

INVESTORS' RIGHTS

Summary of investors' rights and information on access to collective redress mechanisms at both European Union and national level in the event of a dispute.





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1 Introduction

This document, drawn up in accordance with [Regulation \(EU\) 2019/1156](#) on the cross-border distribution of UCITS and AIFs, and amended [Directive \(EU\) 2024/927 \(AIFMD II\)](#), sets out the key rights of investors ("Investor(s)") in the funds ("Funds") managed by SYQUANT Capital.

It is not intended to provide an exhaustive list of all the rights that investors may exercise in relation to the Funds. For full information on the operation of the Funds, investors are invited to refer to the applicable legal documentation (prospectus, KID, articles of incorporation or rules of the relevant Fund, etc.).

2 Summary of Investor's rights

2.1 Right to information relating to investments

Each Investor has the right to obtain some information about the Funds in which they have invested or intend to invest. This information is contained in the legal documentation of the Funds and in their annual reports, available on the SYQUANT Capital website under the "Funds" section: [The funds | Syquant Capital](#)

In accordance with applicable regulations, any amendment to the legal documentation of the Fund is subject to notification. The SYQUANT Capital website provides detailed product information that is readily accessible, including performance data and the latest net asset value (NAV) per share/unit. Any other request may be addressed directly by the investor to the management company.

2.2 Right to receive income

Each Investor is entitled, where applicable, to a proportionate share of the income of the Fund in which it has invested, when such income is distributed by the Fund. In accordance with the Funds' prospectuses, all units offered by SYQUANT Capital are accumulation units: any income generated is systematically reinvested and fully incorporated into the net asset value of the units, without any distribution being made.

2.3 Right of redemption

Each Investor has the right to redeem their own units in accordance with the redemption procedure and schedule set out in the regulatory documentation of each Fund including, when applicable, in accordance with the relevant regulatory provisions on liquidity management.

2.4 Right to attend and vote at shareholder meetings

Each shareholder of the Funds has the right to receive a convening notice, to attend in person or by proxy, and to vote at general meetings (ordinary or extraordinary), as well as to vote on the resolutions submitted, subject to the following conditions:

- The direct exercise of such rights shall only be possible where the Investor is registered in its own name in the register of shareholders maintained by the Registrar and Transfer Agent.
- Where an Investor accesses the Funds through an intermediary, and such intermediary is registered in its own name in the register of shareholders (nominee arrangement), the Investor may not be in a position to exercise some of these rights directly against the Funds.

2.5 Cessation of marketing within the EU

Some SYQUANT Capital Funds may be marketed in several Member States of the European Union. Investors are hereby informed that SYQUANT Capital reserves the right to amend, at any time, the list of countries in which the Funds are distributed. Should a Fund cease to be marketed in a Member State, such decision shall not give rise to any charges for Investors, nor shall it affect their right to receive the necessary information regarding the continued activities of that Fund.

2.6 Right to confidentiality and data protection

Subject to applicable regulations, Investors have rights in relation to their personal data, including the right to access and rectify such data. In certain circumstances, they may also exercise their right to object to processing or request restriction of processing of their personal data. Investors are invited to consult the Personal Data Protection Policy available on the SYQUANT Capital website ([Regulatory information | Syquant Capital](#)) for further details.

3 Available remedies

However, if you are dissatisfied with the response provided to your complaint, you may, depending on the country, contact the relevant competent authorities or professional associations to initiate mediation proceedings, or participate in collective redress action where provided for by applicable legislation.

3.1 Collective redress

Directive [\(EU\) 2020/1828](#) of 25 November 2020 governs representative actions for the protection of the collective interests of consumers. In broad terms, it provides that:

- Non-profit qualified entities (consumer associations, independent public bodies) may bring national or cross-border actions where collective harm has been identified.
- Such entities may seek injunctive measures (cessation or prohibition of illegal practices) and/or redress measures (compensation, restitution, removal of harmful effects).
- Each Member State shall determine the applicable penalties (fine or other sanctions) in the event of non-compliance with decisions taken in the context of representative action.

