

# Complaint Settlement Scheme

## **Complaint Settlement Scheme**

At Alternative Investment Capital Limited (AIC), we believe that it is significant to respond to complaints from our customers with honesty and in a prompt and appropriate manner while ensuring our accountability. To this aim, we have established the following scheme in compliance with the rules on alternative dispute resolution processes as provided in Article 37.7 of the Financial Instruments and Exchange Act:

### **To make a complaint:**

Should you wish to raise a concern, please contact us at the following number:

+81-3-5218-5230

## **Measures to handle complaints and resolve disputes concerning special investment management business and special investment advisory/agency business**

Based on the mechanism mentioned above, AIC follows the procedures to handle complaints employed by the Japan Investment Advisers Association in our efforts to resolve complaints from our customers concerning the special investment management business and special investment advisory/agency business. Similarly, we strive to resolve disputes concerning such business based on the mediation processes provided by the Association. For both matters, resolution will be pursued through a specified nonprofit corporation, the Financial Instruments Mediation Assistance Center (FINMAC).

To contact the Financial Instruments Mediation Assistance Center (FINMAC):

Telephone: 0120-64-5005 (Domestic Call only)

Service hours: Monday–Friday 9:00–17:00 (except public holidays)

## **Measures to handle complaints and resolve disputes concerning Type II financial instruments business**

In addition to the resolution based on the mechanism mentioned above, AIC follows the procedures to handle complaints employed by the Type II Financial Instruments Firms Association in our efforts to resolve complaints from our customers concerning Type II financial instruments business. Similarly, we strive to resolve disputes concerning such business based on the mediation processes provided by the Association. For both matters, resolution will be pursued through a specified nonprofit corporation, the Financial Instruments Mediation Assistance Center (FINMAC).

To contact the Financial Instruments Mediation Assistance Center (FINMAC):

Telephone: 0120-64-5005 (Domestic Call only)

Service hours: Monday–Friday 9:00–17:00 (except public holidays)