

ROCKWOOD



Legal & Compliance Document

This document sets out the Terms and Conditions of Use, Privacy Policy, POPIA Compliance Notice, Disclaimer, and Cookie Policy governing access to and use of the Rockwood Private Equity website (www.rockwoodpe.co.za).

Effective Date: June 2026 | **FSP No.:** 34503 | **Reg. No.:** 2007/034606/07

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1. Terms and Conditions of Use

These Terms and Conditions ("Terms") govern your access to and use of the Rockwood Private Equity website located at www.rockwoodpe.co.za ("Website"), operated by Rockwood Private Equity (Pty) Ltd ("Rockwood", "we", "us", or "our"), an Authorised Financial Services Provider (FSP No. 34503), registration number 2007/034606/07, registered in the Republic of South Africa. By accessing or using the Website, you agree to be bound by these Terms. If you do not agree, please discontinue use of the Website immediately.

1.1 Acceptance of Terms

Your continued use of this Website constitutes your full acceptance of these Terms and any amendments thereto. Rockwood reserves the right to amend these Terms at any time without prior notice. The updated Terms will be effective from the date of publication on the Website.

1.2 Use of the Website

You agree to use this Website only for lawful purposes and in a manner that does not infringe the rights of any third party. You must not:

- Use the Website in any way that breaches any applicable local, national, or international law or regulation.
- Transmit any unsolicited or unauthorised advertising or promotional material.
- Attempt to gain unauthorised access to any part of the Website or its related systems.
- Engage in any conduct that restricts or inhibits any other person's use or enjoyment of the Website.
- Introduce any viruses, trojan horses, worms, or other malicious or technologically harmful material.

1.3 Intellectual Property

All content on this Website, including but not limited to text, graphics, logos, images, and software, is the property of Rockwood Private Equity (Pty) Ltd or its content suppliers and is protected by South African and international copyright and intellectual property laws. You may not reproduce, distribute, or otherwise exploit any content from this Website without prior written consent from Rockwood.

1.4 Third-Party Links

This Website may contain links to third-party websites. These links are provided for your convenience only. Rockwood has no control over the content of those websites and accepts no responsibility for them or for any loss or damage that may arise from your use of them.

1.5 Limitation of Liability

To the fullest extent permitted by law, Rockwood, its directors, employees, and affiliates shall not be liable for any direct, indirect, incidental, consequential, or punitive damages arising out of your access to or use of, or inability to access or use, this Website or its content.

1.6 Governing Law

These Terms shall be governed by and construed in accordance with the laws of the Republic of South Africa. Any disputes arising under these Terms shall be subject to the exclusive jurisdiction of the courts of South Africa.

2. Privacy Policy

Rockwood Private Equity (Pty) Ltd is committed to protecting your personal information. This Privacy Policy explains how we collect, use, store, and disclose personal information obtained through this Website, in compliance with the Protection of Personal Information Act 4 of 2013 ("POPIA") and all other applicable South African privacy legislation.

2.1 Information We Collect

We may collect the following categories of personal information when you use this Website or contact us:

- Identity information: name, surname, job title, and company name.
- Contact information: email address and telephone number.
- Communication content: the content of messages submitted via our contact form.
- Technical data: IP address, browser type, operating system, and pages visited (collected automatically via cookies and analytics tools).

2.2 How We Use Your Information

We use the personal information we collect for the following purposes:

- To respond to enquiries submitted through our contact form.
- To communicate with prospective investors, business owners, and partners.
- To improve the functionality and content of our Website.
- To comply with legal and regulatory obligations.
- To protect our legitimate business interests.

2.3 Legal Basis for Processing

We process your personal information on the following legal grounds: (a) your consent, where provided; (b) performance of a contract or steps taken at your request prior to entering into a contract; (c) compliance with a legal obligation; and (d) our legitimate interests in operating and improving our business, where these are not overridden by your rights.

2.4 Sharing of Personal Information

Rockwood does not sell, rent, or trade your personal information to third parties. We may share your information with:

- Service providers who assist us in operating our Website and conducting our business, subject to confidentiality obligations.
- Professional advisers including lawyers, auditors, and insurers, where necessary.
- Regulatory authorities, law enforcement bodies, or courts where required by law.

2.5 Data Retention

We retain personal information only for as long as is necessary for the purposes for which it was collected, or as required by law. When personal information is no longer required, it is securely deleted or anonymised.

2.6 Security

We implement appropriate technical and organisational measures to protect your personal information against unauthorised access, loss, destruction, or alteration. However, no method of transmission over the internet or electronic storage is completely secure, and we cannot guarantee absolute security.

