

Complaints Handling Procedure

Drovix (MU) Ltd

Authorised and regulated by the Financial Services Commission (FSC) of Mauritius
Investment Dealer (Full Service Dealer) excluding Underwriting, Licence No. GB21026813
Registered Address: C/o SALVUS (Mauritius) Ltd, Silver Bank Tower, Ground Floor, 18 Bank Street, Cybercity,
Ebene 72201, Mauritius
Website: www.drovix.com

Effective Date: May 2026

Services are available exclusively to institutional and professional clients and qualified counterparties.

IMPORTANT NOTICE: The services described in this document are available exclusively to institutional and professional clients and qualified counterparties. Drovix does not provide services to retail clients.

1. General

Drovix (MU) Ltd (the "Company") is an institutional execution and technology provider, delivering multi-venue liquidity access, smart order routing, and connectivity services to professional market participants. The Company is committed to maintaining the highest standards of service in its relationships with institutional and professional clients and qualified counterparties.

The Company is authorised and regulated by the Financial Services Commission (FSC) of Mauritius under Investment Dealer (Full Service Dealer) excluding Underwriting, Licence No. GB21026813. This Complaints Handling Procedure (the "Procedure") sets out the process by which the Company handles complaints from clients and counterparties in a fair, transparent, and timely manner, in compliance with the applicable rules and guidelines of the FSC.

2. Definition of a Complaint

For the purposes of this Procedure, a "complaint" is defined as any written expression of dissatisfaction by a client, prospective client, authorised representative, or counterparty regarding the execution and related services provided by the Company, where the complainant alleges that they have suffered (or may suffer) financial loss, material distress, or material inconvenience.

The following are not considered complaints under this Procedure: general inquiries regarding the Company's services, pricing, technology, or operational matters; routine requests for trade confirmations, statements, or post-trade reporting; service availability or platform status enquiries; and expressions of dissatisfaction that do not allege any loss or prejudice.

3. How to Submit a Complaint

Clients and counterparties may submit complaints through the following channels:

- **Email:** compliance@drovix.com
- **Postal Mail:** Compliance Department, C/o SALVUS (Mauritius) Ltd, Silver Bank Tower, Ground Floor, 18 Bank Street, Cybercity, Ebene 72201, Mauritius
- **Institutional Desk:** Through the designated relationship contact for the relevant client account (institutional@drovix.com).

To ensure prompt and effective handling, the complaint should include:

- The name of the client entity and the authorised representative submitting the complaint;
- The client account identifier and, where applicable, the relevant trading account or FIX session ID;
- Contact details (email address and telephone number);
- A clear and detailed description of the issue or concern;
- The date(s) and, where relevant, the timestamp(s) on which the event(s) giving rise to the complaint occurred;
- Details of any relevant orders, fills, instruments, or trading activity (including order IDs and execution venues, where known);
- Any supporting documentation or evidence (logs, screenshots, FIX messages, statements);
- The outcome or resolution sought by the complainant.

4. Complaint Handling Procedure

4.1 Acknowledgement

Upon receipt of a complaint, the Compliance Department shall send a written acknowledgement within two (2) Business Days. The acknowledgement shall include a unique reference number, the name and contact details of the officer handling the complaint, and an estimated timeline for resolution.

4.2 Investigation

The Compliance Department shall conduct a thorough and impartial investigation, which may include reviewing the relevant order book records, FIX session logs, execution venue logs, post-trade analytics, and client communications; consulting with relevant departments (trading operations, technology, risk, legal); obtaining statements from Company personnel; and reviewing applicable policies, procedures, the relevant Institutional Services Agreement, and applicable regulatory requirements.

4.3 Resolution Timeline

The Company shall endeavour to resolve complaints within five (5) Business Days of receipt. Where a complaint is complex and requires additional investigation, the Company shall inform the complainant within the initial five (5) Business Day period, providing an explanation and a revised estimated resolution date. In any event, the Company shall provide a final response within thirty (30) calendar days of receipt of the complaint, save in exceptional cases involving cross-venue investigation, in which case the complainant shall be kept informed of progress.

4.4 Final Response

The final response shall include a summary of the complaint; a description of the investigation conducted and the evidence reviewed; the Company's findings and conclusions; any remedial action taken or proposed (which may include trade re-bookings, fee adjustments, or operational corrections, where appropriate); and information regarding the complainant's right to escalate the matter.

5. Escalation

If the complainant is not satisfied with the Company's final response, or if the Company has not provided a final response within thirty (30) calendar days, the complainant may escalate the matter to:

Financial Services Commission (FSC)

FSC House, 54 Cybercity, Ebene 72201, Mauritius

Telephone: +230 403 7000

Website: www.fscmauritius.org

The escalation should include a copy of the original complaint, the Company's final response (if received), and an explanation of why the response is considered unsatisfactory. Where the relevant Institutional Services Agreement provides for arbitration or any other contractual dispute-resolution mechanism, such mechanism shall apply in addition to, or in lieu of, the escalation channel described above, as set out in the Agreement.

6. Record Keeping

The Company maintains comprehensive records of all complaints, including the nature and details of each complaint; all correspondence and communications; investigation findings and actions taken; and the final outcome and any remedial measures. All records are retained for a minimum of seven (7) years in accordance with FSC requirements.

7. Regulatory Reporting

The Company reports to the FSC on the number and nature of complaints received as part of its periodic regulatory reporting. The Company also notifies the FSC of complaints that raise systemic issues, significant regulatory concerns, suspected market abuse, or potential material financial implications, in line with applicable regulatory expectations.

8. Fair Treatment

The Company ensures that all complaints are handled fairly, impartially, and without bias, and that the investigation is conducted independently of the persons or business units against whom the complaint has been made, to the extent practicable. No client or counterparty shall be subject to adverse treatment as a result of submitting a complaint in good faith.

9. Review and Amendments

This Procedure is reviewed at least annually by the Compliance Department and senior management, and following any material change in applicable law, regulation, or the Company's business model. Material changes are communicated to clients via the Company's website.