

Solicitation Policy

The document outlines the solicitation policy of a company regarding financial products, ensuring compliance with laws and the following principles:

1. Principle of Suitability

- The company strives to recommend appropriate products based on the customer's knowledge, experience, financial situation, and transaction objectives.
- Efforts are made to explain important matters, such as product details and risks, in an easy-to-understand manner to ensure customers fully and accurately comprehend them.

2. Proper Solicitation Methods

- The company avoids inappropriate solicitation, such as providing definitive judgments or false information.
- Solicitation via phone or visits is conducted at the customer's convenience, avoiding inconvenient times.
- Complaints and requests from customers are handled sincerely.

3. Internal Management System

- Internal training is conducted to ensure proper solicitation, and employees are encouraged to acquire and enhance their knowledge.
- The company complies with the Financial Instruments and Exchange Act and related laws and regulations, striving to strengthen its internal management system for appropriate solicitation. For complaints, requests, or any concerns regarding the company's solicitation or advice, customers are encouraged to contact the responsible person or the consultation desk (Management Department: 03-6264-7610).