

Complaints and Consultation Desk

Seven Seas Advisors Co. Ltd. (hereinafter “our Company”) will endeavor to handle complaints and consultations from our customers in an appropriate and prompt manner, in order to effectively resolve any complaints our clients. Our Company will aim to resolve any complaints or consultations received through the following framework.

1. “Complaints and Consultation Desk”

Please contact the following inquiry desk for any complaints or consultations regarding our Company’s business.

Inquiry Desk: Seven Seas Advisors Co. Ltd. Corporate Planning Division
Address: 18th Floor Fukoku Seimei Building, 2-2-2 Uchisaiwai-cho, Chiyoda-ku, Tokyo, JAPAN 100-0011
Telephone: +81-3-3539-1490
(Reception Hours: weekdays 10 am - 5 pm Tokyo time)
E-mail: inquiry@sevensseas-adv.com

2. Complaints Processing and Disputes Resolution Measures Regarding the Financial Instruments Business

Our Company has taken the following measures regarding complaints processing and disputes resolution as provided for under Financial Instruments and Exchange Act (the “FIEA”), separately for each type of business for which our Company has been registered.

(A) Investment Management Business & Investment Advisory and Agency Business

The Japan Investment Advisers Association (a general incorporated association) shall seek to process complaints and resolve disputes related to the financial instruments business etc. through resolution or mediation of complaints provided for in the provisions of the FIEA.

(B) Type II Financial Instruments Business

Type II Financial Instruments Firms Association (a general incorporated association) shall seek to process complaints and resolve disputes related to the financial instruments business etc. through resolution or mediation of complaints provided for in the provisions of the FIEA.

The Japan Investment Advisers Association (a general incorporated association) has commissioned the Financial Instruments Mediation Assistance Center (FINMAC, a specified non-profit organization) to process complaints received from, and provide mediation for disputes with,

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investors etc. in relation to the financial instruments business conducted by its members (however, limited to those related to the investment management business and investment advisory & agency businesses). The Type II Financial Instruments Firms Association (a general incorporated association) has also commissioned FINMAC to process complaints received from, and provide mediation for disputes with, investors etc. in relation to the financial instruments business conducted by its members (however, limited to those related to Type II financial instruments business). Therefore, the reception desk for both 1 and 2 above are as follows.

Financial Instruments Mediation Assistance Center (FINMAC), a specified non-profit organization

Address: 2-1-13 Kayabacho, Nihonbashi, Chuo-ku, Tokyo JAPAN 103-0025
Telephone: 0120-64-5005 (Free-dial)
(Reception hours – weekdays 9 am – 5 pm)
Website: <http://www.finmac.or.jp/>

A mediation motion fee must be paid in an amount determined depending on the amount claimed by the filing party. Please contact FINMAC for details.

For consultations or complaints etc. concerning handling of personal information, please refer to our Privacy Policy.

(End)