

Complaints Policy and Procedures

Mesirow Financial Currency Management (MFCM) aims to ensure that it treats its customers fairly at all times.¹ This document sets forth MFCM's policy and procedure for accepting, processing and resolving complaints received from prospective and existing clients. Any complaint received from a potential or existing client is investigated diligently and impartially, assessing fairly and promptly the subject matter of the complaint, whether the complaint should be upheld and what remedial action or redress may be appropriate.

Complaints

A complaint is 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, material distress or material inconvenience.

Complainants include retail clients, professional clients, eligible counterparties and potential investors.

MFCM has established, implemented and maintains an effective and transparent complaints management policy and procedures (which are set forth below) for the prompt handling of clients' or potential clients' complaints. This policy shall be approved by the MFCM's senior management.

Consumer Awareness

MFCM publishes on its website the details of the process to be followed when handling a complaint. Such details shall include information about the complaints management policy and the contact details for the complaints management function. This information will be provided to clients or potential clients, on request, or when acknowledging a complaint.

Complaints Handling

Complaints may be submitted orally or in writing using the contact information below. Any members of staff who receive

a complaint from a client are required to immediately pass the details on to the email address in the contact information below. The Compliance Officer will then analyse the complaint to ensure that any risks or issues are identified and addressed.

The Compliance Officer will communicate with clients or potential clients clearly, in plain language that is easy to understand and will reply to the complaint without undue delay informing them about their options, including that they may be able to refer the complaint to an alternative dispute resolution entity. MFCM is required to enable clients and potential clients to submit complaints free of charge.

Complaints Forwarding Rules

When MFCM has reasonable grounds to be satisfied that another respondent may be solely or jointly responsible for the matter alleged in a complaint, it may promptly forward the complaint, or the relevant part of it, in writing to that other respondent, provided it does so promptly, however it must inform the complainant promptly in a final response of the reason for forwarding the complaint, including the other respondent's contact details. Where jointly responsible for the fault alleged in the complaint, MFCM will comply with its own obligations (as applicable) in respect of that part of the complaint it has not forwarded.

Record Keeping Requirements

MFCM's Compliance Officer is responsible for recording each complaint received and the measures taken for its resolution. These records are kept for at least five years from the date the complaint was received.

Compliance with these policies and procedures is monitored through MFCM's Compliance Monitoring Programme and the Compliance Officer's annual report to MFCM's senior management will include confirmation of any complaints received during the period under review, and their outcomes.

¹ Mesirow Financial Currency Management consists of the Currency Risk Management Division of Mesirow Financial Investment Management, Inc. (MFIM), regulated by the SEC, and Currency Alpha and Macro Strategies Division of Mesirow Financial International UK, Limited (MFIUK), a MiFID II investment firm regulated by the FCA. This communication may contain privileged and/or confidential information. It is intended solely for the use of the addressee. Please do not disclose, copy, distribute or use any of this information without permission from the sender.

Contact Information

Mesirow Financial
Attention: Compliance Officer
353 North Clark Street
Chicago, Illinois 60654
312-595-6000
Compliance4@mesirowfinancial.com

Policy Review

This policy and procedure are subject to review and amendment by the MFCM Compliance Committee. Such review will account for changes in regulations and changes in business activities and will take place on an annual basis.

This communication may contain privileged and/or confidential information. It is intended solely for the use of the addressee. Please do not disclose, copy, distribute or use any of this information without permission from the sender.

Mesirow Financial refers to Mesirow Financial Holdings, Inc. and its divisions, subsidiaries and affiliates. The Mesirow Financial name and logo are registered service marks of Mesirow Financial Holdings, Inc., © 2018, Mesirow Financial Holdings, Inc. All rights reserved. Investment management services provided through Mesirow Financial Investment Management, Inc., a SEC-registered investment advisor.

