



## PRIVACY POLICY

### Natixis Japan Securities Co., Ltd.

Natixis Japan Securities Co., Ltd. (“the Company”) has implemented the Privacy Policy (hereinafter “this Policy”) to commit to the proper handling of customers’ personal information and individual numbers (hereinafter together referred to as “Personal Information, etc.”) and publishes it as set forth below:

1. Compliance of Laws and Regulations

The Company shall comply with relevant laws and regulations concerning Personal Information, etc., guidelines, the policy of authorized personal information protection institution as well as this Policy.

2. Scope of Application

The Company shall handle personal information within the scope necessary for the achievement of the following purposes, except in the cases where the Company has obtained customer’s prior consent or it is exempted by laws and regulations. The Company shall handle Personal Information, etc. within the scope prescribed by the law.

- i) To perform or solicit transactions and related services concerning securities or any other financial products under the Financial Instruments and Exchange Law (hereinafter “FIEL”)
- ii) To perform or solicit transactions and related services concerning financial products of the Company or the related companies
- iii) To determine suitability of financial products and services, in the light of suitability principle, etc.,
- iv) To confirm personal identification of the customer or his/her agent,
- v) To inform or advise the customer of transaction results, and account balance, etc.,
- vi) To perform operational functions related to transactions with the customer,
- vii) To exercise rights or perform duties under relevant laws and regulations or in accordance with the agreements with the customer,
- viii) For research and development of financial products and services based on market survey, data analysis, customer enquiry, etc.,
- ix) To properly carry out the services, in the event the Company is consigned a part or all of the services handling personal information by a third party business operator,
- x) Besides the above, to fulfill transactions with the customer properly and

seamlessly ; and

xi) Regardless of the purposes of use of personal information listed above, the Company shall use Individual Numbers with limitation to the “application for account opening or notification in relation to financial instruments business” and “preparation/submission of legal ledgers with respect to financial instruments business”

3. Safety Management Measures

The Company shall endeavor to maintain correct and up-to-date Personal information, etc. on its customers. The Company shall also take appropriate and necessary security measures and exercise appropriate supervision over its officers and employees, and agents in order to prevent the leakage of Personal Information, etc.

4. Continuous Improvement

In order to achieve the proper handling of the customer’s Personal Information, etc. and for continuous improvements, the Company shall review this Policy periodically.

5. Matters concerning retained personal data

In case the Company received a request from the customer to disclose, amend, or cease the use of the customer’s own personal data retained by the Company, the Company shall endeavor to respond appropriately and immediately, after having confirmed identification of the customer. If customers apply for disclosure of whether the Company possesses their Individual Numbers, the Company shall only disclose its possession or non-possession of their Individual Numbers.

6. Joint use of Personal Data

The Company, within the scope of the use, may jointly use Personal Information, etc. with the affiliated companies as follows.

Natixis SA, its branches and its subsidiaries.

7. Customer Inquiries, Opinions and Complaints

The Company is committed to furnish a sincere response to the customer’s inquiries in timely manner. Please direct inquiries, opinions or complaints to the Company headquarters or the following:

Natixis Japan Securities Co., Ltd.  
Compliance Department  
Ark Hills South Tower  
1-4-5 Roppongi, Minato-ku, Tokyo 106-0032  
Telephone: 03-4519-2120  
E-mail: [compliancetokyo@natixis.com](mailto:compliancetokyo@natixis.com)

8. Authorized Personal Information Protection Institution

The Company is a member of the Japan Securities Dealers Association (“JSDA”), which is an Authorized Personal Information Protection Institution. The Personal Information Consultation Office of JSDA undertakes complaints/consultation in relation to the handling of Personal Information by its members.

Personal Information Consultation Office, The Japan Securities Dealers Association:  
<http://www.jsda.or.jp>. Tel: 03-6665-6784

#### 9. Outsourcing Activities

Main sources of Personal Information

- Information with respect to Account Opening or questionnaire filled out by the customer
- Information found on the books available in retail market, such as Company Handbook, Directors Handbook, as well as the information made public by the newspapers or internet

Principal operations outsourced

The Company outsources some of its operations which include as follows:

- Management or maintenance of information system
- Preservation of business books and documents

[Translation from Japanese]