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BOARD OF THE BANK OF LITHUANIA

RESOLUTION

ON THE APPROVAL OF THE RULES FOR THE EXAMINATION OF REQUESTS AND COMPLAINTS OF INDIVIDUALS AND THE PROVISION OF SERVICES TO THEM AT THE BANK OF LITHUANIA

8 May 2014 No 03-76
Vilnius

In accordance with Article 11(1)(7) of the Republic of Lithuania Law on the Bank of Lithuania, the Board of the Bank of Lithuania hereby *r e s o l v e s*:

To approve the Rules for the Examination of Requests and Complaints of Individuals and the Provision of Services to Them at the Bank of Lithuania (enclosed).

Chairman of the Board

Vitas Vasiliauskas

APPROVED
by Resolution No 03-76
of the Board of the Bank of Lithuania
of 8 May 2014
(Recast of Resolution No 03-201
of the Board of the Bank of Lithuania
of 23 December 2020)

RULES FOR THE EXAMINATION OF REQUESTS AND COMPLAINTS OF INDIVIDUALS AND THE PROVISION OF SERVICES TO THEM AT THE BANK OF LITHUANIA

CHAPTER I GENERAL PROVISIONS

1. The Rules for the Examination of Requests and Complaints of Individuals and the Provision of Services to Them at the Bank of Lithuania (hereinafter – the Rules) shall establish the procedure for the submission, receipt and examination of requests and complaints of natural and legal persons (hereinafter – persons), drafting of replies and provision of services to persons at the Bank of Lithuania.

2. The procedure set out in the Rules shall apply when examining applications of persons to the Bank of Lithuania stating the person's opinion on a certain issue, notifying of improvement or shortcomings of the Bank of Lithuania's performance, and suggesting ways for further improvement, as well as informing about any abuse or unlawful actions of employees of the Bank of Lithuania (hereinafter – the employees) which are not related to the violation of rights or legitimate interests of a specific person, or drawing attention to a specific situation, etc.

3. Terms and definitions used in the Rules:

3.1. **provision of services** means an activity that includes servicing persons upon arrival at the Bank of Lithuania, servicing them by telephone, dealing with requests received directly from persons or sent by post, including by electronic means (by email or other electronic means), processing the decisions taken, preparing and transmitting replies to persons;

3.2. **reply** means, depending on the content of the request, verbally, in writing or electronically providing the person with an administrative service in accordance with the procedure laid down by law, providing information, delivering a copy, a transcript or an extract of the requested document, or expressing the opinion of the Bank of Lithuania on the person's complaints, suggestions or requests;

3.3. **personal data** means any information relating to an identified or identifiable natural person (data subject); an identifiable natural person who can be identified, directly or indirectly, in particular by reference to an identifier, for example, a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person;

3.4. **personal data security incident** means a breach in processing personal data leading to an accidental or unlawful destruction, loss, alteration, unauthorised disclosure, storage or other processing of, or unauthorised access to, personal data;

3.5. **common official email address of the Bank of Lithuania** means a commonly used and centrally administered email address for servicing persons (receiving their email requests) – info@lb.lt;

3.6. **general information** means information on the activities, functions and services of the Bank of Lithuania, provisions of the legal acts regulating them, explanations of their application, other information of general nature, which does not contain, directly or indirectly, any personal data (including personal data) of a specific person, and which cannot be attributed to any specific person;

3.7. **electronic/online form** means an electronic form available on the website of the Bank of Lithuania and which can be used for submitting an inquiry, request or a complaint;

3.8. **e-shipment delivery system** means the National information system for electronic parcel delivery using the postal network, the Regulations of which were approved by Resolution No 914 of the Government of the Republic of Lithuania of 26 August 2015 on the approval of the provisions of the national information system for electronic parcel delivery using the postal network, and the services are provided in accordance with the Rules on the Provision of Electronic Delivery Services by Means of the National Information System for Electronic Parcel Delivery Using the Postal Network, approved by Order No 3-44(1.5 E) of the Minister of Transport and Communications of the Republic of Lithuania of 3 February 2016 on the approval of the rules on the provision of electronic delivery services by means of the National Information System for Electronic Parcel Delivery Using the Postal Network. This system is one of the integrated information systems and, in the absence of specific provisions in the Rules, is subject to all the provisions governing the submission of requests and replies (decisions) and other services provided to persons through integrated information systems;

3.9. **Deltagon** means a system for secure exchange of information with third parties and which is integrated with the email system of the Bank of Lithuania;

3.9¹. **petition** means a written application filed in exercise of the right of petition by the applicant, in person or through a representative, which is recognised as a petition;

Supplemented with the subparagraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

3.10. **request** means a person's application, not related to a violation of the person's rights or legitimate interests, to the Bank of Lithuania requesting to provide an administrative service, to take an administrative decision or to carry out other actions provided for in legal acts;

3.11. **written inquiries, requests or complaints** means inquiries, requests or complaints sent to the Bank of Lithuania by post, via electronic means or submitted directly in writing at the Bank of Lithuania;

3.12. **complaint** means a written application by a person to the Bank of Lithuania stating that their or another person's rights or legitimate interests have been violated and requesting for the protection of the same;

3.13. **special-purpose email box** means an email box designed for correspondence in the context of specialised activities;

3.14. **inquiry** means a request from a person to the Bank of Lithuania for general information that does not require the identification of the person.

4. Other terms and definitions used for the purpose of the present Rules correspond to the terms and definitions used in the Republic of Lithuania Law on Public Administration .

5. The expiry of the time limits set out in the Rules shall be calculated in accordance with the procedure established by the Civil Code of the Republic of Lithuania.

6. When examining the requests and complaints, the employees of the Bank shall be guided by principles of the primacy of content over form (when deciding on a document submitted to the Bank of Lithuania, the content of the document must be taken into account, rather than the title of the document or its formal presentation), respect for human rights, fairness, justice, honesty, and reasonableness, as well as by the principles of the supremacy of law, legitimacy, objectivity, proportionality, non-abuse of power, efficiency, completeness and accuracy.

7. Requests of natural persons and the representatives acting on their behalf to prevent the conclusion of consumer credit agreements, requests to amend and revoke such requests, as well as court decisions submitted to the Bank of Lithuania to prohibit a person from concluding consumer credit agreements and court decisions to revoke the prohibition to conclude consumer credit agreements shall be examined in accordance with the Rules for Submission of Requests to Prevent the Conclusion of Consumer Credit Agreements and for Entering into the List of Persons in Respect of Whom Requests have been Submitted for Removing Such Persons From the List approved by

Resolution No 03-145 of the Board of the Bank of Lithuania of 13 October 2016 on the approval of the rules for submission of requests to prevent the conclusion of consumer credit agreements and for entering into the list of persons in respect of whom requests have been submitted for preventing the conclusion of consumer credit agreements, and for removing such persons from the list.

8. Notifications of violations of the legal acts regulating the financial market by financial market participants referred to in Article 42(1) of the Republic of Lithuania Law on the Bank of Lithuania and by other persons shall be examined in accordance with the procedure set out in the Description of the Procedure for Submission and Examining Notifications on Violations of Legal Acts Regulating the Financial Market to the Bank of Lithuania, as approved by Resolution No 03-167 of the Board of the Bank of Lithuania of 29 November 2016 on the approval of the description of the procedure for submission and examining notifications on violations of legal acts regulating the financial market to the Bank of Lithuania.