2.7 Your Rights

Under POPIA and applicable law, you have the right to: (a) access the personal information we hold about you; (b) request correction of inaccurate or incomplete information; (c) request deletion of your personal information, subject to legal requirements; (d) object to the processing of your personal information; and (e) lodge a complaint with the Information Regulator of South Africa.

To exercise any of these rights, please contact our Information Officer at: rockwood@rockwoodpe.co.za

3. POPIA Compliance Notice

In terms of Section 18 of the Protection of Personal Information Act 4 of 2013 ("POPIA"), Rockwood Private Equity (Pty) Ltd hereby notifies you of the following:

3.1 Responsible Party

Name: Rockwood Private Equity (Pty) Ltd

Registration No.: 2007/034606/07

FSP No.: 34503

Address: Augusta House, Building 6, Inanda Greens Business Park, 54 Wierda Road West, Wierda Valley, Sandton, 2196

Email: rockwood@rockwoodpe.co.za

Telephone: +27 (0)11 010 6599

3.2 Information Officer

Rockwood has designated an Information Officer responsible for ensuring compliance with POPIA. The Information Officer is required to be registered with the Information Regulator of South Africa. Requests relating to personal information, access requests, or complaints may be directed to the Information Officer at rockwood@rockwoodpe.co.za.

3.3 Purpose of Collection

Personal information is collected through this Website solely for the purposes described in Section 2 of this document (Privacy Policy). We do not collect personal information for purposes beyond those disclosed without obtaining your further consent.

3.4 Voluntary Disclosure

The provision of personal information through our contact form is voluntary. However, failure to provide certain information may limit our ability to respond to your enquiry or engage with you further.

3.5 Cross-Border Transfers

We do not routinely transfer personal information outside the borders of the Republic of South Africa. Where any such transfer is necessary, we will ensure that adequate safeguards are in place in accordance with Section 72 of POPIA.

3.6 Information Regulator

If you believe that Rockwood has not handled your personal information in accordance with POPIA, you may lodge a complaint with the Information Regulator of South Africa:

- Website: www.inforegulator.org.za
- General email: infoereg@justice.gov.za
- PAIA complaints: PAIAComplaints@inforegulator.org.za
- POPIA complaints: POPIAComplaints@inforegulator.org.za
- Postal Address: JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

4. Disclaimer

4.1 No Investment Advice

The content on this Website is provided for general information purposes only and does not constitute financial, investment, legal, or tax advice. Nothing on this Website should be construed as a solicitation or offer to buy or sell any security or investment product. Rockwood Private Equity (Pty) Ltd is an Authorised Financial Services Provider (FSP No. 34503); however, engagement through this Website does not in itself constitute a financial services relationship. You should seek independent professional advice before making any investment decision.

4.2 Accuracy of Information

While we endeavour to keep the information on this Website accurate and up to date, we make no representations or warranties of any kind, express or implied, about the completeness, accuracy, reliability, suitability, or availability of the Website or the information contained on it. Any reliance you place on such information is strictly at your own risk.

4.3 Forward-Looking Statements

Certain information on this Website may contain forward-looking statements, including statements about our investment strategy, portfolio performance, and business outlook. These statements are based on current expectations and assumptions and are subject to significant risks and uncertainties. Actual results may differ materially from those expressed or implied.

4.4 Past Performance

Past investment performance referenced on this Website is not indicative of future results. The value of investments may go down as well as up, and investors may not recover the amount originally invested.

5. Cookie Policy

5.1 What Are Cookies

Cookies are small text files that are placed on your device when you visit a website. They are widely used to make websites function correctly, improve user experience, and provide information to website operators.

5.2 Cookies We Use

This Website may use the following categories of cookies:

- **Strictly necessary cookies:** Essential for the operation of the Website. These cannot be disabled.
- **Analytics cookies:** Used to collect anonymous information about how visitors use our Website, such as pages visited and time spent on the site. We may use Google Analytics for this purpose.
- **Preference cookies:** Used to remember your settings and preferences to improve your experience on return visits.

5.3 Managing Cookies

You can control and manage cookies through your browser settings. Most browsers allow you to refuse cookies or delete cookies that have already been set. Please note that disabling certain cookies may affect the functionality of this Website. For more information on managing cookies, visit www.allaboutcookies.org.

5.4 Third-Party Cookies

Some pages on this Website may include content from third-party services (such as embedded maps or analytics providers) which may set their own cookies. Rockwood does not control these cookies and recommends you review the privacy and cookie policies of any third-party services.

Questions or Concerns?

If you have any questions about this document, our Privacy Policy, or how we handle your personal information, please contact our Information Officer at rockwood@rockwoodpe.co.za or +27 (0)11 010 6599.

This document was last updated in June 2026 and supersedes all previous versions.