

お客様本位の業務運営に関する方針

Principles for Customer-Oriented Business Conduct

ベントール・グリーンオーク株式会社（以下「当社」といいます。）は、金融庁が2017年3月30日に公表した「顧客本位の業務運営に関する原則」を採択し、お客様本位の業務運営を次のとおり実施いたします。

We, Bengall GreenOak KK (hereinafter called “BGOKK”), has adopted the principles set forth in the “Principles for Customer-Oriented Business Conduct” published on March 30, 2017 by the Financial Services Agency of Japan, and implemented Customer-Oriented Business Conduct as follows.

1. お客様本位の業務運営に関する方針の策定・公表等

Formulation and Announcement of our Principles for Customer-Oriented Business Conduct

当社は、金融商品取引業者として、お客様本位の業務運営の実現のため、本「お客様本位の業務運営に関する方針」を策定し、ここに公表いたします。また、より良い業務運営を実現するため、本方針を定期的に見直します。

BGOKK, as a Financial Instruments Exchange Business Operator, has formulated and hereby announces the policy to realize Customer-Oriented Business Conduct. We regularly review the policy if necessary in order to continually improve our business conduct.

2. お客様の最善の利益の追求

Pursuit of Customers' Best Interest

当社は、高い水準のビジネス倫理、誠実さ、プロ意識をもって全ての業務に取り組む BentallGreenOak の企業理念のもと、高度の専門性と職業倫理を保持し、お客様の最善の利益を図ります。

BGOKK maintains a high level of expertise and professional ethics and pursue the best interest of our customers in the cause of the corporate mission of BentallGreenOak to fulfill our commitment to the highest standard of honesty, integrity and professionalism.

3. 利益相反の適切な管理

Appropriate Management of Conflicts of Interest

当社は、取引におけるお客様との利益相反の可能性について正確に把握し、利益相反の可能性がある場合には、所定の手続きに沿って当該利益相反を適切に管理します。利益相反取引に際しては、外部専門家を含むコンプライアンス委員会における審議・承認を経ることで、お客様の最善の利益を図ります。

BGOKK accurately identifies the possibility of conflicts of interest arising with our customers. When any possibility of conflict of interest is recognized, we manage it properly in accordance with the prescribed management process. On the event of such transactions, we deliberate and obtain approval at the Compliance Committee that requires the attendance of an outside specialist for the best interest of our customers.

4. 手数料等の明確化

Clarification of Fees, Etc.

当社は、お客様が負担する手数料その他の費用について、当該手数料等がどのようなサービスの対価に関するものかを含め、お客様への分かりやすさに配慮し、誠実な情報提供に努めます。

BGOKK endeavors to disclose information on fees and other charges related to our services which are paid by our customers including the types of service for which the rewards are paid, in a way that is easily understandable by our customers.

5. 重要な情報の分かりやすい提供

Straightforward Disclosure of Important Information

当社は、当社が提供する金融商品・サービスにかかる重要事項について、法令等を遵守し、迅速、正確、公平で分かりやすい情報提供に努めます。

BGOKK complies with laws and regulations and endeavors to disclose important information regarding our products or services in a prompt, accurate, fair and easy-to-understand manner.

6. お客様にふさわしい商品及びサービスの提供

Providing Suitable Products and Services to Each Customer

当社は、お客様の取引目的やニーズ、資産状況、取引経験、知識を考慮し、お客様にふさわしい金融商品・サービスの提供に努めます。

BGOKK strives to provide suitable products and services to each customer by taking into account the purpose of the transaction, the investor's needs, existing asset portfolios, investment experience and level of knowledge.

7. 従業員に対する適切な動機づけの枠組み等

Framework for Appropriately Motivating our Employees to Comply with the Principles

当社は、お客様の最善の利益を追求するための行動、お客様の公正な取扱い、利益相反の適切な管理等を促進し、健全な業務運営を実践するために、従業員に対し研修の実施や専門能力の維持・向上への支援を通じて適切な動機付けを推進し、適切なガバナンス体制を整備します。

In order to proceed with actions to pursue customers' best interest, fair treatment of our customers and appropriate management of conflicts of interest and to ensure the sound conduct of business, BGOKK develops a framework for appropriately motivating our employees and a structure for appropriate governance by providing trainings and support for maintenance and increase their expertise.