

# Complaints and Reasoned Concerns Policy Statement

LSEG ESG Rating Provider

## Regulatory Information

For the purposes of Regulation (EU) 2024/3005 on the transparency and integrity of ESG rating activities, Refinitiv France SAS is the ESG Rating Provider responsible for the issuance of the relevant ESG ratings within the European Union.

This document forms part of the governance and disclosure framework supporting ESG ratings and related products distributed under the LSEG brand. References to LSEG products, methodologies, governance frameworks and related disclosures reflect the global operating framework supporting those products and services.

This document forms part of the disclosure framework established to support compliance with the Regulation (EU) 2024/3005 and should be read together with the publicly available disclosure documents at: <https://www.lseg.com/en/data-analytics/sustainable-finance/regulatory-disclosures>.

The use of the LSEG brand in this document is for branding purposes only and does not affect, modify or supersede the identification of the ESG Rating Provider for the purposes of Regulation (EU) 2024/3005.

## Objective

This policy aims to establish a clear, transparent, and independent framework for the receipt, assessment, and resolution of Complaints and Reasoned Concerns pertaining to ESG Ratings, in accordance with Regulation (EU) 2024/3005, Article 19 – Complaints-handling Mechanism, and Article 20 – Reasoned Concerns (“ESG Ratings”).

## Scope

Complaints or Reasoned Concerns related to ESG Ratings may include:

- The sources of data used for an individual ESG Rating, factual errors and mistakes.
- The way in which the rating methodology in relation to an individual ESG Rating has been applied.
- Whether an individual ESG Rating is representative of the rated item or the issuer of the rated item.

## Process

General queries should be directed to the [LSEG Support Portal](#). All Complaints and Reasoned Concerns should be submitted to [sfcompliance@lseg.com](mailto:sfcompliance@lseg.com). The handling process is as follows:

- The independent Compliance function will assess each submission to determine if it constitutes a Complaint or a Reasoned Concern.

- If classified as such, the independent Compliance function will perform an investigation in a timely and fair manner.
- For Reasoned Concerns, we will endeavour to provide a response detailing the findings of the investigation and any corrective measures to the client within 30 working days of receipt.
- For Complaints, the findings of the investigation, and any corrective measures, will be communicated to the client within a reasonable period of time (unless such communication would be contrary to the objectives of public policy or relevant regulations).
- All evaluations and outcomes will be documented and retained in compliance with applicable regulatory and internal record-keeping requirements.

To ensure timely and effective handling, the submission should include **Individual Name, Organization Name, Primary Contact Details** (Email address, Telephone number), and **Description of the Complaint or Reasoned Concern** (The specific ESG Rating, The nature of the issue, any supporting documentation or evidence).

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