

Privacy Policy

Daiwa Asset Management Co. Ltd.

Daiwa Asset Management Co. Ltd. (the “Company”) establishes and complies with privacy policy as follows, and treats personal information appropriately pursuant to the Act on the Protection of Personal Information.

1. The Company considers personal information as an individual property, recognizes its appropriate protection as an important responsibility, and complies with the Act on the Protection of Personal Information, the relevant laws and regulations, the guidelines of the relevant ministries and agencies, the Company’s internal rules, and other norms.
2. The Company will specify the purpose of use of personal information, and will not use personal information by exceeding the extent necessary for the accomplishment of the purpose of use of personal information unless when there is a prior consent of the person or it is permitted by laws and regulations.
3. The Company will acquire personal information to the extent necessary for the accomplishment of the purpose of use in an appropriate and lawful manner.
4. The Company will appropriately manage with a necessary security measure so that leakage, loss, or the like, regarding personal information may not occur. In addition, we will conduct trainings and appropriate supervisions for employees about handling of personal information.
5. The Company will implement a necessary and appropriate supervision for the entrusted company in the case of entrustment of handling of personal data.
6. The Company will accordingly review this privacy policy with a change of laws and regulations and continuously improve it.
7. The Company will endeavor to appropriately and promptly respond when there is a request for disclosure, correction, deletion, and discontinuation of use, regarding retained personal data.
8. The Company will endeavor to sincerely and promptly respond to inquiries, requests, and complaints, regarding handling of personal information.

<Handling of Personal Information>

1. The Purpose of Use of Personal Information

The Company will use the personal information to the extent necessary for the accomplishment of the following purposes.

- ① We collect names, addresses, telephone numbers, E-mail addresses, and call center records and retain them as personal data in order to enable us to present information and services in response to queries and requests from customers, to conduct market surveys that will enable us to offer improved products and services, and, as necessary, to comply with the requirement of laws, regulations, and industry rules.
- ② In accordance with standard business practice, we use appropriate means to collect information, including the names and positions of relevant individuals, telephone numbers, E-mail addresses, CVs of representatives, etc., and we retain this information as personal data to enable us to liaise

with public offices, relevant industry organizations, business partners, etc., which we are required to contact in the performance of our business duties.

- ③ For security purposes, we collect information, including images of visitors to our offices recorded by security cameras, and retain this information as personal data.
- ④ To facilitate staff management, we collect and retain as personal data information on office staff, including biometric data used to identify individuals entering our offices. In addition, we collect and retain as personal data information on applicants for positions with our company, for use in personnel selection.

As necessary, information of the type described above may be collected on an individual basis and retained as personal data for more specific uses, following indication of this intention to the individual concerned and the receipt of consent from the individual concerned. In addition to the information described above, incidental personal information obtained during the gathering of information using a variety of media concerning the qualifications of business partners, which are necessary to the performance of our duties, including sales companies, outsourcing companies, and companies with which we collaborate, current events, the business environment, and economic affairs, etc. may be retained as personal data.

2. Appropriate Acquisition of Personal Information

The Company will acquire personal information to the extent necessary for our business.

Moreover, the Company will not obtain, use, or provide to any third parties any sensitive information (including, without limitation, information concerning any person's political position, personal beliefs (religion, philosophy, or creed), membership of any labor union, race or ethnic group, family origin, registered domicile, medical or health care record, sexual activities, or criminal record), except as permitted by laws and regulations.

3. Appropriate Management of Personal Information

The Company will appropriately manage with a necessary security measure so that leakage, loss, alteration, improper access or the like regarding personal information may not occur.

4. Provision of Personal Data to Third Parties

The Company will not disclose or provide to third parties any personal data of the person without their respective prior consent, except for the cases below and the cases permitted by laws and regulations.

- ① The individual concerned has provided consent.
- ② Provision to a third party is required by law.
- ③ When the provision of the information is essential to protecting life, physical well-being, or assets, and the consent of the individual concerned is difficult to obtain.
- ④ When the provision of the information is specifically necessary to the improvement of public health or the sound upbringing of children, and the consent of the individual concerned is difficult to obtain.
- ⑤ When it is necessary to cooperate with duties based on legal requirements performed by a national organization, a local public organization, or an entity charged with the performance of these duties by such an organization, and the obtaining of consent from the individual concerned is judged to represent a potential impediment to the performance of these duties.
- ⑥ In cases in which the provision of personal data that identifies a specific individual to a third party may be ceased at the request of the individual concerned, information may be provided to a third party when the individual concerned has been informed in advance of the relevant items of

information, or has been placed in a situation in which such information can be easily obtained.

5. Entrustment of Handling of Personal Data

The Company may entrust all or a part of the business to the extent necessary for the accomplishment of the purposes of use and provide the necessary personal data to proceed the business smoothly. In the case of entrustment, the Company will supervise the entity entrusted by it with necessary and adequate care, including supervision of any entity entrusted by the entity entrusted by the Company.

6. Joint Use of Personal Data

The Company may use personal data jointly with its group companies within the following scope.

(1) Items of Personal Data Jointly Used

The customer's name, address, date of birth, contact information (such as telephone number or e-mail address), occupation, information regarding the customer such as customer's transaction needs, contents of transaction, information regarding the customer's transaction such as balance on deposit.

(2) Scope of Joint Users

Daiwa Securities Group Inc., holding company of Daiwa Asset Management Co. Ltd. and its consolidated subsidiaries.

(3) Purposes of Joint Use

For management and internal administration of Daiwa Securities Group.

(4) Entity Responsible for Management of the Personal Data

Daiwa Asset Management Co. Ltd.

7. Disclosure, Correction, Deletion, Discontinuation of Use, Etc. of Personal Data

When the disclosure, correction, deletion, discontinuation of use or the like ("disclosure etc.") regarding retained personal data are asked in a disclosure written request by the person himself/herself or his/her agent, the Company will respond in writing within a reasonable period and to a reasonable extent except for the case where, based on laws and regulations, disclosure etc. is not required, after confirming that it is a request from the person himself/herself.

8. Inquiry, Request, Complaint, Etc. About Handling of Personal Information

The Company will endeavor to sincerely and promptly respond to inquiries, requests, complaints, regarding handling of personal information.

About an inquiry about handling of personal information, please contact the following reception counter.

【Reception counter for an inquiry etc.】

Daiwa Asset Management Co. Ltd., Call Center

Phone 03-5643-5265

Reception Hours 9:00am~5:00pm, weekdays

9. Authorized Personal Information Protection Organization

The Company is a member of the Investment Trusts Association and Japan Securities Investment Advisers Association that is an authorized personal information protection organization approved by the Finance Services Agency. Investor Consultation Section of the Investment Trusts Association and **Grievance Desk** of the Japan Securities Investment Advisers will receive complaints and provide consultation with respect to its members' handling of personal information.

【Contact for complaints and consultation】

The Investment Trusts Association, Investor Consultation Section
Phone 03-5614-8440

Japan Securities Investment Advisers, Grievance Desk
Phone 03-3663-0505