Depending on the circumstances (interim measures, final measures, removal of persisting effects, etc.), actions may seek remedies tailored to the nature and scale of the dispute.

3.2 Out-of-court resolution of complaints with the CSSF

If, following discussions with SYQUANT Capital, an Investor still wish to pursue an out-of-court resolution of its complaint, it may refer the matter to the CSSF only where it relates to an entity subject to Luxembourg supervision, currently the SICAV HELIUM FUND, pursuant to Chapter 16 of the Luxembourg law of 17 December 2010 relating to undertakings for collective investment, transposing [Directive 2009/65/EC](#) as amended.

3.3 Out-of-court resolution of complaints with the CBI

If the entity against which the investor is lodging a complaint is regulated by the CBI, currently SYQUANT ICAV, and if, following the exchanges between SYQUANT Capital and the Investor, it considers that the complaint has not been handled satisfactorily, it has the right to submit a request for out-of-court resolution to the Financial Services and Pensions Ombudsman (FSPO), in accordance with the [Financial Services and Pensions Ombudsman Act 2017](#).

3.4 Out-of-court resolution of complaints with the AMF

In the absence of a satisfactory response following the exchanges, the Investor filing the complaint may refer the matter to the Autorité des Marchés Financiers (AMF), provided that the complaint concerns SYQUANT Capital, a portfolio management company authorised by the AMF under number GP-05000030, licensed to carry out its activities in accordance with [Directive 2011/61/EU \(AIFMD\)](#) and [Directive 2009/65/EC \(UCITS\)](#), as amended.

3.5 Out-of-court resolution of complaints against a financial services provider by country

Below is a list of the main ombudsmen (or equivalent bodies) by country (non-exhaustive list).

COUNTRY	NAME	TYPES OF INTERMEDIARIES	CONTACT	WEBSITE	LANGUAGES
France	AMF Ombudsman	Investment services providers, most investment intermediaries, most securities intermediaries, some pension providers	Complaints may be submitted online by completing a specific form	www.amf-france.org	French, English
	Ombudsman of the French Association of Financial Companies	Most credit unions, some banks, some mortgage lenders	mediateur@asf-france.com	www.lemediateur.asf-france.com/	French, English
	Insurance Mediation	Insurance companies, some credit unions, some insurance intermediaries, some pension providers	https://formulaire.mediation-assurance.org/	https://www.mediation-assurance.org/	French, English
Belgium	Ombudsfm	Banks, mortgage banks, credit unions, investment services providers, investment intermediaries, securities intermediaries	ombudsman@ombudsfm.be	www.ombudsfm.be	Dutch, French, English, German
	Insurance Ombudsman	Insurance companies, some mortgage intermediaries, some pension intermediaries	info@ombudsman.as	www.ombudsman.as	Dutch, French, English, German
Germany	Real Assets Investment Arbitration Board	Alternative investment fund managers (AIFMs), providers to closed-ended investment companies, trust companies, alternative investment funds (AIFs), closed-ended investment companies	info@ombudsstelle.com	www.ombudsstelle.com	German, English
	Ombudsman of the German Cooperative Banks	Most banks, some mortgage lenders	kundenbeschwerdestelle@bvr.de	www.bvr.de	German, English
	German Savings Banks Association	German savings banks only	schlichtung@dsgv.de	www.dsgv.de	German, English
	Ombudsman of the German Public Sector Banks	Some banks	ombudsmann@voeb-kbs.de	www.voeb.de/was-wir-tun/ombudsmann	German, English, French
	Ombudsman Scheme of the Private Commercial Banks	Most banks, most mortgage banks	ombudsmann@bdb.de	www.bankenombudsmann.de/schlichtungsverfahren	German

