

## QUADRIA CAPITAL FUND II, FUND III

### Procedure for Addressing External Queries and Concerns

1. This procedure is intended to provide a means for the concerned external stakeholder(s) to submit queries or concerns related to the Fund's Environmental & Social Policy and/or portfolio investments financed by the Fund, and have these inquiries responded to by the Fund in a timely manner. This process of receiving, reviewing, and responding to communications from external stakeholders is managed by the Fund's Compliance Officer.
2. A concerned person, community or other external stakeholder, such as a civil society organization, can submit their questions or concerns to the Compliance Officer either by sending an e-mail to the following e-mail address: [operations@quadriacapital.com](mailto:operations@quadriacapital.com) or by sending a mail to the following address: Quadria Capital, Level 2, 11A, Stanley Street, Singapore 068730.
3. Where the question or concern relates to a portfolio investment financed by the Fund, the interested or affected person(s) are first encouraged to discuss the matter directly with the portfolio company. In cases where the question or concern was not addressed sufficiently at the portfolio company level, interested parties may submit their query to the Fund, in writing, providing the following information:
  - a. Name and Contact Information of the sender;
  - b. Name of the company to which the concern relates;
  - c. Description of the concern and any supporting documentation;
  - d. Date of the incident or action giving rise to the complaint (if applicable);
  - e. Specific remedy sought (if applicable);
  - f. Any other information as deemed appropriate by the sender.
4. The Compliance Officer will provide a confirmation of receipt to the sender within 48 hours of receiving the written question or concern and inform them that they will receive a response in writing within 30 business days.
5. The Compliance Officer will review the content of the communication and will draft a response, with involvement from the relevant relationship officer responsible for the portfolio client. A draft response will be submitted within 20 business days for internal approval. Once the draft of response is approved, the Compliance Officer will forward the response to the sender. Any change to the draft response proposed by the approving authority will be consulted with the relevant relationship officer, and its final version will be sent to the sender no later than 30 business days from the initial receipt of the communication.
6. In case the approving authority, following point 5 of this procedure, and in consultation with relevant relationship officer, considers that the communication from the interested parties raises serious Environmental and/or Social issue(s) for a portfolio client, the relevant relationship officer will immediately contact the portfolio client to seek any relevant information, and may carry out additional investigation. If such investigation leads the relationship team to conclude that the portfolio client is not meeting the Fund's E&S Policy, the relationship officer will inform the approving authority about this fact. The relationship officer together with Compliance officer [and if required, a consultant] will prepare a Supplemental Corrective Action Plan (SCAP) to be discussed with and implemented by the portfolio client.

7. The Compliance Officer will then send a second, follow up response to the sender about any steps requested from the portfolio client once the corrective action plan is ready and accepted by the portfolio client, but not later than 90 business days from the receipt of the original communication.
8. Information about this procedure will be available on the Fund's website. There will be no cost or fee associated with submitting a question or concern through this procedure. Interested and affected parties may submit queries or concerns without fear of retribution and may request that the Fund not disclose the names of individuals to the portfolio clients without prior explicit permission of the interested parties. The Fund would expect and assume that the interested and affected parties are acting in a responsible manner and are submitting genuine concerns.
9. The Compliance Officer will log and track all public inquiries received by way of this procedure including date received; date the response was sent; and issues raised.
10. The Policy on the Project-affected People's Mechanism of the Asia Infrastructure Investment Bank is applicable to the investee companies of Quadria Capital Fund III ("the Fund"). Any stakeholder (including employees, suppliers, investors and customers) of the Fund's investee companies is encouraged to raise concern or report misconduct instances by contacting the Fund or by filling submissions with AIIB through the AIIB's website ([\*How We Assist You - Project-Affected People's Mechanism \(aiib.org\)\*](#))”