APPROVED
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APPROVE
Compliance Manager

_____ / Maksym PUZAKOV /
dated _____ .

APPROVE
Risk Management Manager

_____ / Anton SHEVCHENKO /
dated _____ .

APPROVE
Internal Audit Department Manager

_____ / Halyna KOBZIUK/
dated_____ .

REGULATION

on the procedure for considering complaints on the commodity exchange – Ukrainian Energy Exchange Limited Liability Company

(new edition)

Kyiv 2026

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1. General provisions

1.1. The Regulations on the Procedure for Considering Complaints at the Commodity Exchange – Ukrainian Energy Exchange Limited Liability Company (hereinafter referred to as the **Regulation**) have been developed in accordance with the requirements of the current legislation of Ukraine, in particular the regulatory legal acts of the National Securities and Stock Market Commission (hereinafter referred to as the **NSSMC**), as well as the Charter of the Ukrainian Energy Exchange Limited Liability Company (hereinafter referred to as the Exchange), and determines the procedure for considering complaints related to the activities of the Exchange when conducting its professional activities on organized commodity markets, except for cases for which the legislation of Ukraine or internal documents of the Exchange establish a special procedure for considering complaints (appeals) and appeals. This Regulation apply to complaints received by the Exchange exclusively from members of the Exchange, participants in exchange trades (auctions), as well as other persons who have access to exchange trades (auctions) on the Exchange.

1.2. Complaints (appeals) of exchange trading participants who disagree with the resolution of the Exchange Committee on the application of sanctions to them in the direction of “Untreated timber and lumber” for violation of the Rules of the Ukrainian Energy Exchange Limited Liability Company, the Regulations on the organization and conduct of exchange trading for the purchase and sale of untreated timber and lumber on the commodity exchange – Ukrainian Energy Exchange Limited Liability Company, as well as other internal documents of the Exchange, are not subject to consideration in the manner prescribed by this Regulation. Consideration of such complaints (appeals) is carried out exclusively in accordance with the Regulation on the application by the Ukrainian Energy Exchange Limited Liability Company of sanctions for violation of the Rules of the Ukrainian Energy Exchange Limited Liability Company and other internal documents establishing the procedure for organizing and conducting exchange trading in the "Untreated timber and lumber" sector.

1.3. Appeals (complaints) related to issues of corporate ethics, integrity, compliance with the principles of corporate and social responsibility are accepted and considered by the Exchange according to the procedures specified in the Corporate and Social Responsibility Policy of the Ukrainian Energy Exchange Limited Liability Company.

1.4. In order to ensure prompt and effective consideration of complaints in accordance with this Regulation, the Exchange shall designate one or more employees of the Exchange responsible for considering complaints (hereinafter referred to as the **Responsible Person**), taking into account the specifics of the Exchange's activities, the nature and scope of professional activities and the differentiation of complaints by existing areas of exchange trading on the Exchange. The designation of such employees shall be carried out in compliance with the principles of independence, objectivity and avoidance of conflict of interest.

2. Procedure for appointing a responsible person

2.1. The CEO of the Exchange shall designate one or more employees responsible for handling complaints from among the employees of the Exchange who:

- have the appropriate level of professional competence and experience;
- have an impeccable business reputation;
- are not directly or indirectly subordinate to officials whose actions or inaction may be the subject of a complaint;
- are not involved in operational activities that may be the subject of a complaint.

2.2. The resolution to appoint the Responsible Person is issued by an order of the CEO of the Exchange, which determines:

- the scope and limits of its powers;
- the procedure for replacement during a period of temporary absence;
- the obligation to comply with the principles of independence, objectivity and avoidance of conflict of interest.

2.3. The responsible person exercises his/her powers independently and independently. Any interference by Exchange officials, employees of structural units or third parties in the complaint review process is prohibited.

2.4. If the complaint concerns actions or inactions:

– Responsible Person;

– CEO of the Exchange;

– persons who may directly or indirectly influence the Responsible Person, such a complaint cannot be considered by the Responsible Person.

Such a complaint is subject to mandatory transfer for consideration to another Responsible Person or the Exchange Committee, respectively.

2.5. The powers of the Responsible Person shall be terminated in the event of:

– submission of a written application for termination of powers;

– adoption by the CEO of the Exchange of a reasoned decision to terminate the powers of the Responsible Person;

– dismissal of the Responsible Person from the Exchange.

3. Functions of the responsible person and the procedure for interaction with other structural divisions of the Exchange

3.1. The functions of the Responsible Person include.

3.1.1. **Organizational and procedural functions**

Responsible person:

- organizes and ensures the process of receiving, registering and considering complaints in accordance with these Regulations;
- monitors compliance with the established deadlines for considering complaints;
- determines the appropriate procedure for considering a complaint (general / special, including taking into account the norms of special legislation);
- ensures the recording of all stages of considering a complaint in the accounting system.

3.1.2. **Functions of initial complaint analysis**

Responsible Person:

- checks the complaint for compliance with the formal requirements of the Regulation;
- determines the subject of the complaint and the circle of persons whose actions or inaction are being appealed;
- checks the presence or absence of a conflict of interest;
- makes a decision to return the complaint without consideration in cases provided for by the Regulation.

