

Summary of Investor Rights – 14 October 2024

This document provides a summary of the key rights¹ as an investor in the Lightrock UCITS ICAV ("the Fund") managed by Lightrock Netherlands B.V. The summary is not an exhaustive list of all rights which you may have in respect of the Fund. Please refer to the prospectus (available in English), supplement and Key Investor Information Documents (KIID, available in multiple languages) on our website for further information about the Fund.

Right to receive information

Investors have the right to receive certain information about the Fund, in which they have invested. The aforementioned documents as well as the (semi-)annual report and the Instrument of Incorporation of the Fund are available free of charge via: <https://smallcap.lightrock.com/> or at the offices of the Swiss Representative in Lausanne. Further information may be available on request. Additional details in are contained in the prospectus. Any material changes to certain information contained in the prospectus provided to you before you invested shall be notified to you in accordance with applicable regulatory requirements.

Right to redeem investments

Investors have the right to redeem their investments in the Fund and receive the redemption proceeds relating to their shares/units on any dealing day at the Net Asset Value per share under the terms set out in the relevant fund documents.

Right to receive income

Investors have the right to a proportionate share of the income (if any) of the Fund in which they invested. Depending on the nature of shares in the appropriate share classes held by the investor, such income may either be accumulated into the Net Asset Value of the shares or distributed to the investor as a dividend payment subject to the provisions as described in the relevant fund documents.

Right to attend and vote at shareholder meetings

Investors have the right to receive notice of, attend in person or by proxy and vote at the general meeting (if any) on resolutions relating to the Fund or share class in which the investor has invested, in accordance with the conditions set out in the relevant fund documents.

Right to privacy

In accordance with applicable law, investors may have rights regarding their personal data, including the right to access and rectify their personal data and, in certain cases, the right to object to the processing of their personal data. The Lightrock Privacy notice is available on the website: <https://www.lightrock.com/privacy>.

¹ As contained in the European Regulation on Cross-Border Distribution (EU) 2019/1156.

Right to complain

Investors that are not satisfied with their experience as an investor in the Fund have the right to file a complaint free of charge. Any such complaint must be handled by Lightrock Netherlands B.V. promptly and effectively. To file a complaint, please see the complaints procedure on our website: <https://smallcap.lightrock.com/required-documents/>.

Right against the Fund

Investors have the right of action against the Fund of which you are an investor for any breach of contract. Investors do not have any direct contractual rights against any service provider appointed in respect of the Fund because of the absence of a direct contractual relationship between investors and such service provider. Instead, the Fund has a right of action to pursue a service provider in respect of an alleged wrongdoing committed against the Fund by the relevant service provider. An investor has a regulatory right of action to pursue the depositary which has been appointed by the Fund in respect of (i) any loss of an asset held in the custody of the depositary or any of its delegates or (ii) of any other losses caused by the depositary's negligent or intentional failure to properly fulfil its obligations under applicable regulations provided that this does not lead to a duplication of redress or to unequal treatment of investors in the Fund.

Right to file class actions

A collective redress mechanism by consumers (class action) in respect of infringements of applicable Irish, Dutch or EU laws is available under the Representative Actions for the Protection of the Collective Interests of Consumers Act 2023 which transposes Directive (EU) 2020/1828 into Irish and Dutch law.²

² Further information on the Irish collective redress mechanism is available from: <https://enterprise.gov.ie/en/what-we-do/consumer-competition/competition-and-consumer-policy/representative-actions-act/>.

Further information on the Dutch collective redress mechanism is available from: <https://www.rijksoverheid.nl/onderwerpen/bescherming-van-consumenten/vraag-en-antwoord/kan-ik-samen-met-andere-slachtoffers-een-collectieve-schadevergoeding-eisen>.