

Policy concerning Elimination of Antisocial Forces

- Standard Chartered Securities (Japan) Limited (the “Company”) will never engage in financing for antisocial forces.
- The Company will have no relationships whatsoever with antisocial forces.
- The Company will refuse any unjustified demands by antisocial forces and will take legal measures, whether to a civil court or a criminal court or both, in response to any such claims.
- The Company will never negotiate in secrecy with antisocial forces, even if their unjustified demands are to conceal matters related to any misconduct of the Company's own business activities or of its staff.
- The Company will secure the safety of its staff as an organisation in its entirety while dealing with unjustified demands by antisocial forces.
- The Company will establish close relationships with external experts, such as the police, Center for the Elimination of Boryokudan (Crime Syndicates), legal counsel, etc., in preparation for any unjustified demands by antisocial forces.

Standard Chartered Securities (Japan) Limited