

Solicitation Policy on Financial Products

Standard Chartered Securities (Japan) Limited declares the following Solicitation Policy on Financial Products Act on Provision of Financial Services.

1. All the staff of Standard Chartered Securities (Japan) Limited (hereafter referred as "the Company") will follow and abide by all the laws and regulations as well as this Solicitation Policy when conducting sales activities to the customers.
2. The Company will solicit services/products to our customers, which the Company determines to be suitable, based on the customers purpose of investments, financial conditions and knowledge and experiences of financial products.
3. The Company will provide proper explanation for products, including necessary features and associated risks, in order for our customers to purchase desirable products with their own responsibilities and judgments.
4. In order to prevent misleading solicitation, the Company will provide proper information, even if it may be a disbenefit for our customers, and will not provide judgmental information.
5. The Company will not solicit at places and/or during hours inappropriate to the customers.
6. The Company will make efforts to improve knowledge and skills about our financial products in order to perform appropriate and proper solicitation.
7. The Company will take sincere attitudes and respond to customer inquiries and complaints with regard to our solicitation, and the Company will reflect such learnings to our future improvement.

Standard Chartered Securities (Japan) Limited