3.1.3. **Substantive complaint review functions**

Responsible Person:

- analyzes the circumstances set forth in the complaint and the evidence provided (within the powers of the Responsible Person);
- requests from the structural divisions of the Exchange the information, documents and explanations necessary for considering the complaint;
- assesses the compliance of actions (inaction) with the requirements of the legislation, internal documents of the Exchange and rules of exchange trading;
- forms a substantiated position of the Exchange based on the results of considering the complaint.

3.1.4. **Functions of interaction with Exchange authorities**

Responsible Person:

- prepares and submits materials for consideration of the complaint by the Exchange Committee or another authorized body (subdivision) of the Exchange in cases provided for by internal documents;
- interacts with the bodies of the internal control system (compliance, risk management, internal audit) within the limits of their powers;
- ensures coordination of the actions of structural units involved in the consideration of the complaint, without interfering with the independence of decision-making.

3.1.5. **Communication functions with the complainant**

Responsible Person:

- communicates with the complainant (if necessary) in written and/or electronic form and/or directly communicates with the complainant (if necessary) in order to clarify the circumstances of the complaint or obtain additional information;
- communicates with the complainant in clear, simple and understandable language;
- informs the complainant about the results of the complaint review and the decision made within the established deadlines;
- informs the complainant about the extension of the complaint review period (in the event of such extension).

3.1.6. **Independence and integrity functions**

Responsible Person:

- adheres to the principles of independence, objectivity and impartiality;
- refrains from considering complaints in case of a conflict of interest;
- initiates the transfer of the complaint to another authorized person or the Exchange Committee in cases provided for by the Regulation;
- ensures the non-disclosure of confidential information and trade secrets.

3.1.7. **Closing and control functions**

Responsible Person:

- ensures proper documentation of the results of the complaint review;
- determines and prepares a reasoned position of the Exchange on the complaint, including recommendations on the method and content of the response;
- transfers the complaint materials for storage in accordance with the established deadlines;
- initiates proposals for improving the complaint review procedures and internal documents of the Exchange.

3.1.8. **Performs other functions** stipulated by the legislation of Ukraine, the Exchange Charter, this Regulation or other internal documents of the Exchange.

3.2. In order to properly and objectively consider complaints, the Responsible Person has the right to request and receive from officials and structural units of the Exchange documents, information and explanations necessary for considering the complaint, within the limits determined by the legislation and internal documents of the Exchange.

3.3. Responses to complaints are prepared by the Responsible Person independently. Involving other Exchange employees in preparing a response is permitted solely upon the instruction of the Responsible Person and cannot limit his/her independence or influence the content of the Exchange's final position.

3.4. When performing his/her functions, the Responsible Person acts independently and is guided by the requirements of the current legislation of Ukraine, the Exchange Charter, this Regulation, other internal documents of the Exchange, resolutions of the General Meeting of Exchange Participants, the Exchange Committee.

4. Rights, duties and responsibilities of the responsible person

4.1. The responsible person, within the scope of his/her functions, **has the right**:

4.1.1. in written or oral forms, request and receive from the heads of the Exchange's structural divisions and other employees documents, information and explanations necessary to perform the functions assigned to it, while complying with the requirements for non-disclosure of confidential information or commercial/professional secrets;

4.1.2. hold working meetings and conferences with Exchange officials and/or heads of structural units (including heads of internal control system units, or persons authorized by them) to discuss issues within the competence of the Responsible Person;

4.1.3. initiate and submit written proposals to improve the complaint handling procedure, including amendments and additions to this Regulation;

4.1.4. other rights provided for by this Regulation, other internal documents of the Exchange and the current legislation of Ukraine.

4.2. The responsible person **is obliged**:

4.2.1. honestly, conscientiously, independently and professionally perform the functions assigned to it in accordance with the requirements of the current legislation of Ukraine, regulatory legal acts of the NSSMC, the Exchange Charter, this Regulation and other internal documents of the Exchange;

4.2.2. objectively, impartially and in a timely manner analyze the submitted complaints, verify the circumstances set forth in them and evaluate the evidence provided;

4.2.3. when considering complaints, ensure proper communication with the complainant, state the Exchange's position in clear, understandable and correct language and provide responses to complaints within the time limits established by this Regulation;

4.2.4. provide the Exchange Committee with materials, information and evidence necessary for making a resolution based on the results of the complaint review (in the case of the complaint review by the Exchange Committee);

4.2.5. based on the results of the complaint review, ensure that the complainant is properly informed about the decision made;

4.2.6. act exclusively in the interests of the Exchange, adhering to the principles of independence and avoiding conflicts of interest;

4.2.7. ensure the preservation of confidential information and trade secrets of the Exchange and prevent their use for their own benefit or for the benefit of third parties;

4.2.8. adhere to the principles of independence, honesty, objectivity, confidentiality and professional ethics in accordance with the requirements of the current legislation of Ukraine, this Regulation and other internal documents of the Exchange;

4.2.9. perform other duties specified by the Exchange's internal documents and the current legislation of Ukraine.

