

For Japanese Institutional Investors wishing to file a complaint



Contact for Complaints:
Rie Usui: +44 (0) 20 7398 3192

Complaints policy and procedures

- 1) Tokio Marine Asset Management (London) Limited (“TMAL”) has Complaints Policy and Complaints Procedures in place to deal with complaints from Japanese institutional investors. TMAL is committed to deal with any complaints as sincerely and as quickly as possible.

The normal procedures for dealing with complaints are as follows:

- a) Acknowledgement of the receipt of a complaint.
 - b) Internal hearings and investigation with the person/department involved in the complaints and discussions to decide an adequate solution.
 - c) Proposal of solution to clients, then if the complainant is satisfied and agrees with the proposed solution, the complainant’s file is closed.
- 2) Other than the above procedure (1), TMAL could deal with complaints through the following centre which is appointed by the Japan Securities Investment Advisers Association to provide solutions for complaints. Should you wish the centre to handle your complaints, please contact below:

Financial Instruments Mediation Assistance Center (“FINMAC”)
2-1-13、Kayaba-cho、Nihonbashi, Chuo-ku, Tokyo 103-0025
Telephone Number: 0120—64-5005 (Japan Toll Free)

At FINMAC, the normal procedures for dealing with complaints are as follows.

- a) Complainants file complaints at FINMAC.
- b) FINMAC informs the relevant member with details.
- c) FINMAC arranges meetings with the complainant and the member to find solutions.

Conflict procedure

TMAL deals with conflicts through FINMAC as above. FINMAC is appointed by Japan Securities Investment Advisers Association to provide solutions for conflict as a mediator. Should you wish FINMAC to handle the conflict you may have with the member company, please contact FINMAC as above.

The procedure for FINMAC to handle the conflict is as follows:

- a) Investor request FINMAC to be the mediator to deal with the conflict.
- b) FINMAC acknowledges the request and is to form a mediatory committee.
- c) Investor pays fees for the mediatory service to FINMAC.
- d) Mediatory committee investigates the conflict between both parties.
- e) FINMAC makes a mediatory proposal and seeks acceptance of planned solution.