

Solicitation Policy

June 28 2019

NAB Japan Securities Limited

NAB Japan Securities Limited (hereinafter called "the Company") stipulated the following solicitation policies and shall observe each of them in its sales/marketing activities.

1. Matters requiring consideration in light of the knowledge, experience, and assets of the person being solicited and the purpose for entering into contracts for sale, etc. of the financial Instruments
 - The Company recommends instruments that the Company believes are appropriate in light of the customer's knowledge, experience, and assets and the purpose for entering into contracts for sale, etc., of the financial instrument.
 - When recommending instruments to customers, the Company strives to appropriately explain the details of the instrument, the nature of the risks, and other such matters in light of the customer's knowledge, experience, and assets and the purpose for entering into contracts for sale, etc. of the financial instrument.

2. Matters requiring consideration to be given to person being solicited in relation to the method and timing of solicitation
 - The Company's first priority in making solicitations is to ensure that customers can rely on the Company, and it strives to devote itself to customer-oriented investment solicitations.
 - The Company complies with law, ordinance, and regulation and strives to make solicitations based on reasonable grounds.
 - The Company does not make solicitations by telephone or through visits at times that would inconvenience customers. If a solicitation is or might be any inconvenience, please inform the person in charge to that effect.

3. Other matters relating to ensuring that solicitations are appropriate
 - The Company strives to conduct thorough internal training for its officers and employees so that no inappropriate solicitations are made.
 - The Company's officers and employees strive at all times to acquire and hone their knowledge and skills so as not to betray customers' reliance on them and expectations.
 - The Company strives to strengthen its internal control system so that it complies with the Financial Instruments and Exchange Act and other relevant laws, ordinances, and regulations and makes appropriate solicitations.
 - The Company strives to provide information appropriately so that customers can carry out transactions at their discretion and responsibility.