

Investor rights & collective redress mechanisms



This document is as a short summary of key rights as a shareholder/investor in Aegon Asset Management Investment Company (Ireland) Plc and/or the Aegon Asset Management ICAV and/or Aegon Asset Management QIF Plc and/or as an investor in any AIF or UCITS domiciled in The Netherlands and managed by Aegon Investment Management B.V. (together “Funds” and each a “Fund”) for the purposes of the [European Union Cross Border Distribution Regulation \(Regulation \(EU\) 2019/1156\)](#). It is not intended to be and cannot be an exhaustive list of all rights which shareholders/investors may have in respect of the Funds. Please refer to the prospectus or information memorandum of the appropriate Fund for further details. This annex also sets out collective redress mechanisms available to shareholders/investors.

Collective redress mechanisms

Dutch law provides for collective redress in mass claims. Foundations (stichtingen) and associations (verenigingen) that meet certain admissibility requirements can demand injunctive relief and declarations of law that tort or a breach of contract has been committed against a certain class. Dutch law also provides for the court certification of mass settlement agreements by the Amsterdam Court of Appeal. Such certified settlement agreements are binding on an opt-out basis. More recently the Act on Collective Damages Claims (Wet Collectieve Afwikkeling Massaschade in Collectieve Acties or WAMCA) came into force. Since then, it is also possible for damages to be claimed in class actions. It allows for injured parties not resident in the Netherlands to join the collective action on an opt-in basis and possibly even on an opt-out basis. The WAMCA applies to proceedings initiated after it entered into force on 1 January 2020 and relating to events that took place on or after 15 November 2016.

Currently under Irish law, there is no formal representative action procedure in place which facilitates collective redress by consumers in respect of infringements of EU or national law. This means that any action brought in an Irish court relating to an infringement of Irish or EU laws governing collective investment schemes and their managers must currently be litigated on an individual basis. A collective redress mechanism, as required under Directive (EU) 2020/1828, must be implemented in Ireland by 25 June 2023.

Investor Rights

Please be aware that this note is intended as a short summary of your key rights as a shareholder/investor in any Fund for the purposes of the [European Union Cross Border Distribution Regulation \(Regulation \(EU\) 2019/1156\)](#). It is not intended to be and cannot be an exhaustive list of all rights which shareholders/investors may have in respect of any Fund.

- **Right to participate in the investments of the Fund** – The shares/participations entitle the holders to participate proportionately in the profits and losses of the Fund to which the shares/participations relate, subject to any differences between the terms applicable to different share classes. Full details of each Fund’s investment objective and policy are set out in the relevant Fund document available on <https://www.aegonam.com/en/documents/>.
- **Right to receive income** – Each shareholder/investor has the right to a proportionate share of the income (if any) of the Fund in which the shareholder/investor has invested. Depending on the nature of the shares/participations held by the shareholder/investor, such income may either be accumulated into the Net Asset Value of the shareholder’s/investor’s shares/participations or distributed to the shareholder/investor as a dividend payment, in accordance with the terms of the relevant Fund documents.
- **Right to receive information** – Each shareholder/investor has the right to receive certain information about the Fund(s) in which the shareholder/investor has invested. This information will be published on the website and include the Fund’s annual and semi-annual financial statements and monthly reports (if any). Further information may be available on request. Further details in this respect are contained in the relevant Fund documents.
- **Right to attend and vote at Fund shareholder/investor Meetings** – Each shareholder/investor has the right to receive notice of, attend in person or by proxy and vote at general meetings (if any) of the Fund in which the shareholder/investor has invested. In some case shareholders/investors representing a certain % of the assets of the fund have the right to call a meeting of participants and schedule items on the agenda.

- **Right to redeem shares** – Each shareholder/investor has the right to request the fund manager to redeem the shareholder/investor shares/investments on any dealing day at their net asset value per share on such dealing day subject to the terms of the redemption process set out in the relevant Fund documents.
- **Right to data privacy** – Subject to applicable law, investors may have rights in respect of their personal data, including a right to access and rectification of their personal data and in some circumstances a right to object to the processing of their personal data. The Privacy Statement is available at <https://www.aegonam.com/en/privacy-statement>;
- **Right to complain** – Each shareholder/investor which is not satisfied with its experience as an investor in the Fund is entitled to bring a complaint in accordance with the applicable complaints handling policy. As an investor, you are entitled to file a complaint free of charge. Any such complaint must be handled by Aegon Investment Management B.V. or its delegates promptly and effectively. To file a complaint please see <https://www.aegonam.com/en/contact/>. Aegon Asset Management's complaints management policy is available upon request. Irish investors may also have the right to complain to the [Irish Financial Services and Pensions Ombudsman](#). Investors may also raise a complaint through the EU Online Dispute Resolution (ODR) portal www.ec.europa.eu/consumers/odr/ if the complaint relates to Shares that were subscribed by electronic means, including via email. Making a complaint will not prejudice your rights to commence legal proceedings.
- **Right against the relevant Collective Investment Scheme and its Service Providers**- As an investor, you have a right of action against the relevant collective investment scheme of which you are an investor for any breach of contract. Investors do not have any direct contractual rights against any service provider appointed in respect of the relevant collective investment scheme because of the absence of a direct contractual relationship between investors and such service provider. Instead, the relevant collective investment scheme or Aegon Investment Management B.V., as applicable, has a right of action to pursue a service provider in respect of an alleged wrongdoing committed against the relevant collective investment scheme or Aegon Investment Management B.V. by the relevant service provider. An investor has a regulatory right of action to pursue the depositary which has been appointed by the relevant collective investment scheme in respect of (i) any loss of an asset held in the custody of such depositary or any of its delegates or (ii) of any other losses caused by such depositary's negligent or intentional failure to properly fulfil its obligations under applicable regulations provided that this does not lead to a duplication of redress or to unequal treatment of investors in the relevant collective investment scheme.

This summary of key rights is not and does not purport to be exhaustive and shareholders/investors should review the relevant Fund documents in its entirety and consult with their professional advisers to understand their rights more fully.