

Macquarie Capital Securities (Japan) Limited

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マッコーリーキャピタル証券会社

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Solicitation Policy

August 1st 2004

(Revised March 1st 2024)

Macquarie Capital Securities (Japan) Limited.



Macquarie Capital Securities (Japan) Limited (the “Company”) shall comply with the Act on the Provision of Financial Services and the Improvement of the Usage Environment, etc., the Financial Instruments and Exchange Act, and other relevant regulations and rules, and shall endeavour to solicit our customers for financial products in an appropriate manner based on the following principles:

We shall endeavour to conduct solicitation which matches the intentions and actual conditions of such customers, in full consideration of their investment experience investment objectives and financial situation.

We shall endeavour to explain and ensure that customers comprehend the essential aspects of the Act on the Provision of Financial Services and the Improvement of the Usage Environment, etc.. We shall explain the customer of important matters (details of financial products and risks etc.) to get customer’s understanding sufficiently, to enable customers to make informed and independent investment decisions.

We shall endeavour to respond to inquiries from customers quickly and thoroughly. We shall take full consideration of the views, preferences and opinions from customers when soliciting and advising customers.

In soliciting customers for investment, we shall not offer any definitive prediction or make any false representation which may lead customer’s misunderstanding. It is our principle that we shall at all times act in the best interests of our customers by conducting fair and reasonable investment solicitation.

We shall ensure that our directors and employees take special care with respect to the timing, places and methods of solicitation to avoid inconvenience or disturbance of our customers.

We shall provide education and training to our employees, to ensure that customers are provided with appropriate information. We shall establish internal control systems to ensure that all employees of the Company observe and comply diligently with the Act on the Provision of Financial Services and the Improvement of the Usage Environment, etc., the Financial Instruments and Exchange Act, and other relevant regulations and rules, and make appropriate investment solicitation to our customers.
