



IAM JP Complaint Handling Notice (English version)

For webpage publication only

Date: October 2023

Complaint Handling Measures and Dispute Resolution Measures

1. Our Complaint Handling Measures

The Company has established a "Compliant and Dispute Handling Policy" and strives to sincerely and promptly respond to complaints from customers, etc., and to gain the understanding of customers.

The Company's complaints are made as follows.

- Department in charge Administration Headquarters
- Phone 03-4567-3809
- Email address complaints@impaxam.com
- Reception hours: from 9:00~17:00. (excluding Saturdays, Sundays, and holidays)

The standard process for resolving complaints is as follows:

- Reception of complaints, etc. from customers
- Interview with internal personnel and consider solutions
- Proposal and resolution of solution plan

In addition to resolving complaints through the above, the Company will resolve complaints through the following organizations. This organization is entrusted with the resolution of complaints by the Japan Investment Advisers Association, a general incorporated association of which the Company is a member, and accepts complaints from customers. If you would like to use this organization, please contact the following.

- NPO Securities and Financial Instruments Mediation Consultation Center
- Address 〒103-0025 2-1-13 Kayabacho Japan, Chuo-ku, Tokyo
- Tel: 0120-64-5005 (toll-free)
- Reception hours 9:00~17:00 (except Saturdays, Sundays, holidays, etc.)

The standard flow of complaint resolution conducted by the center is as follows. For details, please contact the center.

- Complaints from customers
- Handling complaints to the Company
- Discussion and resolution between you and us

2. Our Dispute Resolution Measures

The Company strives to resolve disputes through mediation conducted by the above-mentioned NPO Securities and Financial Instruments Mediation Consultation Center. The Center is entrusted with mediation by the Japan Investment Advisers Association, of which the Company is a member, and mediation procedures are carried out by the Mediation Committee. If you wish to use the Center to resolve disputes with us, please contact us using the contact information above.

The standard flow of mediation procedures conducted by the Center is as follows. For details, please contact the center.

- Submission of a mediation request from a customer
- Acceptance of Mediation Petition and Appointment of Mediation Committee Members
- Payment of mediation fees from customers
- Interviews with customers and the Company by mediation committee members
- Presentation and acceptance of mediation proposals

Policy Control:

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|---------------------------|--------------|
| POLICY OWNER: | Miwa Takano |
| ADDITIONAL REVIEWERS: | Elise Bailey |
| EFFECTIVE DATES: | October 2023 |
| NEXT REVIEW DATE: | October 2024 |
| MODIFIED DATE: | None |
| SUPPORTING DOCUMENTATION: | N/A |