9. Consumer requests for out-of-court settlement of a consumer dispute arising between consumers and financial market participants referred to in Article 47(1) of the Republic of Lithuania Law on the Bank of Lithuania, as well as a dispute falling within the competence of the Bank of Lithuania under other laws of the Republic of Lithuania, shall be dealt with in accordance with the Rules of Procedure for Out-of-Court Settlement in the Bank of Lithuania of Disputes Between Consumers and Financial Market Participants, as approved by Resolution No 03-23 of the Board of the Bank of Lithuania of 26 January 2012 on the approval of the rules of procedure for out-of-court settlement in the Bank of Lithuania of disputes between consumers and financial market participants.

10. Applications for licences, authorisations, consents, approvals, non-objections or for the performance of other actions, as provided for in the legislation regulating the activities of financial market participants, to be granted to financial market participants supervised by the Bank of Lithuania, as referred to in Article 42(1) of the Republic of Lithuania Law on the Bank of Lithuania, shall be examined in accordance with the General Regulations on the Submission and Examination of the Applications for Authorisations of Financial Market Participants Supervised by the Bank of Lithuania and on the Granting of the Authorisations, approved by Resolution No 58 of the Board of the Bank of Lithuania of 6 May 2004 on the approval of the general regulations on the submission and examination of the applications for authorisations of financial market participants supervised by the Bank of Lithuania and on the granting of the authorisations.

11. Requests for data on oneself held in the Loan Risk Database shall be processed in accordance with the Rules for Managing the Loan Risk Database approved by Resolution No 03-65 of the Board of the Bank of Lithuania of 18 April 2018 on the approval of the rules for managing the loan risk database.

12. Complaints against actions, omissions or decisions of the Bank of Lithuania or its employees that may have violated the rights or legitimate interests of a person, shall be dealt with in accordance with the procedure established by the Republic of Lithuania Law on Public Administration.

13. Reports of breaches shall be investigated and the protection measures to the persons providing information on the violation shall be ensured in accordance with the Republic of Lithuania Law on the Protection of Whistleblowers, other legal acts regulating the protection of whistleblowers, as well as with the Description of the Procedure for the Provision and Handling of the Information on the Violations at the Bank of Lithuania, approved by Resolution No 03-125 of the Board of the Bank of Lithuania of 25 June 2019 on the approval of the description of the procedure for the provision and handling of the information on the violations at the Bank of Lithuania.

14. Insofar as the Rules are not applicable, requests for the implementation of the rights of data subjects shall be examined in accordance with the Description of the Procedure for the Implementation of the Rights of Data Subjects in the Bank of Lithuania, approved by Resolution No 03-86 of the Board of the Bank of Lithuania of 24 May 2018 on the approval of the specification of the procedure for the implementation of the rights of data subjects in the Bank of Lithuania.

14¹. Petitions shall be examined at the Bank of Lithuania in accordance with the Description of the Procedure for the Examination of Petitions at the Bank of Lithuania, approved by Resolution

No 03-121 of the Board of the Bank of Lithuania of 11 July 2023 on the approval of the description of the procedure for the examination of petitions at the Bank of Lithuania.

Supplemented with the subparagraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

15. A person who believes that a financial market participant has violated their rights or legitimate interests related to the financial services provided must first, before lodging a complaint with the Bank of Lithuania, address the financial market participant in writing stating their claims. If the person does not receive a reply within the time limit set out in the legislation regulating the financial market, or if the person's claim is rejected, the person shall have the right to apply to the Bank of Lithuania.

16. No personal data of other persons, bank secrets or other information protected by law shall be provided to applying persons, except for public information at the disposal of the Bank of Lithuania, which the person has the right to receive in accordance with the provisions of the Republic of Lithuania Law on the Right to Obtain Information from State and Municipal Institutions and Agencies, as well as other applicable legal acts. Personal data shall be processed in accordance with the Description of the Procedure for the Exercise of the Rights of Data Subjects in the Bank of Lithuania, approved by Resolution No 03-86 of the Board of the Bank of Lithuania of 24 May 2018 on the approval of the specification of the procedure for the exercise of the rights of data subjects in the Bank of Lithuania, as well as with the General Regulations of the Bank of Lithuania for the Processing of Personal Data approved by Order No V 2018/(1.7.E-260603)-02-113 of the Chairman of the Board of the Bank of Lithuania of 20 July 2018 on the approval of the general regulations of the Bank of Lithuania for the processing of personal data, and other legal acts.

17. The Rules were prepared in accordance with the Republic of Lithuania Law on the Bank of Lithuania, the Law on Public Administration, the Law on the Right to Obtain Information from State and Municipal Institutions and Agencies, and the Rules on the Examination of Applications Submitted by Individuals and Services Provided to Them in Public Administration Institutions, Agencies and Other Public Administration Entities, approved by Resolution No 875 of the Government of the Republic of Lithuania of 22 August 2007 on the approval of the rules on the examination of requests and complains and servicing of persons at public administration entities (hereinafter – the Rules on the Examination of Requests and Complaints and Servicing of Persons at Public Administration Entities).

18. The Rules on the Examination of Requests and Complaints and Servicing of Persons at Public Administration Entities shall apply to the examination of requests and complaints only to the extent that the matters relating thereto are not regulated by laws of the Republic of Lithuania and the present Rules. The Rules shall apply to the handling of individual types of requests and complaints and to matters relating thereto to the extent that they are not governed by laws of the Republic of Lithuania or other legal acts.

CHAPTER II

SUBMISSION OF REQUESTS, INQUIRIES AND COMPLAINTS

19. Requests, complaints and inquiries may be submitted:

19.1. in writing:

19.1.1. by email: info@lb.lt;

19.1.2. by completing an electronic form on the Bank of Lithuania's website in the designated account;

19.1.3. by sending via the e-shipment delivery system;

19.1.4. by sending by post to: Totorių g. 4, LT-01121 Vilnius;

19.1.5. by placing them in the Bank of Lithuania's correspondence box at: Totorių g. 4 Vilnius, on business days from 8:00 to 17:00;

19.1.6. upon direct arrival at the Bank of Lithuania at: Totorių g. 4, LT-01121 Vilnius, shall be received under the procedure laid down in subparagraph 19.2.2 of the Rules.

Amendments to the subparagraph:

No [03-169](#), 25/10/2021, published in TAR on 26/10/2021, identification code 2021-22268

19.2. verbally:

19.2.1. by telephone: +370 526 80 029, +370 612 69 200, +370 800 50 500, +370 525 12763, Mondays to Thursdays during the business hours of the Bank of Lithuania from 08:00 to 17:00 and on Fridays from 08:00 to 15:45, also during lunch breaks, and on Tuesdays, with prior registration by the telephones indicated herein, or by email: info@lb.lt and from 17:00 to 19:00;

19.2.2. upon direct arrival at the Bank of Lithuania and by calling a responsible employee of the Document and Information Management Division of the Corporate Services Department of the Bank of Lithuania (hereinafter – a DIMD employee), on Mondays to Fridays during the business hours of the Bank of Lithuania, including during lunch breaks, and with prior registration, on Tuesdays, from 17:00 to 19:00.

Amendments to the subparagraph:

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20. The Bank of Lithuania shall only accept verbal requests and inquiries that can be dealt with immediately, without prejudice to the rights or legitimate interests of the applicant, other persons or the Bank of Lithuania. If necessary, the person shall be given the opportunity to put the request or inquiry in writing.

21. Only requests that do not require proof of identity may be accepted by telephone.

22. To inquire about the procedure for receiving requests and complaints, please contact the Bank of Lithuania by telephone: +370 526 80 029, +370 612 69 200, +370 800 50 500, +370 525 12 763, Mondays to Fridays, during the business hours of the Bank of Lithuania, and during lunch breaks.

