

POLICY FOR COMPLAINT-HANDLING

1. Purpose

This policy is prepared in accordance with:

- a. Commission Delegated Regulation (EU) 2017/565 of 25 April 2019

Fondsmæglerselskabet CABA Capital A/S ("The Company") always strives to act correctly, in good faith, and in accordance with our obligation to act in the best interests of our customers. In the event that a complaint is filed with the Company, it is crucial for us to have an effective and transparent complaint handling policy and procedure, in compliance with relevant legislation.

The policy applies to all employees as well as all of the Company's customer relationships. The Board evaluates and updates this policy at least once a year. This policy is valid until it is changed by the Board.

2. Who can complain

All customers and potential customers of the Company may file a complaint. There is no fee associated with filing a complaint.

The company's customers are alternative investment funds with approved AIFMs.

3. Compliant Officer

The company's CEO has been appointed as the complaints officer.

Any complaints can be sent by e-mail to the Company's CEO at moe@cabacapital.dk

4. Complaint-handling process

The Complaints Officer shall:

- Ensure that an acknowledgment of receipt of the complaint is sent to the customer or potential customer without undue delay and within three working days of receiving the complaint.
- Ensure that the complaint is investigated.
- Ensure that the handling of the complaint is concluded without undue delays, and that the complainant is informed of the Company's position on the complaint.
- Inform the complainant about further options, including, for example, the possibility of dispute resolution, as described below, or that the complainant may have the option to initiate civil proceedings.
- Analyse data regarding received complaints and complaint handling to ensure that all risks or issues are identified or addressed.
- Keep records of received complaints and the measures taken to remedy them.

There is no fee associated with submitting complaints to the Company.

5. Unresolved disputes

Unresolved disputes with the Company regarding the purchase of goods and services can (under the conditions below) be brought before:

Ankenævnet for Fondsmæglerselskaber (The Appeals Board for Securities Dealers)
C/O Pengeinstitutankenævnet
St. Kongensgade 62, 2nd floor
1264 Copenhagen K

The Appeals Board for Securities Dealers ([Ankenævnet for Fondsmæglerselskaber](#)) only handles cases concerning private customer relations and matters not substantially different from these. However, the Appeals Board cannot handle complaints regarding securities trading if:

- the complaint concerns a transaction exceeding DKK 500,000, or

- the market value of the customer's personally owned portfolio of securities on the relevant market exceeds DKK 5 million at the time of complaint.

The handling of complaints by the Appeals Board is subject to a fee.

6. Information to relevant competent authorities

The Company shall disclose complaints and complaint handling to relevant competent authorities and to an appeals board where applicable according to local legislation.

7. Reporting

In the event of receiving complaints, this shall be reported to the management and the board at the next regular meeting.

8. Effective Date

This policy has been adopted and is effective from April 9, 2024.