

## **Solicitation Policy**

HSBC Securities (Japan) Co., Ltd. will endeavor to conduct the solicitation and sale of financial products in compliance with the following principles:

- Provide our customers with appropriate information and explanation of financial products in light of their investment objectives, knowledge, experience, and financial conditions;
- Explain in an appropriate manner, the merits, risks and fees associated with financial products and services;
- Conduct the solicitation and sale of financial products in a fair and appropriate manner to maintain customer trust and strive to conduct our operations in a client centric manner;
- Not to make uninvited visits or phone calls during inappropriate hours such as late night and early morning hours;
- Provide appropriate information on financial products and services in order that customers may make investments based on the judgment of the customer and with the customer's responsibility;
- Strive to improve our staff training in areas such as product knowledge to meet customer expectations and build trust;
- Comply with the Financial Instruments and Exchange Act and other related laws, rules and regulations, and strive to improve our internal control structure to perform appropriate solicitation.