Amendments to the paragraph:

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23. In visible places at the entrances to the premises of the Bank of Lithuania (Totorių g. 4, Gedimino pr. 6, Vilnius, and Maironio g. 25, Kaunas), as well as on the Bank of Lithuania's website www.lb.lt the following information shall be published:

23.1. the place and time of receipt of requests and complaints;

23.2. the contact details of the employees responsible for servicing the persons who have come directly to submit a request or complaint;

23.3. the possibility to anonymously express an opinion on the handling of applications and complaints and the quality of servicing persons at the Bank of Lithuania.

24. Verbal requests from persons may be made in a language understood by the person making the request and the official attending the applicant. If the person does not speak the state language and there is no employee at the Bank of Lithuania who understands the language in which the person applies, or if the person is not able to express themselves in an intelligible manner due to a sensory or speech impairment, a person able to translate the person's application into the state language (translator) must be present at the time of the person's verbal application to the Bank of Lithuania.

25. Where the conduct of a person submitting a verbal application behaves inadequately, or manifestly shows signs of a criminal offence, a criminal misdemeanour or an administrative offence, or where the person's request is based on facts which are manifestly untrue, or where the communication with the person does not make it possible to understand the substance of the request, the employee has the right to refuse to service the person and shall immediately report the person's conduct to their immediate superior. The immediate superior shall decide that the conduct of a person which constitutes a criminal offence, a criminal misdemeanour or an administrative offence should be reported to competent authorities.

26. Requests and complaints submitted in writing must:

26.1. be written in a legible manner;

26.2. be signed by the person submitting the request;

26.3. state the name, address and contact details (telephone number and/or email address, etc.) of the person submitting the request, the name and surname of the representative (in the case of a natural person), or the name, legal identity number, registered office address, the name and position of the representative and contact details (telephone number and/or email address, etc.) (for a legal person).

27. Requests and complaints submitted by electronic means must be made in a way making it possible to:

27.1. identify the format and content of the electronic document;

27.2. open and process it by the electronic document management system or other information technology tools used by the Bank of Lithuania;

27.3. sign it with a qualified electronic signature, or create it by electronic means which ensure the integrity and inalterability of the text.

28. Administrators of specialised mailboxes and employees of the Bank of Lithuania shall promptly forward requests, inquiries or complaints received by them via the Bank of Lithuania's email to the Bank of Lithuania's email address info@lb.lt, unless they are able to respond to the request or inquiry within the scope of their competence on the same business day.

29. A clearly and precisely formulated request and complaint may be submitted to the Bank of Lithuania in accordance with the form of request/complaint set out in Annex 1 to the Rules, and in case of a complaint regarding the actions of a financial market participant, the request or complaint shall be submitted in accordance with the form of complaint set out in Annex 2 to the Rules.

30. Complaints submitted to the Bank of Lithuania, as well as letters submitted to the Bank of Lithuania under a different name, if the content of the application qualifies these letters as complaints, shall state:

30.1. the name of the institution to which the complaint is submitted;

30.2. the name, address and contact details (telephone number and/or email address, etc.) of the person, the name and surname of the representative (in the case of a natural person), or the name, legal identity number, registered office address, the name and position of the representative and contact details (telephone number and/or email address, etc.) (for an applicant a legal person);

30.3. the name and surname, job title of the natural person or the name, code and registered office, if known, of the legal person whose actions or omission is contested;

30.4. names and surnames, place of residence (in the case of a natural person) and/or the names, codes, registered address (in the case of a legal person) of the third parties concerned, if known;

30.5. the specific act, omission or decision contested and the date on which it was carried out (adopted);

30.6. the factual circumstances on which the individual relies in support of their claim and the supporting documents;

30.7. the rights or legitimate interests of the person affected by the contested act, omission or decision;

30.8. the date on which the individual became aware of the contested violations;

30.9. the person's claim;

30.10. if a complaint concerns actions of a financial market participant, a copy of the financial market participant's reply to the person and, if no reply was received from the financial market participant within the time limit laid down by legislation governing the financial market, a copy of the person's application to the financial market participant must be attached;

30.11. the list of attached documents (if any);

30.12. the place and date of the complaint.

31. The representative submitting a request or complaint to the Bank of Lithuania or the representative applying to the Bank of Lithuania on behalf of the person represented, when filing the

request or complaint with the Bank of Lithuania meeting the requirements set out in the Rules, must also submit a document confirming representation (the Bank of Lithuania shall retain a copy of the document confirming representation).

32. A document certifying the representation of a person's agent issued outside the Republic of Lithuania must be legalised in accordance with the Description of the Procedure for Legalisation and Certification of Documents by Apostille, approved by Resolution No 1079 of the Government of the Republic of Lithuania of 30 October 2006 on the approval of the specification of the procedure for the legalisation and certification of documents by Apostille.

33. The Bank of Lithuania publishes the forms of requests, inquiries and complaints on its website.

CHAPTER III

ACCEPTANCE AND REGISTRATION OF REQUESTS, COMPLAINTS AND INQUIRIES

34. The responsibility for receiving requests, inquiries and complaints in accordance with the procedure established by the Bank of Lithuania shall lie with the employees of the DIMD.

35. Requests and complaints submitted in writing and by electronic means shall be registered and processed in accordance with the procedure set out in the Rules on Document Management and Record-keeping at the Bank of Lithuania, approved by Order No V 2013/(1.7-260402)-02-228 of the Chairman of the Board of the Bank of Lithuania of 3 December 2013 on the approval of the rules on document management and record-keeping at the Bank of Lithuania (hereinafter – the Rules on Document Management and Record-Keeping at the Bank of Lithuania), the Bank of Lithuania's Document Management Rules for the Unstructured Data Repository and Team Work within the System and Electronic Document Management, approved by Order No V 2017/(1.7-260603)-02-29 of the Chairman of the Board of the Bank of Lithuania of 16 January 2017 (hereinafter – the Rules on the Electronic Document Management of the Bank of Lithuania), as well as the Description of the Procedure for Registration and Distribution of Documents Received by the Bank of Lithuania Related to Requests, Notifications, Complaints or Applications of Persons to Settle Consumer Disputes approved by Order No V 2016/(1.7-260603)-02-133 of the Chairman of the Board of the Bank of Lithuania of 4 August 2016 on the approval of the description of the procedure for registration and distribution of documents received by the Bank of Lithuania related to requests, notifications, complaints or applications of persons to settle consumer disputes.

36. Upon receipt of a request or complaint, a stamped copy of the request or complaint shall be served to the applicant, at the request of the person, or, if the request or complaint is received by post or electronically, at the request of the person, within two business days from the date of receipt of the request or complaint, at the address of the Bank of Lithuania indicated by the person, or, if the application is submitted electronically or the person prefers to receive confirmation by electronic means, at the email address provided by the person, unless the application is granted outright. The stamp shall indicate the date of receipt of the request or complaint at the Bank of Lithuania, their registration number and, if necessary, other information.

37. Requests and complaints non-compliant with the requirements set out in subparagraphs 27.3, 26, 29, 31 and 32 of the Rules shall be received and registered in accordance with the procedures set out in the Rules.

38. Requests and complaints submitted to the Bank of Lithuania and non-compliant with the requirements set out in subparagraphs 27.1 and 27.2 of the Rules shall not be registered. Unregistered requests and complaints shall not be examined and be returned to the person, within one working day from the day of receipt of the requests and the complaints at the Bank of Lithuania, indicating the reasons for the return.

39. Verbal requests and inquiries that can be answered on the same day are not registered with the Bank of Lithuania. If verbal requests and inquiries cannot be replied on the same day, the person shall be suggested to lay down their request and enquiry in writing.

