

Declaration of Personal Information Protection (Privacy Policy)

Type II Financial Instruments Firms Association (referred to as This Association) recognizes the importance of personal information protection. With regard to the personal information that This Association retains, This Association has decided on the declaration of personal information protection (privacy policy) and the handling rules for personal information protection as stated below, implementing them, and reviewing the contents on a regular basis. "Personal information" contained in the following items shall exclude individual numbers and specific personal information. For further information, see the Note below.

1. Compliance with related laws and regulations

This Association will comply with the Act on the Protection of Personal Information and other related laws and regulations as well as the Guidelines for Protection of Personal Information in the Finance Sector, and take care to protect personal information when handling it.

2. Acquisition, utilization, and provision of personal information

- (1) Acquisition of personal information shall be within the occupationally necessary range and shall be conducted appropriately and lawfully.
- (2) When personal information is handled, the purpose shall be specified as much as possible and announced. For the utilization purposes of personal information by This Association, refer to Appendix 1.
- (3) This Association will not disclose or provide personal data to any third parties without acquiring the prior consent of the person except for cases based on laws and regulations.

3. Joint utilization of personal information

This Association will assist the spread and awareness of knowledge about financial products and the publicity business related to financial products in cooperation with other organizations, and work on resolving disputes concerning the financial instrument business in an early stage. The personal information that This Association has acquired may be jointly utilized with other organizations within a necessary range to achieve the utilization purposes. The organizations with which This Association utilizes personal information are shown in Appendix 2.

4. Security control actions

This Association will take necessary and appropriate actions on the basis of the Guidelines for Protection of Personal Information in the Finance Sector, etc. in order to prevent leakage, loss, and damage of personal information and to handle security.

5. Supervision over employees and contractors

This Association will have the directors and employees of This Association recognize the importance of personal information protection and will conduct necessary and appropriate supervision over them to ensure the secure handling of personal data. When This Association entrusts a third party with handling personal data, This Association will appropriately select a third party that is the contractor and conduct the necessary and appropriate supervision over the third party that is the contractor to ensure the secure handling of personal data.

6. Requests for disclosure, etc.

When a principal requests disclosure, revision, deletion, discontinuance of utilization, disclosure of the record of provision to a third party, and other actions, This Association will identify the person who makes the request as the principal and act appropriately and quickly. For the request procedure of disclosure, and others, refer to Appendix 3.

(Note) This Association has established the provisions for handling personal information separately from the appropriate handling of individual numbers and specific personal information based on the "Act on the Use of Numbers to Identify a Specific Individual in Administrative Procedures" (hereinafter referred to as "Number Act"). When This Association acquires an individual number, This Association will notify the person of its utilization purposes in advance.

Complaints and consultations about handling personal information

This Association will respond to complaints, consultations, and so on concerning personal information provided by the person themselves as quickly and carefully as possible. Please contact the office for complaints, consultations, and so on about This Association's handling personal information.

[For Inquiries]

- General Administration Department, Type II Financial Instruments Firms Association
Monday to Friday (national holidays excluded)
9:00 a.m. to 11:30 a.m., 12:30 p.m. to 5:00 p.m.

[Appendix 1]

This Association may collect personal information such as addresses, names, dates of birth, and telephone numbers within the range necessary to accomplish the utilization purposes as follows:

1. For managing the notification and delivery of materials that This Association prepares
2. For operating and managing the notification of lectures and seminars that This Association gives solely or jointly with other organizations and delivery of information about such lectures and seminars
3. For researching and developing the services through market research, questionnaires, etc.
4. For responding to consultations, inquiries, opinions, complaints, etc., recording them, storing them, and so on
5. For managing regular members, electronically recruiting members, and supporting members (hereinafter referred to as "Regular Members and others" in this declaration), conducting office liaison, and operating and managing material delivery and more (procedure of admission to This Association included)
6. For operating and managing the notification of meetings such as meetings of the board of directors and commissions of This Association, delivering materials, and communicating information
7. For operating and managing the notification of training sessions and briefing sessions for Regular Members and others and delivering information about such sessions
8. For managing the directors and employees such as concerned Regular Members and others related to the direct placements that Regular Members and others conduct or other trades
9. For conducting actions such as surveys, research, requests, and proposals related to the direct placements or other trades
10. For controlling the access to the office or other sites of This Association

