

## Baron Capital UCITS ICAV

### Summary of Investor Rights

Please be aware that this note is intended as a short summary of your key rights as Shareholder in, and on the share register of, Baron Capital UCITS ICAV (the “**ICAV**”) for the purposes of the [European Union Cross Border Distribution Regulation \(Regulation \(EU\) 2019/1156\)](#). It is not intended to be and cannot be an exhaustive list of all rights which Shareholders may have in respect of the ICAV. Please refer to the ICAV’s Prospectus for further details in respect of the ICAV. Capitalised terms used in this summary and not otherwise defined have the meanings given to them in the Prospectus.

- **Legal Relationship** - The legal relationship between the ICAV and you is based on contract, statute and regulation. The contractual relationship is governed principally by the Initial Application Form or the Subscription Agreement executed or which applies when subscribing for Shares in the Fund(s), the Prospectus, the relevant country prospectus supplement and the Instrument of Incorporation (the “**Governing Documents**”).

As a Shareholder in the ICAV, you have various rights which derive from (i) the Governing Documents, and (ii) applicable law and regulation which includes but is not limited to, the Irish Collective Asset-management Vehicles Acts 2015 and 2020, the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations 2011 and the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) (Undertakings for Collective Investment in Transferable Securities) Regulations 2019, and the Irish Data Protection Acts 1988 to 2018, the General Data Protection Regulation (Regulation (EU) 2016/679), the EU ePrivacy Directive 2002/58/EC, each as amended or replaced from time to time.

- **Right to Participate in the Investments of the ICAV** – Your Shares entitle you to participate proportionately in the profits and losses of the Fund to which the Shares relate, subject to any differences between the terms applicable to different Share Classes. Full details of each Fund’s investment objective and policy are set out in the Prospectus and the relevant Supplement.
- **Right to Receive Income** – Each Shareholder has the right to a proportionate share of the income (if any) of the Fund in which the Shareholder has invested. Depending on the nature of the Shares held by the Shareholder, such income may either be accumulated into the Net Asset Value of the Shareholder’s Shares or distributed to the Shareholder as a dividend payment, in accordance with the terms of the Prospectus.
- **Right to Receive Information** – Each Shareholder has the right to receive certain information about the ICAV and the Fund(s) in which the Shareholder has invested. This information will include the ICAV’s annual and semi-annual reports and further information may be available on request. Further details in this respect are contained in the Prospectus.
- **Right to Attend and Vote at Shareholder Meetings** – Each Shareholder has the right to receive notice of, attend in person or by proxy and vote at general meetings (if any) of the ICAV and any meetings of the Shareholders of the particular Fund or Share Class in which the Shareholder has invested. Subject to any special rights or restrictions for the time being attached to any Share Class, at a meeting of Shareholders, on a show of hands, each Shareholder shall have one vote and, on a poll, each Shareholder shall have one vote for each Share held by such Shareholder.
- **Right to Redeem Shares** – Each Shareholder has the right to request the ICAV to redeem the Shareholder’s Shares on any Dealing Day subject to the terms of the redemption process set out in the Prospectus. In order to redeem Shares as of any particular Dealing Day, Shareholders

must submit a completed redemption request form by the Dealing Deadline applicable for the relevant Dealing Day.

- **Right to Data Privacy** – Subject to applicable law, investors may have rights in respect of their personal data, including a right to access and rectification of their personal data and in some circumstances a right to object to the processing of their personal data. The Privacy Statement is available within the Initial Application Form or the Subscription Agreement.
- **Right to Complain** – Each Shareholder which is not satisfied with its experience as an investor in the ICAV is entitled to bring a complaint to the ICAV in accordance with the applicable complaints handling policy. Information regarding the ICAV's complaint procedures is available to Shareholders free of charge upon request. Shareholders may file any complaints about the ICAV or a Fund free of charge at the registered office of the ICAV. Shareholders may also have the right to complain to the [Irish Financial Services and Pensions Ombudsman](#).

This summary of key rights is not and does not purport to be exhaustive and Shareholders should review the Prospectus in its entirety and consult with their professional advisers to understand their rights more fully.

The Governing Documents are governed by Irish law. In the event that an investor believes they have suffered loss as a result of the actions or inactions of the ICAV, an investor may take proceedings against the ICAV and/or, if an actionable cause exists, the other service providers to the ICAV in the Irish courts or, in certain circumstances, in the courts of another jurisdiction. Whether the judgement of a foreign court will be recognised and enforced against the ICAV in Ireland will depend on the circumstances of the case and will be subject to the relevant national and international law that governs such matters in Ireland.