

Monex Group Human Rights Policy

1. Background

In the face of an ever-changing future, Monex Group's corporate mission is to design innovative ways of managing money and realizing individual self-fulfillment for an ever-changing future. Our ultimate goal is to optimize each person's lifetime balance sheet by utilizing state-of-the-art IT technology, globally universal values and a sense of professionalism.

To provide our customers innovative, high-quality products and services and to be a company that is trusted and respected by society, we have created a Code of Conduct for our Group directors and employees.

In addition, to further promote sustainable management and in recognition of the importance of human rights in our business activities, we have formulated the Monex Group Human Rights Policy.

Monex Group Board of Directors shall oversee the implementation and progress of this Policy. Furthermore, in response to changes in business operations and business environment as well as demands from stakeholders, this Policy may be revised as necessary.

2. Scope of Policy

All directors, employees, suppliers and business partners of Monex Group.

3. International norms used as reference

Universal Declaration of Human Rights
Guiding Principles on Business and Human Rights
OECD Guidelines for Multinational Enterprises

4. Monex Group directors and employees

Monex Group shall respect the fundamental human rights of all Group directors and employees by not engaging in discrimination or human rights violations, by having mutual respect and by recognizing and accepting diverse values.

In addition to exercising caution to ensure fair employment opportunities and an appropriate workplace environment, we shall not discriminate on the basis of race, nationality, beliefs, religion, disabilities, family origin, gender, sexual orientation, gender identity, age, health status or other, we shall not tolerate sexual harassment, power harassment or other forms of harassment, and we shall not allow forced labor, child labor or other forms of human rights abuses. Monex Group supports the freedom of association and the right to collective bargaining.

Furthermore, we have set up a harassment and human rights consultation desk at each of our group companies in the pursuit of a healthy, safe and open work environment free from unfair discrimination and harassment.

On a regular basis, we shall hold human rights study sessions to further advance each and every employee's understanding of human rights.

5. Suppliers and business partners

Monex Group requires all our suppliers and business partners to abide by fair ethical standards. If there is an incident where a supplier or business partner is suspected of violating human rights, Monex Group shall work with that supplier or business partner in an appropriate manner to resolve the situation.

6. Access to Remedy

In the event that Monex Group has caused or is involved in a human rights violation in our business activities or transactions with suppliers, through an internal consultation and reporting desk that protects the identity of whistleblowers and with an outside attorney specified by the company, we shall directly talk with the target of the report and implement appropriate relief or corrective measures.

7. Open communication

Monex Group shall maintain ongoing constructive dialogue with NGOs and other external human rights experts for advice to ensure that there are no human rights violations in any of our businesses.

Formulated on September 24, 2019

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