



Complaint handling procedure in connection with the accountability framework requirements under Art. 7 of Regulation (EU) 2016/1011

1. This procedure regulates the processing and consideration of complaints submitted by interested parties, market participants, in connection with the benchmark administrator activity of Bulgarian Stock Exchange (BSE) under Regulation (EU) 2016/1011 of the European Parliament and of the Council.

2.1. BSE establishes and maintains a procedure for processing of complaints, ensuring timely and objective consideration of the submitted complaints.

2.2. Complaints may be submitted in person or via proxy to:

1. The correspondence address of the company in the city of Sofia at 6 Tri ushi St.;
2. The official electronic mail of the company published on the BSE website.

3.1. The complaint may be submitted either in Bulgarian or English.

3.2. The complaint should be submitted in a written free form containing the following information:

1. Appellant identification (Full name, personal identification number/ID number, Unified Identification Code (UIC), similar data for foreign persons);
2. Correspondence address (postal or electronic) and a phone number for feedback;
3. Statement of complaint;
4. Inventory of the documents to the complaint;
5. Signature of the appellant, the legal representative or proxy.

3.3. Anonymous complaints shall not be considered.

3.4. The executive director defines the information access level for processing complaints following the regulatory requirements.

4.1. Received complaints shall be entered in the filing system on the day of their receipt and shall be distributed for consideration by persons appointed by the executive director, who are not related to the subject of the complaint.

4.2. The necessary investigations and check-ups on the complaint will be carried out as well as a reasoned report with a draft response will be prepared.

4.3. When necessary, the Legal Department to the Compliance Directorate will assist the persons mentioned under 4.1., if the case requires a regulatory compliance assessment.

4.4. The response to the appellant shall include the actions/measures taken for solving the reason for complaint if there are grounds for such.

4.5. If the complaint is of the competence of the Board of Directors or requires the attention of the Board of Directors, the report mentioned under 4.2. is presented for discussion at a meeting of the Board of Directors in person.

4.6. The response has to be returned to the appellant within twenty (20) working days as of the receipt of the complaint in the same way as the complaint has been received.



5. BSE analyses the received complaints and takes measures to eliminate any weak points in its activity found based on the complaints, to identify and overcome recurring or systemic problems as well as potential legal and operational risks.

6. BSE keeps all the documentation and information connected to the received complaints in hard or electronic copies within the statutory period of limitation.

7. The person exercising monitoring functions, together with the Legal Department to the Compliance Directorate, is responsible for the implementation of this procedure.