40. Requests for information of general nature and submitted by electronic means that can be answered on the same day, shall not be registered.

41. Unregistered requests and inquiries shall be forwarded to the employees of the structural divisions according to their competence for responding to such requests and inquiries.

42. Following the procedure laid down in the applicable legislation the responsible DIMD employee shall forward the registered requests and complaints to the Chairman of the Board of the Bank of Lithuania, members of the Board, heads of structural units or their authorised officers for writing resolutions. In an event that a complaint concerns an actual or potential personal data security incident at the Bank of Lithuania the Data Protection Officer of the Bank of Lithuania shall be immediately notified thereof. The Chairman of the Board of the Bank of Lithuania, a member of the Board, the head of a structural unit or a staff member authorised by them shall draw up the resolutions within no later than one working day from the date of receipt of the request or the complaint at the Bank of Lithuania and shall appoint curators and executors and assign tasks related to the received documents.

43. If, in the absence of justified reasons, the head of a structural unit of the Bank of Lithuania or their authorised official does not, within one working day from the date of receipt of the request or complaint, return it to the Chairman of the Board of the Bank of Lithuania or to the member of the Board of the Bank of Lithuania, who has signed the resolution on the assignment of the task of the execution of the request or complaint to the head of the structural unit, or fails to return the complaint or the application to the responsible DIMD employee who registered the request or the complaint, then it shall be assumed that that structural division has confirmed that replying to the request or complaint is within its competence.

CHAPTER IV EXAMINATION OF WRITTEN INQUIRIES, REQUESTS AND COMPLAINTS

44. The officials responsible for examining a written request or complaint shall organise its examination (collecting the necessary information, requesting any additional documents required, etc.).

45. Requests and complaints shall be examined within 20 working days from the date of their receipt at the Bank of Lithuania. If during the examination of a request or complaint the applicant clarifies (supplements) it or draws up a substantially new claim, the time limit for the examination thereof shall start running from the date of receipt of the clarified (supplemented) request or complaint.

46. If for the purpose examination of the request or complaint any additional information is required and which must be provided by the applicant, and the Bank of Lithuania is not able to obtain such data independently (not applicable in the case of Paragraph 15 of the Rules), the Bank of Lithuania shall, within five working days from the date of registration of the request or complaint, address the person in writing, or, with the consent of the person, by audio remote transmission and recording means, requesting that the necessary information is provided and notifying that the examination of the request or complaint shall be suspended until such time as the necessary information is provided. If the necessary information is not received within the time limit set by the Bank of Lithuania, which may not be shorter than five working days, the request or complaint shall not be examined and the original documents shall be returned to the person within three working days (retaining the copies at the Bank of Lithuania) indicating the reason for returning the request or the complaint. The provisions of the present paragraph are without prejudice to the right of the Bank of Lithuania to request, at any time during the examination of the request or complaint, that the person submitting the request or complaint provide additional information, but in such case, pending the provision of the additional information, the time limit for the examination of the request or complaint shall not be suspended.

47. If the Bank of Lithuania, in accordance with Paragraph 46 of the Rules, has addressed a person by means of audio remote transmission and recording, the procedure set out in Paragraph 73 of the Rules shall be followed.

48. If the examination of a request or complaint is related to a setting up of a commission, convening a meeting, other organisational measures or in view of other reasons due to which the submission of a reply to a person may take longer than specified in Paragraph 45 of the Rules, the Bank of Lithuania shall have the right to extend the time limit for their examination. The time limit for examination of a request may be extended up to 10 working days, and the time limit for examination of a complaint – up to 20 working days. Two business days before the expiry of the time limit set out in Paragraph 45 of the Rules, the Bank of Lithuania shall send to the person in writing, or electronically if the request or complaint is submitted electronically, a notice indicating the extended time limit and explaining the reasons for such extension.

48¹. The Bank of Lithuania shall discontinue the examination of the complaint or part thereof and shall inform the applicant thereof in writing, stating the reason for discontinuing the examination of the complaint or part thereof and the procedure for appealing against it, if during the examination of the complaint or part thereof:

48¹.1. the circumstances complained of cease to exist;

48¹.2. the issues raised in the complaint about the actions of the financial market participant are resolved between the financial market participant and the applicant in good faith;

48¹.3. the applicant withdraws the complaint.

Supplemented with the paragraph:

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49. If a request or complaint was not examined because the necessary information required to examine the request or complaint was missing (Paragraph 46 of the Rules), if the person resubmits the request or complaint within the deadline specified by the Bank of Lithuania with the necessary information, and that shall not be considered to constitute a repeated submission.

50. Having, on the basis of the received complaint, identified a possible violation of public interest and the fact that the Bank of Lithuania is not entitled to take measures for its protection in accordance with the competence established by the legislation, the Bank of Lithuania shall, not later than within five working days from the date of identification of the possible violation of the public interest, forward all the materials related to the complaint to the Public Prosecutor's Office or other competent authority (the Bank of Lithuania shall retain a copy), requesting to protect the public interest in accordance with the procedure established by law, and shall notify the person within two working days explaining the reasons for the forwarding.

51. Requests and complaints drawn up in English shall be dealt with in accordance with the general procedure. Other requests and complaints drawn up in other than the official state language shall be examined where, in accordance with the legal acts or agreements concluded with the Bank of Lithuania, the request or complaint is submitted by a foreign public authority, another foreign entity or an international organisation. Other requests and complaints drawn up in other than the official state language shall be dealt with in accordance with the general procedure only if the person submitting the request or complaint to the Bank of Lithuania translates the full text of the request or complaint and the accompanying documents into Lithuanian or English, and submits copies of such translations to the Bank of Lithuania, unless the Chairman of the Board of the Bank of Lithuania, a member of the Board of the Bank of Lithuania, the head of a structural unit or an official authorised by them, who is authorised by a resolution in accordance with their competence under the legislation to sign the resolution, decides otherwise. If a request or complaint drawn up in other than the official state language is not examined, the resolution shall be marked with a note "not examined".

52. The Bank of Lithuania shall consider examine only requests and complaints that fall within the limits of their competence. If the Bank of Lithuania is not authorised to resolve the issues set out in the request or complaint submitted to it, the request or complaint shall be forwarded to the competent authority (the Bank of Lithuania shall retain a copy) no later than within five working days

from the date of receipt of the request or complaint by the Bank of Lithuania, and the person shall be notified thereof, explaining the reason for the forwarding.

53. If the Bank of Lithuania is not authorised to deal with the matter set out in the request or the complaint submitted to it, and there is no other entity to which it could refer the request or complaint to be dealt with in accordance with its competence, the resolution shall be marked with the inscription “not examined”, and no later than within five working days from the day of the receipt of the request or the complaint by the Bank of Lithuania, the person who submitted the request or the complaint shall be notified thereof, explaining the reasons for refusing to examine the request or the complaint, and specifying the procedure for appeal against the decision.

54. A request or a complaint submitted without complying with the requirements set out in subparagraph 26.1 of the Rules shall not be examined and shall be returned to the person (the Bank of Lithuania shall retain a copy) within five working days from the date of receipt of the request or the complaint at the Bank of Lithuania, indicating the reasons for the return and the procedure for appealing against this decision, except for the cases when the person’s contact details have not been provided or are illegible.

