
Complaint Handling and Dispute Resolution Measures

Our company has established “Regulations on Handling of Complaint, etc.” in accordance with the provisions of laws and regulations, and strives to respond sincerely and promptly to complaints and disputes, etc. from customers.

If you have any complaints, etc., please contact us at the following contact desk.

1. Contact desk for complaints, etc. of our company

Vortex Investment Advisors Ltd. Compliance Department

Address: Iidabashi Grand Bloom 23F, 2-10-2, Fujimi, Chiyoda-ku, Tokyo, 102-0071

Tel: 03-3221-3300 Fax: 03-3239-7337

Reception hours: 10:00~17:00

(excluding Saturdays, Sundays, holidays and holidays of our company)

2. Use of external organizations based on the Financial Instruments and Exchange Act

With respect to the investment management business and the investment advisory and agency business conducted by our company, in addition to the above contact desk of our company, our company seeks to resolve complaints, etc. through the corporation engaging in specified non-profit activities, Financial Instruments Mediation Assistance Center (FINMAC), to which the general incorporated association Japan Investment Advisers Association (of which our company is a member) entrusts the complaint handling and dispute resolution services. If you would like to use this organization, please contact the following contact details.

Corporation engaging in specified non-profit activities, Financial Instruments Mediation Assistance Center (FINMAC)

Address: 2-1-1, Kayabacho, Nihonbashi, Chuo-ku, Tokyo, 103-0025

Tel: 0120-64-5005 (toll-free)

Reception hours: 9:00~17:00 (excluding Saturdays, Sundays, holidays, etc.)

End
