

Complaint handling and dispute resolution measures adopted in accordance with the provisions of the Financial Instruments and Exchange Act

DREAM has adopted the following measures for the handling and resolution of complaints and disputes subject to the provisions of the Financial Instruments and Exchange Act. Different measures have been adopted separately for each of the company's registered services.

1. Investment services, investment advice, and agent services

Complaint handling and dispute resolution in connection with financial instrument transactions, etc. are sought through complaint resolution and mediation procedures carried out by the Japan Investment Advisers Association and the Investment Trusts Association, Japan under the provisions of the Financial Instruments and Exchange Act.

2. Transactions in type II financial products

Complaint handling and dispute resolution in connection with financial instrument transactions, etc. are sought through complaint resolution and mediation procedures carried out by the Financial Instruments Mediation Assistance Center under the provisions of the Financial Instruments and Exchange Act. The Japan Investment Advisers Association and the Investment Trusts Association, Japan entrust handling of complaints from investors and mediation procedures in case such escalates to the level of a dispute concerning the financial instrument transactions of its members, to the Financial Instruments Mediation Assistance Center; thus, the following shall be the contact for the above matters.

Financial Instruments Mediation Assistance Center (FINMAC)

Address: Daini Shoken Kaikan, 2-1-1, Kayaba-cho, Nihonbashi, Chuo-ku, Tokyo
103-0025

TEL: 0120-64-5005 (Toll free in Japan only)

Hours: Monday through Friday (except public holidays, etc.), 9:00 a.m. – 5:00 p.m.