55. When the person’s agent applies to the Bank of Lithuania but the document confirming the right for agency is not attached to their request or complaint, or the document does not comply with the requirement set forth in Paragraph 31 of the Rules or other requirements set forth in other legal acts, the request or complaint shall not be examined, unless the Chairman of the Board of the Bank of Lithuania, a member of the Board, the head of a structural unit or an employee authorised by them and authorised to draw up the resolution in accordance with the competence set forth by the legal acts, decides otherwise. The person shall be notified of the decision not to examine the request or the complaint not later than within five working days from the date of receipt of the request or the complaint by the Bank of Lithuania, explaining the reasons for not examining the request or the complaint and indicating the procedure for appealing against this decision, unless no contact details of the person have been provided. If the request or the complaint is not examined, the resolution shall be marked with the inscription “not examined”.

56. Requests which are not specific, incomprehensible, or which do not comply with the requirements laid down in Paragraph 29 of the Rules, and complaints which are incomprehensible, which do not state a specific problem, which are based on facts that are manifestly untrue, or which complain about the acts or omissions of the employees stating only a presumption or an opinion as to the possibility of unlawful acts or omissions by the employees, without stating specific circumstances or facts substantiating such assumptions, or submitted without complying with the requirements set out in Paragraph 30 of the Rules, shall not be examined, unless the Chairman of the Board of the Bank of Lithuania, a member of the Board, the head of a structural unit or an employee authorised by them to draw up the resolution in accordance with the competence set out in the legal acts decides otherwise. If the request or complaint is not examined, the resolution shall be marked with the inscription “not examined” and the Bank of Lithuania shall inform the person within five working days from the date of receipt of the request or complaint by the Bank of Lithuania of the reasons for refusal to examine their request or the complaint, and shall specify the procedure for appealing against this decision.

57. A complaint submitted without complying with the requirements of Paragraph 15 of the Rules shall not be examined and the Bank of Lithuania shall, within five working days from the date of receipt of the complaint by the Bank of Lithuania, forward the complaint to the financial market participant whose actions are being complained about and shall inform the person about it. In that case Paragraph 46 of the Rules shall not apply.

58. Requests and complaints with which the same person has addressed the Bank of Lithuania within one year regarding the same matter, which the Bank of Lithuania has already examined and responded to, the proceedings against which have been discontinued shall be considered to be repeated requests or complaints and shall not be examined unless new circumstances forming the basis of the request or complaint are indicated or additional arguments that would cast doubt on the validity of the previous reply of the Bank of Lithuania are provided. Requests and

complaints of persons in respect of which a person has already received a reply from one structural unit on behalf of the Bank of Lithuania, but the same person applies to another structural unit of the Bank of Lithuania, the Board of the Bank of Lithuania, the Chairman of the Board or a member of the Board with the same issue and does not indicate new circumstances forming the basis of the request or complaint, or does not provide additional arguments that would cast doubt on the validity of the previous reply of the Bank of Lithuania, shall be considered to be repeated requests or complaints, and shall not be examined. If the repeated request or complaint is not examined, the resolution shall be marked with the inscription “not examined” and the Bank of Lithuania shall inform the applicant within five working days from the date of receipt of the repeated request or complaint at the Bank of Lithuania of the reasons for refusing to examine their request or the complaint, and specify the procedure for appealing against such decision.

Amendments to the paragraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

59. Requests, inquiries and complaints, the content of which is offensive, inconsistent with moral norms, or which threaten or incite national, racial, religious or social discord or violence, shall be registered with the Bank of Lithuania in accordance with the established procedure, but shall not be examined. A decision on the non-examination of a request or complaint with offensive or immoral content referred to in this paragraph of the Rules shall be taken by the Chairman of the Board of the Bank of Lithuania, a member of the Board, the head of a structural unit or an employee authorised by them, who shall have the right to sign a resolution in accordance with the competence established by the legislation. If a request or a complaint is not examined, the resolution shall be marked with the inscription “not examined” and the person who submitted the request or complaint shall be notified thereof not later than within five working days from the date of receipt of the request or complaint by the Bank of Lithuania. By decision of the Chairman of the Board of the Bank of Lithuania or an employee authorised by them, a person’s conduct having features of crime, criminal offence or administrative offence may be reported to relevant competent authorities. Persons submitting inquiries, requests or complaints must exercise their rights in good faith without abusing their rights.

60. If more than six months have elapsed between the date of disclosure of the violations specified in the complaint to the person and the date of submission of the complaint to the Bank of Lithuania, such complaint shall not be examined, unless the complaint is submitted in connection with a former or potential personal data security incident at the Bank of Lithuania, unless more than two years have elapsed between the date of committing the violations specified in the complaint or in part of the complaint and the date of submission of the complaint, and the Chairman of the Board of the Bank of Lithuania, a member of the Board, the head of the structural unit, or an employee authorised by them, who is entitled to write the resolution in accordance with the competence set forth by the legal acts, has not decided otherwise. If the complaint is not examined, the resolution shall be marked with the inscription “not examined” and the Bank of Lithuania shall inform the person within five working days from the date of receipt of the complaint by the Bank of Lithuania why the complaint is not examined and indicate the procedure for appealing against such decision.

61. The Bank of Lithuania shall not refuse to examine requests and complaints due to the absence of the employee performing the specific function. In cases of the employee’s leave, business trips and other absences from the Bank of Lithuania, the examination of requests and complaints shall be entrusted to other employees.

62. It shall be prohibited to refer a complaint to a structural division of the Bank of Lithuania when the actions, omissions or administrative decisions of this division are complained of, or to refer it to the employee of the Bank of Lithuania whose actions, omissions or administrative decisions are complained of.

63. When examining requests and complaints in accordance with the procedure established by the applicable legislation, the protection of personal data, information constituting the secret of the Bank and other information protected by law shall be ensured.

64. The person whose actions, omission or decision are being contested and third interested persons whose rights and obligations will be directly affected by the examination of the request or complaint and the reply to the request or complaint, shall have the right to submit a request to the Bank of Lithuania to have access to the contents of the request or complaint and its annexes, as well as the reply to the request or complaint, except for the right to have access to the information concerning personal data, the secret of the Bank or other information protected by law. This provision shall not prevent the forwarding of the person's complaint containing personal data to the financial market participant whose actions are being contested, as provided for in Paragraph 57 of the Rules.

65. Requests and inquiries for general information received via specialised and general-purpose email boxes, as well as by completing an electronic form on the Bank of Lithuania's website, shall be dealt with by the responsible employee of the relevant division.

66. Replies to electronic inquiries for information of general nature shall normally be provided within five working days from the date of receipt of the inquiry, with the exception of inquiries addressed to the Financial Services and Market Supervision, Banking and Insurance Supervision, and Legal and Licensing Departments within their respective competences.

Amendments to this paragraph:

No [03-169](#), 25/10/2021, published in TAR on 26/10/2021, identification code 2021-22268

67. Replies to electronic inquiries shall be retained in the email inbox for 180 days from the date of the reply.

68. Requests and complaints that do not include the name and surname of a natural person or the name and address of a legal entity shall be considered anonymous. Anonymous requests and complaints shall be registered with the Bank of Lithuania in accordance with the established procedure, but shall not be examined, except in cases when it is justified for the protection of public interest. The decision on the examination of anonymous requests and complaints shall be taken by the Chairman of the Board of the Bank of Lithuania, a member of the Board, the head of a structural unit or an employee authorised by them, who are authorised to draw up the resolution in accordance with the competence established by the applicable legislation. If the anonymous request or complaint is not examined, the resolution shall be marked with the inscription "not examined".