4.3. The responsible person is **responsible** in accordance with the requirements of the current legislation of Ukraine and/or internal documents of the Exchange, including:

4.3.1. for disclosure of confidential information or trade secrets that became known to him in connection with the performance of functions (authorities) in accordance with this Regulation;

4.3.2. for improper, poor-quality and untimely performance of the functions defined by this Regulation.

5. Requirements for a complaint, deadlines and procedure for its consideration

5.1. A complaint in these Regulations means an appeal submitted to the Exchange in written or electronic form, aimed at challenging the actions or inaction of the Exchange, its employees, members of the Exchange, trading participants (clients of the Exchange), other persons related to the activities of the Exchange, drawn up and submitted in compliance with the requirements of this Regulation.

5.2. The complaint must contain the following mandatory details:

- name of the document “Complaint”;
- date and original complaint number (if available);

- full name of the legal entity or surname, first name, patronymic of the individual entrepreneur (complainant);
- a statement of the circumstances that are the basis for filing a complaint;
- clearly formulated demands of the complainant;
- list of documents attached to the complaint (if any);
- signature of the head of the legal entity/individual entrepreneur, as well as an imprint of the seal of the legal entity (if available).

5.3. The complaint is sent to the postal address specified on the Exchange website in the "Contacts" section, or in electronic form to the Exchange's email addresses: info@ueex.com.ua, docs@ueex.com.ua (for complaints (appeals) of exchange trading participants in the "Untreated timber and lumber" direction); in compliance with the requirements of the legislation of Ukraine in the field of electronic document management and electronic identification.

5.4. The Exchange keeps electronic records of complaints, using automated end-to-end numbering and recording: (1) date and time of receipt of the complaint; (2) information about the complainant; (3) stages and results of its consideration.

5.5. In support of the circumstances set forth in the complaint, the complainant shall provide evidence. In the event that it is impossible to submit evidence independently, the complainant shall indicate such evidence, the reasons for the impossibility of submitting it, and request that the Exchange request it.

5.6. The complaint shall be accompanied by copies of documents (duly certified in accordance with the requirements of applicable law) confirming the circumstances set forth therein.

5.7. A complaint filed without complying with the requirements of paragraphs 5.2., 5.3., 5.5, 5.6. of the Regulations shall be returned to the complainant with appropriate explanations within the time limit for considering the complaint.

5.8. Complaints containing slander, insults, discrediting of state authorities, local self-government bodies, associations of citizens and their officials, managers and other officials of the Exchange and other enterprises, institutions and organizations regardless of the forms of ownership, as well as calls to incite national, racial, religious enmity or other illegal actions, are not considered by the Exchange. Submission of such complaints entails responsibility provided for by the legislation of Ukraine.

5.9. A complaint that meets the requirements of this Regulation is registered on the day of its receipt and transferred to the Responsible Person for consideration in accordance with the requirements of the Exchange's internal documents on the organization of office work. Consideration of the complaint begins no later than the next business day from the date of its registration.

5.10. The term for consideration of a complaint shall not exceed 30 (thirty) calendar days, starting from the day following the day of its registration. In exceptional cases, the term for consideration

of a complaint may be extended by decision of the Responsible Person or the Exchange Committee with mandatory written notification of the complainant no later than the next business day from the date of adoption of such resolution.

5.11. Based on the results of the complaint review, the Responsible Person ensures that the complainant is sent a written or electronic response outlining the resolution made and its justification.

5.12. The materials of the complaint, documents and results of its consideration are stored by the Exchange for at least 5 (five) years, unless another period is established by the legislation of Ukraine.

5.13. The resolution of the Exchange made based on the results of the complaint review may be appealed in court.

6. Final provisions

6.1. This Regulation shall enter into force on the date of their approval by order of the CEO of the Exchange. The Regulation is approved by order of the CEO of the Exchange after approval by the officials of the Exchange's internal control system within the scope of their powers, namely, the compliance manager, the risk management manager, the head of the internal audit unit.

6.2. Amendments and additions to this Regulation shall be made by the approval of the new version of the Regulation by the CEO of the Exchange (after approval by the officials of the Exchange's internal control system within the limits of their powers), which shall be put into effect by a relevant order and brought to the attention of interested parties in accordance with the procedure established by the Exchange.

6.3. In the event of any part of this Regulation not complying with the current legislation of Ukraine (in particular, with the regulatory legal acts of the NSSMC), the Exchange Charter or other internal documents of the Exchange, this Regulation shall apply to the extent that they do not contradict them.

6.4. The termination or invalidity of any of the clauses of this Regulation shall not entail the invalidity or termination of the validity of the other clauses of the Regulation.

6.5. Issues not regulated by this Regulation are regulated by the current legislation of Ukraine (in particular, regulatory legal acts of the National Securities and Markets Commission), the Exchange Charter, decisions of the General Meeting of Participants and the Exchange Committee, and other internal documents of the Exchange.

CEO of UEEX LLC _____ Oleksandr KOVALENKO