

Provisional Translation for your reference only

## **Risk Disclosure for Exchange Listed Securities**

(This document is provided in accordance with Financial Instruments and Exchange Act Article 37-3.)

This disclosure includes various risks involved in sales and purchase of (\*1) Exchange Listed Securities in domestic markets (hereinafter, referred to as “exchange traded securities”). Please read carefully the below disclosure and please contact us prior to start trading if there are further inquiries.

### **About commissions and fees**

• Please refer to the “Disclosure of Costs, etc, related to Financial Instruments Transactions” for commission and fees.

### **Risk associated with Exchange Listed Securities Transactions**

- When trading Exchange Listed Securities, losses may occur due to volatilities in stock markets, interest benchmarks, FX markets, Real Estate markets or Commodities markets, or changes in prices or assessment values on stocks, bonds, investment funds, real estate, commodities or covered warrants (Hereinafter, referred to as “asset backing” (\*2)) that are backing Investment Funds, Unit Investment or Depository Receipts.
- When Exchange Listed Securities’ Issuers or guaranteed company’s business or financial situations change, or when asset backings’ issuers or guarantee company’s business or financial situations change, prices of the Exchange Listed Securities may move and the losses may occur.
- For Exchange Listed Securities which are convertible to other assets such as other type of stocks or corporate bonds, once conversion is processed, its prices or assessment values may change due to changes in asset values or issuers’ business/financial situations, or the prices or assessment values may be lower than initial purchase prices and therefore the losses may occur.
- Please be reminded that Exchange listed securities with rights issued or put options have terms which the rights can be exercised.

### **Summary on Financial Instrument Transactions related to Exchange Listed Securities**

Please see below regarding Exchange Listed Securities transactions through IB:

- Intermediary, brokerage or agency service for entrusted transactions to Exchange Listed

### **Products Markets**

- Sales and purchase when IB is a counterparty
- Dealing in public offering, secondary distribution or private placement of Exchange Listed Securities

### Company Information

Name: Interactive Brokers Securities Japan, Inc. Financial Instruments Firm  
Securities Business License #187 by Kanto Regional Finance Bureau

Office address: 3-2-10-4F, Kayabacho, Nihonbashi, Chuo-ku, Tokyo 103-0025

Membership: Japan Securities and Dealers Association

Capital: 1,150,520 thousands JPY

Main Business: Financial Instruments Business

Date of Establishment: August 2006

Tel 03-4588-9700 (Customer Service)

\*1 “Exchange Listed Securities” includes OTC securities traded in local markets, and excludes those securities specified under regulations, such as covered warrants. Also “trading” excludes derivative, margin and issue-dated transactions.

\*2 If investment funds, unit trust and DRs are parts of asset backing, their final asset backings are included as well.