CHAPTER V DRAFTING, SIGNING AND SENDING REPLIES TO INQUIRIES, REQUESTS AND COMPLAINTS

69. Replies to requests and complaints shall be drawn up taking into account their content, i.e. the requested information, a copy or a transcript of the requested document shall be provided in accordance with the procedure established by the legislation, the person's questions shall be answered in a clear and substantiated manner, the position of the Bank of Lithuania on the issues raised by the person shall be reasonably stated, indicating the circumstances that influenced the consideration of the request or the complaint and the specific provisions of legal acts, which have been used in the assessment of the content of the request or the complaint or others.

70. Inquiries, requests and complaints shall be answered in the official state language or in English. A request or a complaint may also be answered in other foreign languages when, in accordance with the legal acts or agreements concluded with the Bank of Lithuania, the request or complaint is submitted by a foreign public authority, other foreign entity or international organisation, as well as in cases where the Rules provide for the processing of requests and complaints in other than the official state language.

71. Replies to written requests and complaints shall be signed by the head of the structural unit of the Bank of Lithuania in accordance with the matters assigned to their competence in the legislation, or by another authorised person, unless the resolution of the document does not stipulate that, or unless the head of the structural unit, or an authorised person, does not consider that, in the

light of the significance of the reply, it should be signed by the Chairman of the Board of the Bank of Lithuania, or a member of the Board.

72. Where a person submits a request or a complaint by electronic means, by mail or personally at the Bank of Lithuania and does not specify the preferred method of receiving the reply, the Bank of Lithuania shall have the right to choose the method of providing the reply to the applicant. Replies containing private information shall be sent to the person through secure information exchange channels: via the e-shipment delivery system, via the Deltagon system or by registered mail.

73. With the consent of the person concerned, a reply to a request, complaint or inquiry may be made by audio remote transmission and recording devices. Before providing a reply in the above manner, an employee of the Bank of Lithuania shall introduce themselves (state their first name and surname, position), obtain the person's consent to provide the reply verbally and to record the conversation by means of audio remote transmission and recording, as well as to provide information on the processing of these data in the Bank of Lithuania, and comply with the other provisions of Chapter VI of the Rules. Upon the consent of the person, the recording of the conversation shall be started.

74. Written and electronic replies of the Bank of Lithuania to requests or complaints shall be recorded in accordance with the procedure established in the Rules on Document Management and Record-Keeping at the Bank of Lithuania.

75. Replies to electronic inquiries for the provision of information of general nature shall be drawn up by an employee of the relevant division, after coordinating the reply with the head of the structural division.

76. Electronic replies to inquiries and requests shall be sent by electronic means by author or by the registrar of the structural division, indicating the contact details of the employee who has drawn up the reply.

77. Requests received not according to the competence shall be forwarded to the email address: info@lb.lt. The responsible DIMD employees shall arrange for the further forwarding of the inquiries.

78. When sending replies to inquiries received from the email box info@lb.lt, a copy of the reply shall be attached to info@lb.lt.

79. Having noticed any typographical, calculation or factual errors in the reply after it had been submitted to the person applying, the Bank of Lithuania, shall, on its own initiative, rectify the identified errors and resend the corrected reply to the person.

80. Having received a remark from a person regarding typing, calculation or factual errors in the reply to the request or the complaint, the Bank of Lithuania shall, not later than within two working days, correct such errors and return the corrected reply to the person, or shall indicate why the errors were not corrected.

81. Having received a justified written application of a person to provide a certified copy of the reply of the Bank of Lithuania to their request or complaint, the Bank of Lithuania shall issue a copy to the person not later than within five working days from the date of receipt of the request for a copy by the Bank of Lithuania only if the reply of the Bank of Lithuania to their request or complaint has been retained.

82. If a person disagrees with the reply of the Bank of Lithuania to their request or complaint, or if the reply has not been sent to the person within the prescribed time limit for consideration of the request or complaint, they shall have the right to lodge a complaint with the Bank of Lithuania in accordance with the procedure established by the Republic of Lithuania Law on Public Administration, with the Administrative Disputes Commission in accordance with the procedure established by the Republic of Lithuania Law on Administrative Disputes Commissions, or with an administrative court in accordance with the procedure established by the Republic of Lithuania Law on Administrative Proceedings. A person may also submit a complaint to the Bank of Lithuania against the actions or omission of the employees of the Bank of Lithuania; the Bank of Lithuania shall examine such a complaint in accordance with the requirements of the administrative procedure set out in the Republic of Lithuania Law on Public Administration. A person shall have the right to

lodge a complaint with the Ombudsman of the Seimas of the Republic of Lithuania in respect of any abuse, bureaucratism or any other violation of human rights and freedoms of the Bank of Lithuania in the field of public administration, in accordance with the procedure established by the Republic of Lithuania Law on the Seimas Ombudsmen of the Republic of Lithuania.

83. In the reply of the Bank of Lithuania stating the reasons for refusal to comply with the request or complaint, in the notification of the Bank of Lithuania informing the person of the reasons for not dealing with the request or complaint of the person, or for discontinuing the examination of the request or complaint or its part, and in the reply of the Bank of Lithuania, which may affect the rights and legally protected interests of the person making the request, shall specify the exact procedure for appealing against the reply or the notification of the Bank of Lithuania and the name(s) and address(es) of the institution(s) to which the appeal may be lodged, as well as the time limit(s) within which an appeal may be lodged.

Amendments to the paragraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

84. If the replies referred to in Paragraph 83 of the Rules are provided to a person by means of audio remote transmission and recording, the exact procedure for appealing against the reply of the Bank of Lithuania and the name(s) and address(es) of the institution(s) to which an appeal may be lodged, as well as the time limit(s) within which an appeal may be lodged shall be provided to a person verbally, together with the manner in which the person may obtain an audio recording of the reply provided verbally.

CHAPTER VI REQUIREMENTS FOR THE PROVISION OF SERVICES

85. The employee providing services to persons appearing at the Bank of Lithuania shall establish equally positive and respectful relations with all persons, in accordance with the requirements for the provision of services to such persons:

85.1. be equally respectful when greeting all persons who approach them;

85.2. introduce themselves by stating their position, first name and surname;

85.3. when communicating with a person, they must maintain a calm tone, use respectful addresses, avoid irony, avoid ridiculing the person, showing annoyance, bad temper or indifference, and avoiding a prescriptive tone;

85.4. provide the person with relevant and complete information and, if necessary, refer them to a competent employee;

85.5. if possible, provide them with the name and contact details of the institution dealing with the matter, if during the interview it becomes clear that the resolution of the matter of concern to the person does not fall within the competence of the Bank of Lithuania;

85.6. refrain from using statements, remarks or comments on national, racial, ethnic, age, gender issues that may be humiliating or incriminating to the person served;

85.7. listen to the person without interrupting them and, if necessary, clarify, summarise and/or reiterate the person's needs and obtain agreement that the person has been understood correctly;

85.8. suggest solutions that are favourable to the person, if available, and inform the person about news that may be of benefit to them;

85.9. interrupt a person only if they speak at length, in an unclear and indistinct manner;

85.10. say goodbye in a polite and respectful manner;

85.11. serve all persons on a first-come, first-served basis.

