, resolving any suggestion, complaint, or claim presented to ECOSECURITIES, ensuring that they are addressed fairly and impartially, and within the timeframes established herein.

For the purposes of this document, the terms "suggestion," "complaint," "claim," and "appeal" have the following meanings. The handling of each is described in the following section.

"Suggestion" refers to any recommendation or hint directed to ECOSECURITIES with the intention of contributing to the services and provisions provided by ECOSECURITIES, typically arising from a failure or partial and non-critical non-compliance with the stipulated obligations.

"Complaint" refers to any expression of protest or dissatisfaction directed to ECOSECURITIES regarding the services and provisions for the project that have had an adverse, arbitrary, unintended, or involuntary effect.

"Claim" refers to any request directed to ECOSECURITIES in which a demand is made for the project or an explicit response is requested, related to or arising from supposed deficient or inadequate services or non-compliance with stipulated obligations.

"Appeal" refers to the process initiated by the claimant when a complaint or claim has not been resolved to their satisfaction.

### 3) APPLICABLE PROCEDURE

#### 3.1. Requirements for Submitting Complaints and Suggestions

- I. The complaint or suggestion must include the following information:
  - a. Name of the person submitting the complaint or suggestion.
  - b. Name of the organization, if applicable.
  - c. Contact information of the person submitting the complaint or suggestion.
  - d. Details of the complaint or suggestion.
  - e. Statement of any conflict of interest when submitting the complaint or suggestion.
  
- II. The complaint or suggestion must be addressed to the regional program manager listed on the ECOSECURITIES website and must be sent via email to [lsc@ecosecurities.com](mailto:lsc@ecosecurities.com) with the word "complaint" or "suggestion" in the subject line. The sender will then receive an email response acknowledging the receipt of the complaint or suggestion. Alternatively, it may be mailed to one of the following addresses:
  - a. ecosecurities do Brasil:
    - i. Avenida Presidente Wilson, 231 - 14º andar, sala 208 Centro, Rio de Janeiro - RJ, 20030-905.
  - b. ecosecurities Head Office:
    - i. Rue de la Faïencerie 2,1227 Carouge, Suiza.
  
- III. ECOSECURITIES will designate a suitable person to handle the complaint or suggestion, who will conduct an analysis (involving external experts, if necessary) and determine the appropriate action required.
  
- IV. ECOSECURITIES will prepare and send a written response to the person who submitted the complaint or suggestion. The response to the complaint or suggestion will be presented and approved by the CEO of ECOSECURITIES.
  
- V. All information submitted regarding the complaint or suggestion will be treated confidentially by ECOSECURITIES.

#### 3.2. Requirements for Submitting Claims

- I. The Claim must include the following information:
  - a. Name of the person submitting the Claim.
  - b. Name of the organization, if applicable.
  - c. Contact information of the person submitting the Claim.
  - d. Details of the Claim.

- e. Statement of any conflict of interest when submitting the Claim.
- II. The Claim must be addressed to the regional program manager listed on the ECOSECURITIES website and sent via email to [lsc@ecosecurities.com](mailto:lsc@ecosecurities.com) with the word "Claim" in the subject line. The sender will then receive an email response acknowledging the receipt of the Claim.
- III. ECOSECURITIES will designate a suitable person to handle the Claim, who will conduct an analysis (involving external experts, if necessary) and suggest the appropriate action.
- IV. Within five (5) business days of receipt, the Board of Directors will evaluate the details of the Claims, indicating the status of each case and the actions to be taken.
- V. All information submitted regarding the Claim will be treated confidentially by ECOSECURITIES.
- VI. The Board of Directors of ECOSECURITIES will prepare and send a written response to the person who submitted the Claim. The response to the Claim will be presented and approved by the CEO of ECOSECURITIES.

### 3.3. Appeals

When a complaint has been submitted following the previous procedure and it has not been resolved to the satisfaction of the claimant, the claimant may use the following procedure to request an appeal:

- I. The appeal must include the following information:
  - a. Name of the person submitting the appeal.
  - b. Name of the organization, if applicable.
  - c. Contact information of the person submitting the appeal.
  - d. Details of the appeal, including reference to the original complaint, claim, or report submitted.
- II. The appeal must be sent via email to [lsc@ecosecurities.com](mailto:lsc@ecosecurities.com) and addressed to the CEO of ECOSECURITIES with the word "Appeal" in the subject line. The sender will then receive an email response in which the CEO acknowledges receipt of the appeal.
- III. The CEO will present the appeal to the Board of Directors of

ECOSECURITIES, who will conduct an analysis involving external experts, if necessary.

- IV. The Board of Directors of ECOSECURITIES will prepare a written response, which will be approved and sent by the CEO of ECOSECURITIES to the appellant. The decision of the Board of Directors of ECOSECURITIES will be final and binding.
- V. All information submitted regarding the appeal will be treated confidentially by ECOSECURITIES.

#### 4) ANNEX

Online platform for submitting Claims or Reports:

<https://www.ecosecurities.com/contact>

