

Statement on the Protection of Personal Information

July 1, 2022

Mitsui & Co. Alternative Investments Limited

In our efforts to faithfully comply with and execute in accordance with our corporate philosophy of integrity (i) the applicable laws and regulations regarding the protection of personal information, (ii) the guidelines of the Financial Services Agency of Japan and of the Personal Information Protection Commission regarding the same, and (iii) the guiding principles of authorized personal information protection organizations that apply to the personal information of our clients and international and domestic business contacts (hereinafter referred to as our "Clients") used in the course of business, we, Mitsui & Co. Alternative Investments Limited, hereby make, as our policy on the personal information of our Clients, this Statement on the Protection of Personal Information (hereinafter referred to as "the Statement") as follows. We declare that we are committed to handling personal information properly and managing it safely in order to protect the rights and interests of our Clients.

1. Compliance with Laws and Regulations

We will comply with the "Act on the Protection of Personal Information" and other (i) applicable laws and regulations, (ii) guidelines of the Financial Services Agency of Japan and of the Personal Information Protection Commission regarding the protection of personal information, and (iii) the guiding principles of authorized personal information protection organizations as well as the Statement.

2. Purpose to Use Personal Information

We will handle the personal information of our Clients to the extent necessary to achieve the purpose for which it is used, except where the customer has given consent or where it is treated as an exception by law. The purposes to use personal information are set out as below and always posted on this website:

(1) To solicit and sell financial products and provide information on services in accordance with the Financial Instruments and Exchange Law.

(2) To respond to requests for investigations and reports from supervisory authorities

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Registered Financial Instruments Business Operator with Kanto Local Financial Bureau
(Registration No. 88)

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and self-regulatory bodies in compliance with laws and regulations.

- (3) To solicit, sell, and provide information on the financial products handled by our affiliates and business partners.
- (4) To assess the appropriateness of providing products and services in light of the principles of suitability.
- (5) To confirm the identity of the client or their representative.
- (6) To report transaction results and other information to our Clients.
- (7) To carry out administrative work relating to transactions with our Clients.
- (8) To exercise rights and fulfill obligations under contracts and laws with our Clients.
- (9) To improve and develop products and services through market research, data analysis, questionnaires, and other methods.
- (10) To execute other transactions smoothly and properly with our Clients.
- (11) To recruit human resources.

Notwithstanding the foregoing purposes of use, we will not collect, use, or provide a third party with sensitive information as defined in the Guidelines on the Protection of Personal Information in the Financial Sector (such as special care-required personal information and information on membership in labor unions, family origin, registered domicile, health, and medical care, etc.), except as permitted by the Guidelines and other applicable rules.

3. Provision to a Third Party

We will not provide personal information to a third party without the individual consent of our Clients, unless the provision is:

- (1) required pursuant to laws and regulations;
- (2) necessary for the protection of the life, body and/or property of a person and the client's consent is difficult to obtain;
- (3) deemed especially necessary for the improvement of public health or the promotion of healthy rearing of children and the consent of the client is difficult to obtain; or
- (4) necessary in connection with the collaboration required for the implementation of the matters as set forth in laws and regulations by the agencies of the state or the local public entities or any person appointed thereby, and obtaining the client's consent threatens to hinder the implementation of such matters.

4. Obtainment by Fair and Lawful Means

We will, in obtaining any personal information, exercise fair and lawful means; we will not obtain it by unlawful means and will obtain the consent of the client for their personal information regarding the purpose of use or notify necessary matters in the Statement.

5. Security and Maintenance of Personal Information

We will ensure that the personal information of our Clients is accurate and up-to-date. We will implement necessary and appropriate security and maintenance measures to prevent any demolition, damage, alteration and divulgence of personal information as well as appropriately supervise officers, employees and delegates. The main contents of our security and maintenance measures are available at separate links (only in Japanese) on our website.

6. Procedures for Disclosure Requests of Registered Information

Should there be any request by the Clients for disclosure, correction, or suspension of use regarding the personal data we hold with respect to our Clients, we will confirm the content and endeavor to appropriately and promptly respond to such requests upon confirmation of identification. Based on the confirmation of the content, we will add to, modify, correct or delete the registered information as required.

7. Continuous Enhancement of this Statement

For the appropriate treatment of our Clients' personal information, we will review the Statement from time to time and make endeavors for its continuous enhancement.

8. Questions, Opinions, and Complaints

We will endeavor to promptly and sincerely respond to any questions, opinions, and complaints from our Clients with respect to any personal information. Please contact us with any questions, opinions, and complaints:

Mitsui & Co. Alternative Investments Limited
Legal and Compliance Department
11th Floor, Chiyoda First Bldg. South Wing, 3-2-1 Nishikanda, Chiyoda-ku, Tokyo,
101-0065, Japan

Telephone: +81-3-6361-0420

Office hours: 9:00 a.m. to 5:00 p.m. JST

Email: info@mitsui-ai.com

9. Authorized Personal Information Protection Organization

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mitsui & co.

ALTERNATIVE INVESTMENTS

We are a member of the Japan Securities Dealers Association and the Japan Investment Advisers Association, both of which are personal information protection organizations authorized by the Financial Services Agency of Japan. The Personal Information Consultation Office or Complaints Office of each association accepts complaints and consultations regarding the handling of personal information by association members.

For Complaints and Inquiries:

Japan Securities Dealers Association
Personal Information Consultation Office
Telephone: 03-6665-6784
(<http://www.jsda.or.jp/>)

Japan Investment Advisers Association
Complaints Office
Telephone: 03-3663-0505
(<http://www.jiaa.or.jp/privacy/authorization.html>)

10. Principal Sources of Personal Information and Main Outsourced Operations

(1) Primary sources of personal information

The sources of personal information we obtain include:

- Information provided directly by clients on account opening application forms, questionnaires, and other written sources.
- Information contained in commercially available books, such as Japan Company Handbook, and information disclosed in newspapers and on the Internet.
- Information we obtain from clients when providing products and services.

(2) Main operations that are outsourced

We outsource a part of our operations. The following are some of the operations in which we allow outsourced companies to handle personal data.

- Printing or dispatching of documents to be sent to our Clients
- Providing professional advice on legal and accounting matters
- Operations related to the operation and maintenance of information systems
- Keeping books and documents related to our business
- Storage to safekeep the personal information of our Clients

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