86. For persons calling the general telephone numbers of the Bank of Lithuania: +370 5268 00 29, +370 612 69 200, +370 800 50 500, +370 525 12 763, the DIMD employees will be available Mondays to Fridays during the business hours of the Bank of Lithuania, including during lunch breaks. The employees servicing the applicants by telephone shall:

Amendments to the paragraph:

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- 86.1. ensure their availability during regular business hours;
 - 86.2. introduce themselves (by stating the name of the institution, their position, first name and surname);
 - 86.3. listen to the applicant and speak politely;
 - 86.4. if necessary, ask for clarification of the substance of the request;
 - 86.5. explain in a comprehensible manner whether the Bank of Lithuania is competent to examine the person's request;
 - 86.6. answer the person's questions clearly and precisely;
 - 86.7. indicate the possible ways of submitting documents and what documents should be submitted in order for the request to be examined;
 - 86.8. inform to which institution the person should apply if the request is beyond the competence of the Bank of Lithuania;
 - 86.9. if the servicing employee is not in a position to provide a detailed reply to the person immediately, indicate when the person could call or when they will be called to answer the question raised in the request, or to redirect the telephone call to a competent employee and to provide the contact details of the other official by telephone or by other means of communication, or to inform the person of the possibility of submitting a request in writing to the Bank of Lithuania;
 - 86.10. politely say goodbye at the end of the call.
87. If persons contact other employees of the Bank of Lithuania by telephone to obtain information related to the activities of the Bank of Lithuania, the employees of the Bank of Lithuania serving persons by telephone must provide the information requested by the person related to the examination of the matter of concern.
88. The employee of the Bank of Lithuania shall endeavour to answer a telephone call before the third ring.
89. When providing information over the telephone, the employee shall speak the correct official state language. In such cases where the person does not understand the official state language, the employee may provide information in another language, other than the official language, provided the employee is able to communicate in that language.
90. When saying goodbye to the caller the employee shall maintain a positive tone of voice.
91. When answering a telephone call, the employee must:
- 91.1. state the name of the division of the Bank of Lithuania, position, first name and surname, and greet the calling person;
 - 91.2. listen attentively to the person, speak politely, calmly, positively, concisely, answer questions briefly and clearly;
 - 91.3. provide the person with the necessary information on the matter to which the caller is referring in a competent manner. Where the staff member is not competent to answer any questions of the person, they shall provide the person with brief information about the Bank of Lithuania's employee who is competent to deal with such questions, and shall provide the telephone number or the email address of that employee.
92. If a call is unexpectedly disconnected due to a communication failure, the employee should wait for the person to call again.
93. In cases where a person has called to complain or to make a comment, the employee should thank the person for the comment, additionally inform the person that they may write a letter of information of this nature and submit it to the Bank of Lithuania (by post or via electronic means).
94. The employee must ensure that the person has received all the information they have called for. At the end of the interview, the employee should ask whether all the person's questions have been answered.
95. If a person being served verbally or by telephone is insulting or threatening the employee servicing them, or where in view of the person's behaviour there is a reasonable suspicion that the

person is under the influence of alcohol, narcotics, psychotropic substances or other intoxicating substances and that it is therefore impossible to understand the person's request, the official serving the person shall warn the person concerned that the conversation is liable to be terminated and, where necessary, shall end the conversation.

96. For the purpose of servicing the persons by email the DIMD employees shall use the email info@lb.lt. Services via other specialised and general-purpose email addresses shall be provided by responsible employees of the relevant structural divisions of the Bank of Lithuania.

97. When responding to inquiries received by email, the employee shall indicate the exact subject of the email in the subject line and shall keep the structure of the email as follows:

97.1. greeting, smooth presentation of the relevant information, identification of the actions expected from the person;

97.2. offer to follow up if there are questions;

97.3. Indication of their name, position and contact details at the end of the reply.

98. The employee who receives an inquiry addressed to another employee of the Bank of Lithuania by email shall forward it to the email address info@lb.lt for further distribution.

CHAPTER VII

PROCESSING OF PERSONAL DATA IN RELATION TO THE EXAMINATION OF GENERAL COMPLAINTS, REQUESTS AND INQUIRIES AND THE ASSESSMENT OF THE QUALITY OF SERVICES PROVIDED TO PERSONS

Amendments to the title of the chapter:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

99. Personal data of persons who have submitted a complaint, request or inquiry to the Bank of Lithuania, their representatives, persons complained against, other data subjects specified in the complaint/request or inquiry shall be processed for the purpose of information of persons, examination of complaints, requests or inquiries, provision of public services and fulfilment of functions, and the assessment of the quality of services provided to persons, to the extent that the processing of the relevant personal data is not governed by any other applicable laws and regulations of the Bank of Lithuania, taking into account the specifics of the complaint, request or inquiry submitted.

Amendments to the paragraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

100. The personal data being processed shall be as follows: name and surname, address, other contact data (telephone number and/or email address, etc.), position, signature, place of residence, other personal data specified in the complaint, request or inquiry and in the annexes provided (including data related to the person's health, bank account number, workplace, etc.), personal data included in the complaint, request or inquiry and other personal data which the Bank of Lithuania is required to process for the purpose referred to in Paragraph 99 of the Rules.

Amendments to the paragraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

101. The Bank of Lithuania shall collect/ receive personal data indicated in Paragraph 100 of the Rules only directly from data subjects, persons submitting complaints, applications, requests or notifications, their representatives, the manager of the e-shipment delivery system, financial market participants, databases, registers and information systems as well as other persons in accordance with the statutory procedure.

102. Documents and records containing personal data shall be processed and recorded in accordance with the Rules on Document Management and Record-Keeping approved by Order No V-118 of the Chief Archivist of Lithuania of 4 July 2011 on the approval of the rules on document management and record-keeping, and shall be kept for the periods specified in the General Index of

Document Retention Periods approved by Order No V-100 of the Chief Archivist of Lithuania of 9 March 2011 on the approval of the general index of document retention periods which are approved each year in the Bank of Lithuania's documentation plan. At the end of the relevant period the personal data shall be irretrievably destroyed.

103. Access to personal data shall be limited to those staff members who need such data for the performance of their duties, to deal with requests, complaints, or inquiries, and to carry out quality assessments. Access to and other processing of personal data necessary for the performance of their functions shall be carried out by employees of the Bank of Lithuania only on a need-to-know basis.

104. The processing of personal data listed in Paragraph 100 of the Rules shall be carried out by automated and non-automated means.

105. The Bank of Lithuania (legal entity code 188607684, address of the registered office: Gedimino pr. 6, 01103 Vilnius) shall be the controller of the personal data referred to in Paragraph 100 of the Rules and process the data in accordance with Article 6(1)(e) 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 (the General Data Protection Regulation, hereinafter – the Regulation), Article 11 and Article 19(4) of the Republic of Lithuania Law on Public Administration, and Article 8(3) of the Republic of Lithuania Law on the Bank of Lithuania. Special categories of personal data (e.g. health data) shall be processed in accordance with Article 9(2)(g) of the Regulation. Data relating to convictions and criminal offences shall also be processed in accordance with Article 10 of the Regulation.

Amendments to the paragraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

106. For more information on personal data processed by the Bank of Lithuania and the exercise of data subjects' rights, please visit the Bank of Lithuania's website <https://www.lb.lt/en/personal-data-protection>.

107. The personal data referred to in Paragraph 100 of the Rules (excluding data related to the assessment of the quality of services provided to persons) may be provided to supervised financial market participants or other persons involved in the handling of the complaint, request or notification, if this is necessary for the examination of the complaint, request or notification. Such data shall be provided to other persons only in cases where the data subject has reasonably requested it, or the Bank of Lithuania is obliged or authorised to provide such data by laws or other legal acts.

Amendments to the paragraph:

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

108. When processing personal data, the Bank of Lithuania may use only the data processors providing information technology or related services.

109. The Bank of Lithuania shall process personal data automatically in the document management system and other information systems (hereinafter – the IS).

110. The IS shall have administrative, technical, software and other measures in place to protect the system's data from destruction, unauthorised modification, use or disclosure, as provided for in the legal acts of the Bank of Lithuania regulating the measures ensuring the protection of the Bank of Lithuania's assets and information.