	Ombudsman for Private Health Insurance and Long-Term Care	Some insurance companies	Complaints may be submitted online by completing a specific form	www.pkvombudsmann.de	German
	Ombudsman Scheme for Investment Funds	Some investment services providers, some banks and some depositaries	info@ombudsstelleinvestmentfonds.de	www.ombudsstelleinvestmentfonds.de	German, English
	Arbitration Board of the Deutsche Bundesbank	Mortgage intermediaries, investment services providers, investment intermediaries, securities intermediaries, some banks, some mortgage lenders, some credit unions	schlichtung@bundesbank.de	www.bundesbank.de	German
	Arbitration Board of BaFin	All institutions under BaFin supervision	schlichtungsstelle@bafin.de	www.bafin.de	German
	Insurance Ombudsman	Insurance companies, insurance intermediaries	beschwerde@versicherungsbudsmann.de	www.versicherungsbudsmann.de	German, English, French
Italy	ACF – Securities and Financial Ombudsman	Banks, credit unions, some insurance companies, some investment services providers, most investment intermediaries, most securities intermediaries, depositaries	info.acf@consob.it	www.acf.consob.it	Italian, English
	Banking Ombudsman	Banks, investment services providers, investment intermediaries	segreteria@conciliatorebancario.it	www.conciliatorebancario.it	Italian, French, English, Spanish
	IVASS – Insurance Supervisory Authority	Insurance companies, insurance intermediaries	scrivi@ivass.it ivass@pec.ivass.it	www.isvap.it	Italian, English
	ABF – Banking and Financial Ombudsman	Banks, mortgage banks, mortgage intermediaries, credit unions, payment institutions, electronic money institutions, Poste Italiane S.p.A.	abf@bancaditalia.it roma.abf.segreteriaticnica@bancaditalia.it	www.arbitrobancariofinanziario.it	Italian, English
Spain	Investor Assistance Office – CNMV Investor Division	Banks, investment services providers, investment intermediaries, securities intermediaries	ServiciodereclamacionesCNMV@cnmv.es	www.cnmv.es	Spanish, English
	Complaints Service of the Directorate-General for Insurance and Pension Funds (DGSFP)	Insurance companies, insurance intermediaries, pension providers, pension intermediaries	reclamaciones.seguros@mineco.es	www.dgsfp.mineco.gob.es	Spanish
	Conduct of Institutions Department (Banco de España)	Banks, savings banks, credit unions, payment institutions and others	conducta.entidades@bde.es	https://www.bde.es/wbe/es/areas-actuacion/conducta/	Spanish, English

Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Investment services providers, most investment intermediaries, most securities intermediaries, some pension service providers	direction@cssf.lu	https://www.cssf.lu/fr/reclamations-clientele/	English, French
Netherlands	Financial Services Complaints Institute (Kifid)	Investment services providers, most investment intermediaries, most securities intermediaries	consumenten@kifid.nl	https://www.afm.nl/en/consumenten/the-mas/klacht	Dutch, English
Austria	Joint Conciliation Board of the Austrian Banking Industry (Gemeinsame Schlichtungsstelle der österreichischen Kreditwirtschaft)	Banks, credit institutions, payment services, loans, mortgages, securities, financial institutions subject to the Banking Act (BWG)	office@bankenschlichtung.at	www.bankenschlichtung.at	German, English
	Financial Market Authority (FMA – Finanzmarktaufsicht)	Banks, insurance companies, capital markets entities, investment service providers	Complaints may be submitted online by completing a specific form	fma.gv.at	German, English
	Schlichtung für Verbrauchergeschäfte (Conciliation Body for Consumer Transactions)	Consumer disputes including insurance, intermediaries, some financial services and consumer goods	office@verbraucherschlichtung.at	www.verbraucherschlichtung.at	German
Switzerland	Swiss Arbitration Centre (formerly Swiss Chambers' Arbitration Institution – SCAI)	Arbitration and mediation for commercial, contractual and business-to-business disputes	centre@swissarbitration.org	www.swissarbitration.org	German, French, English
	Swiss Banking Ombudsman	Banks and banking services; dormant assets for institutions that are members of, or affiliated with, the Swiss Bankers Association	Complaints may be submitted online by completing a specific form	bankingombudsman.ch	German, French, English
	FINOS (FINA-Ombudsstelle Schweiz / Ombudsman for financial service providers under FinSA/FIDLEG)	Financial intermediaries (advisers, asset managers, financial planners, family offices, etc.) subject to FinSA/FIDLEG	info@finos.ch	https://www.finos.ch/	German, French, English
Ireland	Financial Services and Pensions Ombudsman (FSPO)	Regulated financial services (banks, insurance companies, financial advisers, etc.) and pension providers (including PRSAs)	info@fspoi.ie	www.fspoi.ie	English, Irish



