

Anti-Money Laundering Policy

Mizuho Securities Asia Limited

We, Mizuho Securities Asia Limited, hereby acknowledge the importance of preventing money laundering, terrorist financing, and financing of proliferation (hereinafter referred to as "ML/TF") and shall make our best effort to prevent ourselves and our branch entities (hereinafter referred to as "MHSA"), including our customers and our employees, from engaging and/ or providing assistance to engage in ML/TF in order to contribute to maintain a stability and assist a development of the sound global financial system.

Policy

- MHSA shall comply with any laws and regulations related to preventing ML/TF that apply.
- MHSA shall not accept any customers or transactions involved with ML/TF.
- MHSA shall establish an appropriate framework to prevent ML/TF and conduct the following measures:
 - Risk assessment of ML/TF
 - Customer Due Diligence such as KYC for preventing ML/TF
 - Suspicious activity reporting and implementing applicable measures such as Suspension of Accounts

Management Framework

- In order to establish an appropriate framework to prevent ML/TF, MHSA shall implement the following measures:
 - Establishment and development of the organizational structure, policies and procedures for preventing ML/TF
 - Trainings to ensure all directors and employees to understand the importance of preventing ML/TF and awareness of each role and responsibility in the framework
 - Assessment of compliance status of the framework for preventing ML/TF and sustained improvement of framework, based on the results of the assessment