111. The IS can be accessed from a closed network or via a secure communication channel. Online access shall help to identify the device being used, authenticate the person, encrypt and filter network traffic.

112. Security incidents, including personal data security incidents, shall be managed in compliance with Order No V 2019/(1.7.E-260603)-02-23 of the Chairman of the Board of the Bank of Lithuania of 26 February 2019 on the approval of the specification for security incidents management processes at the Bank of Lithuania.

CHAPTER VIII

ASSESSMENT OF THE QUALITY OF THE EXAMINATION OF REQUESTS AND COMPLAINTS AND PROVISION OF SERVICES

113. The Bank of Lithuania shall ensure the possibility for persons to anonymously express their opinion on the processing of requests and complaints and the quality of service provided to persons by the Bank of Lithuania, in order to determine:

113.1. whether persons are sufficiently informed about the business hours of the Bank of Lithuania;

113.2. whether the reception hours set by the Bank of Lithuania are convenient for persons;

113.3. whether persons have to wait for a long time for reception;

113.4. whether persons are served courteously at the Bank of Lithuania;

113.5. whether a request or complaint has been answered clearly and accurately;

113.6. how long it took for persons to receive a reply to their request or complaint;

113.7. whether the persons have been informed about the actions taken by the Bank of Lithuania in dealing with their request or complaint;

113.8. other issues of concern to the Bank of Lithuania related to the processing of requests and complaints and provision of services to persons.

114. Persons may submit their opinion on the above-mentioned issues anonymously and electronically in the dedicated account of the Bank of Lithuania's website.

Amendments to this paragraph:

No [03-169](#), 25/10/2021, published in TAR on 26/10/2021, identification code 2021-22268

115. The Bank of Lithuania shall regularly review the opinions of persons received electronically on the quality of the processing of requests and complaints and the quality of services provided by the Bank of Lithuania.

Amendments to this paragraph:

No [03-169](#), 25/10/2021, published in TAR on 26/10/2021, identification code 2021-22268

116. The Bank of Lithuania shall carry out an annual assessment of the quality of the examination of requests and complaints by the Bank of Lithuania and the quality of services provided to persons according to selected criteria, such as:

116.1. total requests and complaints dealt with in less time before the deadline during the year;

116.2. total cases during the year in which replies to requests and complaints were submitted beyond the deadline;

116.3. total cases during the year in which persons appealed to the Bank of Lithuania against the response provided to their request or complaint or against the employee of the Bank of Lithuania who provided services to them;

116.4. whether the reply to the request or complaint was comprehensive.

117. The results of the assessment of the quality of examination of requests and complaints and the quality of servicing shall be used to improve the quality of the examination of requests and complaints and the quality of services provided to persons at the Bank of Lithuania.

118. The results of the assessment of the quality of the examination of requests and complaints and the quality of services provided to persons at the Bank of Lithuania shall be submitted to the structural divisions and shall be published once a year on the Bank of Lithuania's website.

Annex 1
to the Rules for the Examination of Requests and
Complaints of Individuals and the Provision of Services to
Them at the Bank of Lithuania

(natural person's name and surname/legal person's name/code¹)

(address and other contact details (phone number and/or email address, etc.))

(name and surname of the representative, position²) and the basis for representation, if the complaint is
submitted by a representative of the person³)

To the Bank of Lithuania

REQUEST / COMPLAINT

(date)

(place of drawing up)

¹ To indicate if a complaint/request is submitted by a legal person.

² If the representation of a legal person is based on professional duties.

³ If the complaint/request is submitted by a representative of the applicant, it must be accompanied by a document certifying the representative's authorisations.

List of attached documents:

1.
2.

I declare that the information provided above is accurate and correct.

.....
.....
(signature)

(name and surname)

Annex 2
to the Rules for the Examination of Requests and
Complaints of Individuals and the Provision of
Services to Them at the Bank of Lithuania

Important

* If you are a **consumer** and you apply to the Bank of Lithuania for non-compliance with **the terms and conditions of an agreement concluded** between you and a financial market participant, you should submit an application for the settlement of a **consumer dispute** in accordance with the rules approved by Resolution No 03-23 of the Board of the Bank of Lithuania of 26 January 2012 on the approval of the rules of the procedure for out-of-court settlement in the Bank of Lithuania of disputes between consumers and financial market participants. Information is available at <https://www.lb.lt/en/dbc-settle-a-dispute-with-a-financial-service-provider>.

* If you wish to report an infringement to protect the public interest, in particular where you have, or have had, a service, employment or contractual relationship (consultancy, agreement, etc.) with a financial market participant or other body), and such notification is not aimed at settling an individual dispute or otherwise protecting your interests or the interests of another person, you should submit such notification in accordance with the rules approved by Resolution No 03-167 of the Board of the Bank of Lithuania of 29 November 2016 on the approval of the specification of the procedures for the submission and processing of notifications of violations of the laws regulating the financial market in the Bank of Lithuania. The notification form is available at <https://www.lb.lt/lt/pranesimai-apie-finansu-rinka-reguliuojanciu-teises-aktu-pazeidimus>.

(natural person's first name and surname/legal person's name/code⁴)

(address, telephone, email address)

(representative and the basis for representation, if the complaint is submitted by a representative of the person⁵)

To the Bank of Lithuania

COMPLAINT REGARDING THE ACTIONS OF A FINANCIAL MARKET PARTICIPANT

.....
(date, place)

– example of marking

⁴ To indicate if a complaint/request is submitted by a legal person.

⁵ If the complaint is submitted by a representative of the applicant, it must be accompanied by a document certifying the representative's authorisations.

Amendments to the Annex:

No [03-169](#), 25/10/2021, published in TAR on 26/10/2021, identification code 2021-22268

Amendments:

1.

Bank of Lithuania, Resolution

No [03-101](#), 28/07/2016, published in TAR on 29/07/2016, identification code. 2016-21139

On the Amendment to Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules for the examination of requests and complaints and provision of services to persons at the Bank of Lithuania

2.

Bank of Lithuania, Resolution

No [03-147](#), 13/10/2016, published in TAR on 17/10/2016, identification code 2016-25209

On the Amendment to Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules for the examination of requests and complaints and provision of services to persons at the Bank of Lithuania

3.

Bank of Lithuania, Resolution

No [03-168](#), 29/11/2016, published in TAR on 30/11/2016, identification code 2016-27837

On the Supplement to Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules for the examination of requests and complaints and provision of services to persons at the Bank of Lithuania

4.

Bank of Lithuania, Resolution

No [03-74](#), 28/04/2017, published in TAR on 03/05/2017, identification code 2017-07295

On the Amendment to Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules on the examination of requests and complaints and provision of services to persons at the Bank of Lithuania

5.

Bank of Lithuania, Resolution

No [03-201](#), 23/12/2020, published in TAR on 23/12/2020, identification code 2020-28464

On the amendment of Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules for the examination requests and complaints and on the provision of services to persons at the Bank of Lithuania.

6. Bank of Lithuania, Resolution

No [03-169](#), 25/10/2021, published in TAR on 26/10/2021, identification code 2021-22268

On the amendment of Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules for the examination requests and complaints and on the provision of services to persons at the Bank of Lithuania.

7. Bank of Lithuania, Resolution

No [03-76](#), 14/05/2024, published in TAR on 16/05/2024, identification code 2024-08961

On the amendment of Resolution No 03-76 of the Board of the Bank of Lithuania of 8 May 2014 on the approval of the rules for the examination requests and complaints and on the provision of services to persons at the Bank of Lithuania.