[Appendix 2]

Joint utilization organizations related to publicity business

- Japan Securities Dealers Association
- Japan Investment Advisers Association
- The Financial Futures Association of Japan
- The Investment Trusts Association, Japan

Joint utilization organization related to resolving disputes concerning the financial instrument business in an early stage

- Financial Instruments Mediation Assistance Center (FINMAC)

- Place for the submission of requesting disclosure, or others
Request disclosure, or others from the department as follows:

General Administration Department, Type II Financial Instruments Firms Association
2-11-2 Nihombashi, Chuo-ku, Tokyo 103-0027 JAPAN

1. Documents to be submitted and method of requesting disclosure or others
Request disclosure or others using the attached form via the postal service.
2. Documents necessary for request
 - (1) Request form for disclosure of retained personal data
 - (2) Documents for personal identification
When there is a request for disclosure, enable us to confirm that the requester is the principal or the agent with regard to the retained personal data. Therefore, when you request disclosure, send us the following documents for identification (the part where the full name, address, and date of birth are printed) via the postal service.
 - A. When the requester is the principal
Any one of the following ① to ③
 - ① A copy of your driver's license (cover the address where you are legally domiciled in black ink except for where the address is the same as the address where you are legally domiciled)
 - ② A copy of your passport (cover the address where you are legally domiciled in black ink) and your certificate of residence
 - ③ A copy of your health insurance card and your certificate of residence(Note) The certificate of residence in ② and ③ above needs to be issued within six months from the date of issue (a copy is acceptable). When the address where you are legally domiciled is written in the certificate of residence, cover the contents of the address where you are legally domiciled in black ink before attaching the certificate of residence.
 - B. When the requester is the agent
Other than the documents for personal identification of the principal in (1) above, the following documents are necessary:
 - ① A letter of attorney as proof of the agent of the principal (limited to a letter with the signature and registered seal of the principal)
 - ② Any one of ① to ③ in (1) above as a document for the agent's identification
 - ③ A certificate of seal impression of the principal related to the letter of attorney ① above(Note) Even in the case of request by an agent, written replies are sent only to the principal.
 - (3) A return envelope with a 624-yen stamp attached (charge of registered mail and charge of ID confirmation delivery service included) on which the name and address of the principal are written (limited to a standard-sized envelope)
3. Notes:
This Association will respond via the postal service or email as you like when receiving a request for disclosure. However, be aware of the following points:
 - ① If there are any errors or omissions in the application form, the document for identification, etc. mentioned above, This Association may not be able to meet the request for disclosure. In this case, none of the submitted documents will be returned.
 - ② Some information to be disclosed may need much time to conduct the procedure of collation with the personal data This Association retains, the procedure of the principal identification, or other procedures.

- ③ If there is a risk that the life, body, property, rights, or profits of a principal or a third party may be damaged, if the appropriate conduct of This Association's business may be significantly impeded, and if disclosure violates laws and regulations, all or part of the personal data This Association retains will not be disclosed.
- ④ In order to prevent personal information leakage to any and all third parties, we will provide the information after confirming that the recipient is the principal. Even when the requester is the agent, we provide the information on the assumption that the person to receive the disclosure is the recipient.
- ⑤ The personal information provided for this disclosure procedure will be utilized within the range necessary for the disclosure procedure such as principal identification, collation with the retained personal data, contact with the requester (including the agent), etc. None of the submitted documents will be returned.

[Separately attached]

Application form for disclosure of retained personal data

Date of request:

(Year Month Day)

To General Administration Department, Type II Financial Instruments Firms Association

Reading	
Full name	
Reading	
Address	
Phone number	
Gender	Male / Female
Date of birth	Year Month Day
Principal or Agent	Principal / Agent
Reading	
Full name of agent (When request is made by agent)	
Reading	
Address of agent	
Telephone number of agent	
Reason for request and additional information	