



**Rules and Regulations
for accepting and examining
complaints at IRGiT S.A.**

Table of contents

1	General.....	3
2	Submission of complaints.....	3
3	Handling of Complaints	4
4	Rules to ensure the security of information flow.....	4
5	Miscellaneous.....	4
6	Attachment	5

1 General

- 1.1 These Rules and Regulations establish the principles applicable to the handling of complaints by Izba Rozliczeniowa Giełd Towarowych S.A. (IRGiT S.A.).
- 1.2 IRGiT makes every effort to ensure that all complaints are examined in a careful, reliable and timely manner, to the best ability of its employees.
- 1.3 The terms used herein have the following meanings:
 - a. IDZ – Compliance Officer,
 - b. Competent department – organizational unit responsible for examining the complaint,
 - c. IRGiT – Izba Rozliczeniowa Giełd Towarowych S.A.,
 - d. Rules and Regulations – Rules and Regulations for accepting and examining complaints at IRGiT,
 - e. Complaints Register – register, kept by IDZ in electronic form, for complaints submitted by entities other than IRGiT participants/members,
 - f. Compliance Complaints Register – register, kept by IDZ in electronic form, for complaints submitted by IRGiT participants/members,
 - g. Complaint – allegation against an action taken of IRGiT or by an entity cooperating with IRGiT, submitted by entities other than IRGiT participants/members,
 - h. Compliance Complaint – allegation against an action taken of IRGiT or by an entity cooperating with IRGiT, submitted by an IRGiT participant/member,
 - i. complaint – Complaint or Compliance Complaint, as the case may be,
 - j. Office – Office of the Warsaw Stock Exchange,
 - k. System – electronic document circulation system.

2 Submission of complaints

- 2.1 Compliance Complaints and Complaints shall be submitted as follows:
 - a. in writing by sending a complaint to IRGiT's postal address;
 - b. by e-mail to the following address skargi@irgit.pl
- 2.2 All submitted complaints should contain the following elements in particular:
 - a. title, clearly identifying the document as a complaint;
 - b. data of the complainant (first and last name or company name, e-mail address);
 - c. detailed description of the malpractice committed by IRGiT or by an entity cooperating with IRGiT (specifying, if possible, the persons, time, place, circumstances and regulations which, according to the complainant, were violated);
 - d. optionally, documents specifying the malpractice committed by IRGiT or by an entity cooperating with IRGiT.
- 2.3 If an e-mail is received that may constitute a complaint within the meaning of these Rules and Regulations, the recipient shall analyze the content of such message and make a decision on how to proceed.
- 2.4 In respect of a received complaint that:
 - a. is anonymous;
 - b. has been sent unsigned from a non-personalized address;
 - c. contains threats, offensive language or attempts to intimidate;as a rule, no reply shall be provided.
- 2.5 Letters or e-mails sent for IRGiT's information shall be registered in the System, but, as a rule, shall not be examined.

- 2.6 If an e-mail is received at an IRGiT address other than skargi@irgit.pl, but the recipient comes to the conclusion that such e-mail constitutes a complaint within the meaning of these Rules and Regulations, such e-mail shall be forwarded to skargi@irgit.pl with a note indicating that the forwarded document is a complaint.

3 Handling of Complaints

- 3.1 If a complaint is received as a result of its submission in the manner provided for in sec. 2.1(b), a reply shall be sent to its sender, reading as provided for in the Attachment hereto.
- 3.2 The reply to a complaint shall be sent in the same form as that of the complaint unless the sender requests otherwise.
- 3.3 Complaints shall be examined without undue delay, but no later than within 30 days of the date of their receipt by IRGiT.
- 3.4 The competent department involved in the complaint examination process may approach the complainant in order to obtain additional information deemed helpful in examining the complaint. In such case, the time limit for its examination shall be counted from the date of receipt of such additional information in writing or by e-mail.
- 3.5 Complaints are handled by the IRGiT Management Board.
- 3.6 IDZ shall keep the Complaints Register and the Compliance Complaints Register.

4 Rules to ensure the security of information flow

- 4.1 In the process of submission, examination and monitoring of complaints, IRGiT shall ensure the protection of the complainant's personal data.
- 4.2 IRGiT, as the personal data controller, shall take special care to protect the interests of the complainant and shall apply the technical and organizational means at its disposal to protect the processing of personal data, in particular against unauthorized access to such data.

5 Miscellaneous

- 5.1 These Rules and Regulations shall be published on IRGiT's website.
- 5.2 IRGiT reserves the right to amend these Rules and Regulations.
- 5.3 Should any changes be made to these Rules and Regulations, the new wording of these Rules and Regulations shall be published on IRGiT's website.

6 Attachment

"Thank you for your submission.

In performance of the obligation arising out of Article 13(1) and (2) of Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (hereinafter referred to as the "GDPR"), please be advised that:

The controller of all personal data obtained during the performance of the obligations arising out of the application of the Complaints Handling Procedure is Izba Rozliczeniowa Giełd Towarowych S.A., ul. Książęca 4, 00-498 Warsaw, telephone no. 22 341 99 01, irgit@irgit.pl.

Such obtained data shall be processed in line with the controller's legitimate interest consisting of keeping a record of complaints, providing replies to complaints and establishing, investigating or taking defense steps against potential claims (Article 6(1)(f) of the GDPR).

Such processing is necessary to fulfill the legal obligation incumbent on the controller (Article 6(1)(c) of the GDPR).

The recipients of such data may be the processors of personal data on behalf of IRGiT in connection with services provided to IRGiT, in particular auditing, consulting or IT services.

The data shall be stored in the System and the Complaints Register for a period of 5 years from the first day of the year following the year in which the complaint was submitted.

Each person has the right to request access to their personal data, rectify or delete such data, or restrict their processing, as well as the right to have such data transferred and the right to submit a complaint against the processing of such data to the President of the Personal Data Protection Authority."