# Summary of Investor Rights

**Wellington Luxembourg S.à r.l**

## WHAT IS THIS DOCUMENT?

This document is intended to provide you with a summary of your rights as an investor in the one of the following funds, which we will refer to collectively as 'Wellington Management Funds' throughout this document:

**Wellington Management Funds (Luxembourg)** an open-ended unincorporated mutual investment fund (fonds commun de placement), is governed by Part I of the Luxembourg law of 17th December, 2010, as amended (2010 Law), and thus qualifies as a UCITS.

**Wellington Management Funds (Luxembourg)** II an open-ended unincorporated mutual investment fund (fonds commun de placement), organized under the Luxembourg law of 13th February, 2007, on specialized investment funds, as amended from time to time, and qualifies as an alternative investment fund.

**Wellington Management Funds (Luxembourg) II SICAV** an open-ended investment company with variable capital (société d'investissement à capital variable) of the umbrella type and qualifies as an alternative investment fund.

**Wellington Management Funds (Luxembourg) III SICAV** an open-ended investment company with variable capital (société d'investissement à capital variable) of the umbrella type, is governed by Part I of the Luxembourg law of 17th December 2010, as amended (2010 Law), and thus qualifies as a UCITS.

The appointed management company for these funds is Wellington Luxembourg S.à r.l. is a société à responsabilité limitée registered in Luxembourg and authorised by the Commission de Surveillance du Secteur Financier (the CSSF) as a management company authorised under chapter 15 of the Luxembourg law of 17 December 2010 on undertakings for collective investment, as amended. Wellington Luxembourg S.à r.l.'s registered address is at 33, Avenue de la Liberté, L-1931 Luxembourg

## INVESTOR RIGHTS

Wellington Management Funds are offered on the basis of the information contained in the current Prospectus, the latest Key Information Document or Key Investor Information Document and the latest Annual Report and Accounts or Interim Report and Accounts (if more recent than the Annual Report and Accounts), we encourage you to consult these documents which are available at https://wellington.com/KIIDS. In particular each Prospectus provides information on subscription (application) for units in a fund, and redemption, conversion (switching) of units in a fund.

Right to Redeem Shares Directly – Each unitholder has the right to request Wellington Management Funds to redeem the unitholder's units on any dealing day at their net asset value per unit subject to the terms of the redemption process set out in the Prospectus.

Right to Receive Income – Each unitholder has the right to participate in the income and net assets of a fund in which the unitholder has invested as set out in the Prospectus. Depending on the nature of the units held by the unitholder, such income may either be accumulated into the net asset value of the unitholder's units or distributed to the unitholder as a dividend payment, in accordance with the terms of the Prospectus.

Wellington Management Funds draws investors' attention to the fact that any investor will only be able to fully exercise their rights directly against Wellington Management Funds, notably the right to participate in the General Meetings of unitholders, if

the investor is registered in their own name on the unitholders' register. In cases where an investor invests in Wellington Management Funds through an intermediary, who is investing in their own name but on behalf of the investor, it may not always be possible to exercise certain unitholder rights directly against the Wellington Management Funds. In this scenario, all rights in respect of those units can be exercised against the Wellington Management Funds only through the intermediary. Wellington Management Funds will deal with the intermediary as the registered unitholder. The intermediary shall enter into arrangements with investors to forward all relevant information to investors and to seek their instructions in relation to any matters affecting the units held by them. Wellington Management Funds will not have any liability for any failure by the intermediary to exercise any rights attached to units in accordance with instructions issued by the underlying investors. Investors are advised to take advice on their rights.

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. The privacy policy is available at https://www.wellington.com/en/legal/privacy-notice .

## CONSUMER RIGHTS AND COLLECTIVE REDRESS MECHANISM

The access to collective redress mechanisms refers to rights granted to investors, in the context of consumer laws. The EU Representative Action Directive 2020/18 of 25 November 2020 ("RAD") aims to ensure that consumers (including individual investors in Wellington Management Funds) are able to protect their collective interests in the EU via representative actions. Representative actions are legal actions which may be brought by representative entities (so-called qualified entities) before national courts or administrative authorities on behalf of groups of consumers to seek injunctive and/or redress measures in respect of infringements of various laws prescribed under the RAD that harm or may harm their collective interests.

The RAD provides that all EU countries must have in place a mechanism for the bringing of representative actions. Further information on the RAD (including details of EU Member States' local transposing laws) can be found at the following link: https://commission.europa.eu/law/law-topic/consumer-protection-law/representative-actions-directive_en .

At EU level, investors may lodge a complaint by accessing the dedicated consumer website by following this link: https://consumer-redress.ec.europa.eu/index_en .

In addition, investors may also refer to the dedicated CSSF website by following this link https://www.cssf.lu/en/customer-complaints/ .

## CANCELLATION RIGHTS

Please note that the investors have no rights of cancellation in respect of their holding.

## COMPLAINTS

Written complaints about any aspect of the service including the operations of Wellington Management Funds, or requests to obtain a copy of the complaints handling procedure, which is available free of charge in English, can be addressed to the registered office of the Management Company in Luxembourg:

Complaints Officer
WELLINGTON LUXEMBOURG S.à r.l,
33 avenue de la Liberté,
L - 1931 Luxembourg

You can also send an email to WellingtonGlobalTA@statestreet.com.

If you prefer, you can make your complaint by phone, on +353 1 242 5452

Please note that we can only respond to complaints received from a unitholder of Wellington Management Funds. If your complaint is regarding advice you have been given about an investment(s), you should contact your financial adviser.

Where the handling of the complaint by Wellington Management Funds does not result in a satisfactory answer, an out-of-court complaint resolution procedure exists with the Commission de Surveillance du Secteur Financier ("CSSF"), the Luxembourg financial services regulator. Any submission made to the CSSF must be made within one year of the complaint having been filed with us.

The CSSF may be contacted in writing (CSSF, Département Juridique II, 283 route d'Arlon, L-2991 Luxembourg); by emailing (reclamation@cssf.lu); by completing the form available on their website (www.cssf.lu); or by fax +352 26 25 1-601. The CSSF will also accept requests that have been filed via the European Online Dispute Resolution (ODR) Platform http://ec.europa.eu/odr .

## INFORMATION FOR INVESTORS

The following documents and/or information are available, free of charge, for inspection at the office of the Management Company and at www.wellington.com/KIIDs:

a) The latest available Prospectus and Key Information Documents or Key Investor Information Documents,
b) The latest Management Regulations or Articles of Incorporation of the Umbrella Fund,
c) The latest available annual and semi-annual financial reports of the Umbrella Fund

**The foregoing is based on the Wellington Management Fund's understanding of the law and practice currently in force in the EU and is subject to changes therein. It should not be taken as constituting legal advice and, Investors should obtain information and, if necessary, should consult their professional advisers on the possible consequences of buying, holding, transferring or selling the units under the laws of their countries of origin citizenship, residence or domicile. Furthermore the content of this document is for information purposes only, it does not constitute any offer or promotion of sale nor does it make any reference to the suitability of investments referred to herein.**

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