



Basic Policy for Customer-Oriented Business Conduct

Natixis Japan Securities Co., Ltd.

1. Best Interest of Customers

Natixis Japan Securities Co., Ltd. (hereafter “NJS”) makes it as a goal to achieve a growth of business by carrying out our professional duties in a faithful and fair manner, for best interest of customers, and building a long-time and stable relationship with customers.

2. Appropriate Management of Conflict of Interest

NJS is a group company of Natixis Group and there could be various conflicting interests caused by transactions within the group.

When any conflict of interest is identified, NJS manages it properly in accordance with the prescribed management process. NJS establishes the “Conflict of Interest Management Policy”*. NJS identifies and categorizes transactions that could unjustly impair interest of our customers, and manages such transactions in an appropriate manner, by specifying the management method of transactions, the management system, and the group companies subject to the control, so as to prevent the interests of our customers from being unjustly impaired.

*Please refer to the “Conflict of Interest Management Policy”.

3. Transparency in Fees

NJS receives fees, commissions and other charges in its provision of financial products and services, separately from a purchase or sales price of the products or services. Such fees and commissions are presented in sales materials etc. given to customers at the time of transacting products or services.

4. Provision of Material Information in An Easy and Clear Manner

When providing customers with any material information concerning financial products and service, NJS makes efforts to communicate such information in accurate, easy, and faithful manner, not to mislead customers, by considering their knowledge and experience in concerned transactions.



5. Provision of Products and Services Suitable for Customers

In accordance with the “Financial Product Solicitation Policy”**, NJS solicits customers for financial products for the sake of customers. NJS provides the most appropriate products within the range of risk that customers can take and meet customers’ needs and investment objectives.

**Please refer to the “Financial Product Solicitation Policy”.

6. Framework for Motivating Employees Appropriately

NJS makes it as a goal that our employees shall act honestly, fairly and professionally, for best interests of customers.

In order to achieve the goal, the employees of NJS are required to respect compliance principles (compliance with laws and regulations) and receive training concerning compliance etc.

NJS believes that raising employees’ awareness of compliance shall contribute to building a trust from our customers.