

sg capital

Information for customers about the complaints handling process

Version 2.0 - 02 May 2023



SG Capital Partners AIFP SIA

Reg. No: 40103946854

Company – SIA SG Capital Partners AIFP Alternative Investment Fund Manager.

Client – the investors and potential investors in the Fund(s) managed by the Company.

1. Customers may submit complaints (applications) to the Company:
 - 1.1. in writing – by delivering it to the Company's registered office at 50 Skanstes Street, Riga, LV-1013, or by sending it by post;
 - 1.2. by sending an email [to info@sgcapital.lv](mailto:info@sgcapital.lv).
2. Complaints are accepted and answered in English and Latvian.
3. The complaint (application) must be certified by the applicant:
 - 3.1. must be signed by the applicant in manuscript and in hard copy;
 - 3.2. when submitted electronically, be signed with a secure electronic signature.
4. When submitting a complaint (application), the Customer must state:
 - 4.1. for a natural person – your name and contact details
 - 4.2. for a legal entity – name and registration number, address, representative's name, position, contact details;
 - 4.3. describe the nature of the complaint and the circumstances on which it is based;
 - 4.4. copies of documents and materials, if the complainant has referred to them (electronic documents should use the following file formats: txt, ods, odt, docx, xlsx, doc, xls, pdf, jpg, jpeg, tiff, png);
 - 4.5. the way the Customer wishes to receive a reply to the complaint (application):
 - 4.5.1. by post – please indicate your postal address;
 - 4.5.2. by email – please provide an email address.
5. The Company shall investigate the complaint (application) and reply within 30 days of receipt of the complaint (application).
6. If this deadline cannot be met due to objective circumstances, the Company shall be entitled to extend it by notifying the Client in writing, indicating the reasons for the delay and the planned deadline for consideration of the complaint.

7. If the Customer has expressly stated in the complaint (submission) that its complaint (submission) does not require a response, the Company may not respond to such complaint (submission).
8. If the content of the Client's submission does not require a substantive response, the Company shall, within one month of receipt of the submission, inform the submitter of its receipt of the relevant document and of its acceptance of the information contained therein.
9. The Company shall be entitled to leave the complaint (application) without consideration in the following cases:
 - 9.1. the complaint (application) does not specify the applicant (name, surname, address or legal entity - name and name of representative);
 - 9.2. the complaint (application) is not signed;
 - 9.3. the content of the complaint (application) is blatantly offensive and defiant;
 - 9.4. the text of the complaint (application) is not objectively legible or intelligible; the reply to the complaint (application) has been given previously and its content has not changed substantially regarding the legal or factual circumstances set out in the previous application;
 - 9.5. the complaint is not related to the performance of the Company's functions and tasks;
 - 9.6. In the cases referred to in Clauses 9.2, 9.3, 9.4, 9.5 and 9.6, the Company shall inform the Customer, stating the reasons, that and why his/her complaint (application) is being left unprocessed.
10. The Company shall ensure the protection of the information and personal data provided by the complainant in accordance with the General Data Protection Regulation and the Company's Privacy Policy.
11. Clients, who are considered as consumers within the meaning of the Consumer Rights Protection Law, are entitled to submit applications and complaints to the Consumer Rights Protection Centre regarding violations of the Law on Alternative Investment Funds and their Managers and other regulatory enactments regulating the protection of consumer rights, if they are related to services or ancillary services provided by the Company.

12. Any person may report violations of the Law on Alternative Investment Funds and their Managers, and the regulations of the Bank of Latvia issued based on this Law to the Bank of Latvia if they are related to services or ancillary services provided by the Company.
13. The Client is also entitled to use other alternative dispute resolution mechanisms.
14. If the Client suffers losses due to incorrect information provided by the Company or due to the Company's failure to comply with the requirements of the Law on Alternative Investment Funds and their Managers, the Client has the right to claim damages in accordance with the general procedure established by law.
15. The activities of the Company are supervised by the Bank of Latvia (K. Valdemāra 2A, Rīga, LV-1050, Latvia, www.bank.lv).

Version history of the document

Version No.	Date	Type	Content of changes
1.0	21.01.2022.	Original version	The original version was published.
2.0	02.05.2023.	Updated version	Paragraph 12 was added.