

Outline of Our Complaint Handling and Dispute Resolution Measures

July 1st, 2023

NAB Japan Securities Limited

Pursuant to the Financial Instruments and Exchange Act, we have established a system to handle your consultations and complaints and disputes between you and us (the “Complaints, Etc.”) through our internal departments and external organizations.

1. Where Can You File the Complaints, Etc.?

If you have the Complaints, Etc. about our operations, please feel free to contact the following contact desk (you can contact via mail) or notify your account manager:

(If you file the Complaints, Etc. to us)

Our internal contact desk for accepting the Complaints, Etc.:
 Compliance Department NAB Japan Securities Limited Muromachi
 Higashi Mitsui Building
 2-2-1 Nihonbashi Muromachi, Chuo-ku Tokyo 103-0022
 Tel: 03-6845-0832
 Available from 9:00 a.m. to 5:00 p.m.

Alternatively, you can use the following external organizations, etc.:

(If you file the Complaints, Etc. to an external organization)

Type of the Complaints, Etc.	Name of External Organization	Telephone Number
Complaints, Etc. about the Type I Financial Instruments Business	Financial Instruments Mediation Assistance Center (Designated Dispute Resolution Organization)	0120-64-5001

*Financial Instruments Mediation Assistance Center is entrusted by the Japan Securities Dealers Association, the Financial Futures Association of Japan and the Type II Financial Instruments Firms Association to handle complaints, mediate dispute resolution and engage in other similar activities.

*If you are not sure about the type of the Complaints, Etc. or have the Complaints, Etc. that fall under none of the types described above, please consult with our Compliance Department (03-6845-0832).

*Please note that while the filing of a petition for mediation and dispute resolution procedures, etc. before each external organization has an effect of interrupting prescription under certain circumstances, you may suffer disadvantages as a result of completion of extinctive prescription while you are using the external organization before which you have filed the Complaints, Etc. in certain cases, including a case where a petition for such procedures has failed to be filed before the said external organization.

Non-Profit Organization, Financial Instruments Mediation Assistance Center (FINMAC)

Location: 2-1-13, Kayaba-cho, Nihonbashi, Chuo-ku, Tokyo 103-0025, Japan

Telephone: 0120-64-5005 (toll-free)

Available from 9:00 a.m. to 5:00 p.m. on Monday through Friday (excluding public holidays, etc.)

2. Outline of Internal Rules

- (1) We shall handle the Complaints, Etc., promptly, faithfully, fairly and properly upon clarifying facts and responsibility relating thereto in collaboration with relevant departments, considering the financial ADR system and respecting your position.
- (2) We shall resolutely deal with any undue intervention by any anti-social force in the guise of the Complaints, Etc. and properly cooperate with the police and other relevant agencies or take other necessary actions as appropriate.
- (3) Departments overseeing the handling of the Complaints, Etc. shall determine the policy to handle your Complaints, Etc. in view of realizing prompt, fair and appropriate handling of the Complaints, Etc., direct and supervise the relevant departments based on the said policy and oversee the handling of the Complaints, Etc. in general, including management of the progress of the handling of the Complaints, Etc.
- (4) Departments overseeing the handling of the Complaints, Etc. or the persons responsible for handling the Complaints, Etc. shall mainly investigate the following issues in connection with the Complaints, Etc.
 - ① The parties concerned;
 - ② Circumstances (when and how the issue was discovered and developments thereafter);
 - ③ The nature and content of the Complaints, Etc. (amount and other requests and demands made by customers);
 - ④ Confirmation of the legitimacy of the claim and the fact that the handling of such claim does not constitute compensation for loss or offer of special advantage;
 - ⑤ Amount of damage or compensation (amounts to be borne by us, estimates and how the issue is handled internally);
 - ⑥ Prospect of indemnity claim or collection (the party against whom the indemnity is claimed and the method thereof, etc.); and
 - ⑦ Measures to prevent recurrence of the Complaints, Etc.
- (5) The Compliance Department shall analyze the result of the investigation into the

Complaints, Etc. and other outcome of the handling of the Complaints, Etc. It shall consider taking measures necessary to prevent recurrence or occurrence of the Complaints, Etc. as appropriate. It shall request the Board of Directors to consider how the Complaints, Etc. should be handled and the measures to prevent their recurrence and occurrence as appropriate.

- (6) The Compliance Department shall periodically ensure that our officers and employees understand how to handle the Complaints, Etc. properly.
- (7) Internal audits shall be conducted periodically regarding how the Complaints, Etc. are handled and how the matters related thereto are notified to our officers and employees.