

# **Detailed Regulations Concerning “Rules Concerning Type II Business Internal Control Supervisory Manager, etc.”**

## **(Purpose)**

### **Article 1.**

These Detailed Regulations prescribe matters that are necessary for the enforcement of Rules Concerning Type II Business Internal Control Supervisory Manager, etc. (hereinafter referred to as the “Rules”).

## **(Special Measures Regarding Qualification Requirements of Type I Business Internal Control Supervisory Manager)**

### **Article 2.**

The person prescribed in the relevant detailed regulations being referred to in Article 3 of the Rules shall be either of the following:

- (1) Person who is in charge of the internal control section and able to check the details of the proceedings of the board of directors or any other council for management decision-making and business execution (this shall be limited to the case where there is no registered officer who is in charge of internal control pertaining to Self-Offering and Other Transactions, etc. Excluding Electronic-based Application Type); or
- (2) Person who is in charge of the internal control operation pertaining to Self-Offering and Other Transactions, etc. Excluding Electronic-based Application Type and able to check the details of the proceedings of the board of directors or any other council for management decision-making and business execution (this shall be limited to the case where there is no registered officer who is in charge of internal control pertaining to Self-Offering and Other Transactions, etc. Excluding Electronic-based Application Type).

## **(Special Measures Regarding Attendance at Training for Type II Business Internal Control Supervisory Manager)**

### **Article 3.**

The person who is prescribed in the relevant detailed regulations being referred to in Paragraph 1 of Article 7 of the Rules shall be the one who attended either “training course for Internal Administration Supervisors” provided for in Article 8, Paragraph 1 of “Rules Concerning Internal Administrators, etc. of Association Members” of Japan Securities Dealers Association or “training course for Internal Administration Assistant Supervisors” provided for in Paragraph 2 of the said Article within the business year in respect of which exemption from attending the designated training which is provided by the Association is being sought, and submitted to the Association a written notification in the form which is prescribed separately.

**Supplementary Provisions (May 20, 2011)**

These Detailed Regulations shall become effective from the date on which the Association is certified by the Prime Minister as Financial Instruments Firms Association provided for in Article 78, Paragraph 1 of FIEA (June 30, 2011).

#### **Supplementary Provisions (February 3, 2012)**

This Amendment shall become effective from April 1, 2012.

(Note) Amended provisions are as follows:

- (1) Newly created the headword of Article 2; and
- (2) Newly created Article 3.

#### **Supplementary Provisions (May 26, 2015)**

This amendment shall become effective from the date (May 29, 2015) provided for in the main text of Article 1 of the Supplementary Provisions of the Act for Amendment of the Financial Instruments and Exchange Act (2014, Act No. 44).

(Note) Amended provisions are as follows:

Amended Items (1) and (2) of Article 2.

<p>This translation is solely for the convenience of those interested therein, and accordingly all questions that may arise with regard to the meaning of the words or expressions herein shall be dealt with in accordance with the original Japanese text.</p>
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