

# Complaints Policy & Procedure

This Complaints Policy outlines the commitment of Shenandoah Capital Ltd, reg 16626886, in England and Wales to identify, assess and resolve as and where is practicably possible any disputes or grievances of shareholders. As a U.K. registered business operating within the derivatives trading industry, we adhere strictly to all relevant laws and regulations.

## 1. Purpose

The purpose of this policy is to ensure that Shenandoah Capital Ltd. has robust systems in place to resolving disputes and concerns that might occur in the companies' usual course of business. We are committed to maintaining the highest reasonably practicably standards of compliance and integrity in all our operations relating to complaints and or concerns shareholders might have and the resolving of these issues.

## 2. Complaints procedure

- In the event that a shareholder might have a concern or complaint they should email a detailed summary of their complaint, including their USN number, full name, contact telephone number, time and date it might have occurred to: [info@shenandoahfx.com](mailto:info@shenandoahfx.com)
- In the subject line of the email the shareholder should write the reference as follow: the USN number of the shareholder (in the subject line followed by 'complaints' for example 'USN12345678complaint'.
- Once submitted the shareholder should wait 14 working days (excluding U.K. bank and holiday days) and then file a second complaint to the same email address and copy in: [support@shenandoahfx.com](mailto:support@shenandoahfx.com)
- After the second complaint email has been send the shareholder should wait another 7 working days, excluding U.K. bank and holiday days for a response from the complaints team.

## 3. Complaints Resolution Process

- The Shenandoah Capital Ltd. complaints team will aim to respond within 21 working days from the first working day after your complaint was send.
- You will receive email correspondence and depending on the urgency of the matter a phone call from the team if it is not an issue that can be easily resolved.

## 4. Participation

- It is expected of all parties related to the matter to act in good faith and in a collaborative manner to resolving the issue. All parties are expected to act in a proactive manner to resolve the matter to all parties' best benefit.

## 5. Continued action (Alternative Dispute Resolution)

- If the dispute cannot be resolved in an amicable manner through discussions and negotiations then the matter will be resolved via mediation as described and dictated by English law. In this situation Shenandoah Capital Ltd. shall escalate the matter and select a panel of 3 (three) mediators that can be considered, and the complainant will have the right to choose a mediator from the panel. All parties will be bound by the process of mediation and collaborate in a positive good faith manner. If mediation fails, then the final resort will be Arbitration. Again, a panel of 3(three) arbitrators will be put forward and a selection by the complainant can be made. The arbitrator's decision is final. If there is a clear wrong done by one party then the entire costs for any actions related to the matter will be for the account of that party, if however, it's a matter of partial blame to both parties then each party shall be responsible for their own costs in resolving the matter.

## 7. Policy Review

This policy is reviewed and updated on a regular basis, or as required by changes in legislation or business operations, to ensure its effectiveness and compliance with current regulatory requirements.

For further information, please contact our team on [info@shenandoahfx.com](mailto:info@shenandoahfx.com)



Francis Roelofse  
Director

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