

Handling of Complaints and Disputes and Alternative Dispute Resolution Procedures

Our Policy for Handling Complaints and Disputes

In relation to the handling of complaints and disputes, taking into consideration the financial Alternative Dispute Resolution system, the relevant departments of HSBC Securities (Japan) Co., Ltd., in coordination with one another, shall clarify the cause and responsibility of a complaint or dispute, respect the client's situation, and make efforts to resolve the matter promptly, sincerely and fairly.

- Complaints and disputes raised by clients shall be treated sincerely, the relevant information shall be shared and used in order to improve our firm's business operations.
- Personal information received from clients shall be managed appropriately.
- Complaints by anti-social forces and unjustified involvements disguised as disputes shall be handled with a robust attitude, and managed appropriately in cooperation with the police or other relevant organizations as necessary.
- Resolution with the understanding and consent of the client shall be pursued to the extent possible, such as by explaining appropriately to the client the process in handling the complaint or dispute.
- In cases where it is evident that the complaint or dispute will not be able to be resolved internally or in other cases that are deemed appropriate, an external dispute resolution organization below shall be introduced to the client in order to resolve the complaint or dispute.

Contact Point for Making a Complaint or Dispute

If you wish to make a complaint or dispute, please contact your sales

representative or the Compliance Department (the designated responsible department).

HSBC Securities (Japan) Co., Ltd. Compliance Department

Phone: 03-5203-3111

Alternative Dispute Resolution Framework

The Customer Complaint and Dispute Resolution Procedures for Type I and Type II Financial Instruments Businesses, based on the Financial Instruments and Exchange Act Article 37-7, are set out below.

For Type I Financial Instruments Business, HSBC Securities (Japan) Co., Ltd. has signed an agreement with the Financial Instruments Mediation Assistance Center ('FINMAC') with respect to the use of customer complaint and dispute resolution procedures to be provided by FINMAC, which is a Designated Dispute Resolution Body under the Financial Instruments and Exchange Act.

For Type II Financial Instruments Business, HSBC Securities (Japan) Co., Ltd. is registered with the Type II Financial Instruments Firms Association and Financial Futures Association of Japan, through which the use of customer complaint and dispute resolution procedures by FINMAC is also available.

Contact Information

FINMAC

Address: 1-1, Nihonbashi Kayaba-Cho 2-chome, Chuo-ku, Tokyo, 〒103-0025

Phone: 0120-64-5005 (available during 9:00 – 17:00 from Monday to Friday, except holidays)

Website: <http://www.finmac.or.jp>

Disclosure pursuant to Money Lending Business Act Article 12-2-2

For Money Lending Business, HSBC Securities (Japan) Co., Ltd. has signed an agreement with the Japan Financial Services Association with respect to the use of customer complaint and dispute resolution procedures to be provided by the Association, which is a Designated Dispute Resolution Body under the Money Lending Business Act.

Contact

Information

Money Lending Business Consultation and Dispute Resolution Center, The Japan Financial Services Association

Address: Futaba Takanawa Building 2F, 19-15, Takanawa 3-chome, Minato-Ku, Tokyo, 〒108-0074
03-5739-3861 (available during 9:00 – 17:00 from Monday to Friday, except holidays and the period of 29 December – 4 March)
Phone:
Website: <http://www.j-fsa.or.jp/personal/contact/index.php>