COMPLAINTS HANDLING PROCEDURE

Effective Date: 15 June 2026
Last Updated: 1 June 2026

1. Purpose

Rexwood Capital is committed to maintaining high standards of governance and client service.

This Complaints Handling Procedure outlines the process for submitting and resolving complaints in a structured, transparent, and timely manner.

This procedure applies to professional, high-net-worth, and sophisticated investors engaging under formal mandate agreements.

2. Definition of a Complaint

A complaint is defined as:

Any written expression of dissatisfaction relating to the provision of services, mandate performance, operational handling, or conduct of Rexwood Capital or its affiliated entities.

Informal inquiries or requests for clarification do not constitute formal complaints unless expressly designated as such.

3. Submission of Complaints

Complaints must be submitted in writing via email to:

Compliance@rexwoodcapital.com

The complaint should include:

• Full name of the investor

• Mandate reference (if applicable)

• Detailed description of the issue

• Supporting documentation (if available)

Anonymous complaints may not be investigated unless sufficient information is provided.

4. Acknowledgment

Upon receipt of a formal complaint:

• Written acknowledgment will be issued within 5 business days.

• The complaint will be recorded internally.

• A case reference may be assigned.

Acknowledgment does not imply acceptance of liability.

5. Investigation Process

Complaints will be:

• Reviewed by an appropriate internal officer

- Assessed independently from the originating function where feasible
- Investigated based on available documentation and mandate terms

Additional information may be requested from the complainant.

Rexwood Capital reserves the right to determine the appropriate scope of investigation.

6. Resolution Timeline

Rexwood Capital aims to provide a substantive response within 30 business days.

Where additional time is required due to complexity, the complainant will be notified.

Timelines may vary depending on jurisdictional or regulatory considerations.

7. Outcome

Following investigation, Rexwood Capital may:

- Provide clarification
- Reject the complaint
- Offer a proposed resolution
- Propose corrective action (where appropriate)

Resolution decisions are made in accordance with contractual documentation and applicable law.

8. Escalation

If a complainant is dissatisfied with the outcome, they may:

- Submit additional information for reconsideration; or
- Pursue dispute resolution in accordance with the governing law and jurisdiction specified in the mandate agreement.

Nothing in this Procedure grants access to any statutory retail ombudsman scheme unless expressly required by applicable law.

9. Limitation of Liability

Submission of a complaint does not:

- Suspend mandate obligations
- Create admission of liability
- Alter contractual rights
- Expand fiduciary duties

All disputes remain governed by formal mandate documentation.

10. Record Retention

Complaint records are retained in accordance with internal governance standards and applicable regulatory requirements.

11. Amendments

This Procedure may be updated periodically. The version in effect at the time of complaint submission shall apply.