Singapore	Financial Industry Disputes Resolution Centre Ltd (FIDReC)	Banks, insurance companies, fund managers, etc., for disputes between consumers / individual clients or sole proprietors and regulated financial institutions	subscription@fidrec.com.sg (For financial institutions) corpcomms@fidrec.com.sg (For external & Foreign Organisation)	https://www.fidrec.com.sg/	English
United Kingdom	Financial Ombudsman Service (FOS)	Banks, credit cards, insurance, loans, consumer credit, mortgage loans, pensions, investments, money transfers, financial advice	complaint.info@financial-ombudsman.org.uk	https://www.financial-ombudsman.org.uk/	English
Norway	Norwegian Financial Services Complaints Board (Finansklagenemnda — FinKN)	Banks, payment services, credit, insurance, mortgage loans, pensions, investments and savings products	Complaints may be submitted online by completing a specific form	https://www.finkn.no/	Norwegian, English
Sweden	Allmänna reklamationsnämnden (ARN) – National Board for Consumer Disputes	Banks, credit intermediaries, insurance institutions, investment service providers	arn@arn.se	https://www.arn.se/om-arn/Languages/english-what-is-arn/	Swedish, English

3.6 Contacting FIN-NET

If the Investor has a cross-border complaint concerning a financial services provider, such as a bank, an insurance company or an investment firm located in an EU/EEA country other than your own, it may either:

- Contact the local ombudsman in that country (see table above), or
- File its complaint through FIN-NET, a network of EU national organisations responsible for the amicable settlement of consumer complaints in the field of financial services, in compliance with the principles set out in [Directive 2013/11/EU](#) on alternative dispute resolution for consumer disputes (ADR).

Regarding FIN-NET:

Further details can be found on the FIN-NET website:

https://finance.ec.europa.eu/consumer-finance-and-payments/retail-financial-services/financial-dispute-resolution-network-fin-net/members-fin-net-country_en

FIN-NET contact form for cross-border complaints (available in different languages):

COUNTRY	LANGUAGES
France	French, English
Belgium	Dutch, French, English, German
Germany	German, English
Italy	Italian, English
Spain	Spanish, English
Luxembourg	English, French
Netherlands	Dutch, English
Austria	German
Switzerland	FIN-NET affiliates are dispute resolution bodies established in European countries or territories outside the EEA, where the Alternative Dispute Resolution Directive does not apply. Nevertheless, these bodies have chosen to contribute to FIN-NET and to comply with the main EU rules on alternative dispute resolution.
Ireland	English, Irish
Singapore	FIN-NET affiliates are dispute resolution bodies established in European countries or territories outside the EEA, where the Alternative Dispute Resolution Directive does not apply. Nevertheless, these bodies have chosen to contribute to FIN-NET and to comply with the main EU rules on alternative dispute resolution.
United Kingdom	FIN-NET affiliates are dispute resolution bodies established in European countries or territories outside the EEA, where the Alternative Dispute Resolution Directive does not apply. Nevertheless, these bodies have chosen to contribute to FIN-NET and to comply with the main EU rules on alternative dispute resolution.
Norway	Norwegian, English
Sweden	Swedish, Danish, Norwegian, English

The FIN-NET member will indicate whether it is able to resolve the issue or may refer the Investor to another organisation that may be able to assist. Additional information may be requested in order to properly assess the case presented. Most FIN-NET members can provide assistance free of charge or at a low cost. They generally reach a conclusion within 90 days.