Basic policy for antisocial forces

CITIC Securities Japan Co., Ltd. (hereinafter referred to as the "CITICS Japan") aims to prevent damage by groups or individuals (so-called antisocial forces) who pursue economic benefits by making full use of violence, power and fraudulent methods. Declare the following basic policy.

1. CITICS Japan will respond to antisocial forces as a whole organization and strive to ensure the safety of officers and employees who respond to antisocial forces.

2. CITICS Japan will build close cooperation with external specialized agencies such as police, lawyers and the Japan Securities Dealers Association in preparation for unreasonable demands from antisocial forces.

3. CITICS Japan will block all relationships with antisocial forces, including business relationships.

4. CITICS Japan rejects unreasonable demands by antisocial forces and will take legal action against unreasonable demands by antisocial forces from both civil and criminal perspectives as necessary.

5. CITICS Japan will never make back-door transactions or provide funds to antisocial forces.

6. CITICS Japan consider that when a customer opens a new account, he/she agrees to the promise that signing the Account Application Form does not fall under the category of antisocial forces.

7. CITICS Japan can force to terminate the account if the promise of 6 is found to be falsehood.

8. CITICS Japan may offer to terminate the account at the discretion of us if we determine that it is difficult to maintain the contract with the customer who makes a violent act or makes an unreasonable request beyond the responsibility set forth by laws.