

# Notice Regarding the Sharing of Corporate Client Information

## “Opt Out” Notice

Alternative Investment Capital Limited (“AIC”) aims to play a useful role for its clients by adding high value to the financial products and services that AIC provides, with close cooperation with various related parties. Accordingly, AIC has issued the following “opt out method\*” notice in regard to its policy on sharing corporate client information.

\* The “opt-out method” refers to the policy of AIC sharing corporate client information with its related parties after giving clients prior notification of this policy. Clients who do not wish that information be shared out of AIC and has requested AIC to cease sharing of such information will be excluded. This differs from the “opt-in method,” a policy by which AIC shares information only about clients who have expressed their consent to share information in writing or by other means.

## Policy regarding the sharing of information based on the opt-out method

1. Clients subjected to this method  
Corporate clients who are interested in the financial services provided by AIC, or corporate clients who have present dealings with AIC
2. Purpose of information use  
Client information shall be provided to the entities set forth in Item 4 in the below for the purpose of providing comprehensive services regarding private equity to clients.
3. Scope of information subject to sharing
  - (1) Names of clients, head office locations and other basic information
  - (2) Details of past, present and future transactions conducted between AIC and clients, as well as details of transactions that clients may be interested in
  - (3) Status of investment in funds managed by AIC
  - (4) All other corporate information related to the above matters
4. Scope of companies with which information will be shared
  - (1) AIC Shareholders of AIC (click [here](#) for our shareholders)
  - (2) T&D Asset Management Co., Ltd.
  - (3) Sumitomo Mitsui DS Asset Management Co., Ltd.
  - (4) AIC Private Equity General Partner Limited

5. Methods for sharing information

Information shall be provided by post, fax, email and other means, in addition to directly handing print-outs of information to relevant recipients.

6. Method of information management at recipients

Recipients shall take the utmost care in managing the information received using the Information sharing methods. In detail, by prohibiting the use of information for other than intended purposes and preventing information leaks, following the recipients' own confidentiality rules, information management rules and other restrictions, in accordance with external laws and regulations.

7. Methods of notice and confirmation

AIC will disclose the latest information on our website on a timely basis regarding the mutual provision of information. Please contact our office on the phone number at the end of this page for questions.

8. Cease of information sharing

If AIC receives a request from a client to cease sharing of information, AIC shall promptly cease sharing of such information.

(Note 1) Please note that the mutual provision of information and the mutual provision of information based on Laws and Regulations will not be suspended in regards of our internal control operations (operations related to legal compliance management, operations related to risk management, internal audits, operations related to internal inspections, financial affairs accounting, and tax affairs).

(Note 2) Please be noted in advance that if the client has applied for an individual product or service and has agreed to mutually exchange information, AIC will continue to provide the information to the extent necessary, unless AIC is given specific instructions. In cases where information has been shared among related parties before AIC receives a request to cease sharing information from a client, the parties that have received information from the client may continue to use the information. However, companies that have received the information through sharing will dispose of such information using proper methods to ensure no leakage of information occurs.

**Contact for requesting cease of information sharing**

Clients who wish to request cease of information sharing are asked to contact AIC at the following telephone number.

TEL: +81-(0)3-5218-5230