

# DETAILED RULES RELATED TO THE RULES CONCERNING ACCEPTANCE OF DEPOSIT, ETC. OF SECURITIES

(November 14, 1974)

## (Purpose)

**Article 1** The Detailed Rules Related to the Rules Concerning Acceptance of Deposit, Etc. of Securities shall prescribe the matters deemed necessary with respect to the enforcement of the Rules Concerning Acceptance of Deposit, Etc. of Securities (hereinafter referred to as "Rules").

## (Delivery of Notice of Reconciliation and Document to Be Delivered upon Conclusion of a Contract by Means Other than Postal Mail)

**Article 2** The process as prescribed in the provisions of Article 11, Paragraph 4 (including the case where the provisions apply *mutatis mutandis* in the provisions of Article 13, Paragraph 1) shall be conducted in accordance with each of the following Items for the respective categories enumerated therein.

- (1) In case the Notice of Reconciliation or the Document to Be Delivered upon Conclusion of a Contract is in a state of being ready for immediate delivery to a customer and it is delivered directly to the customer concerned over the counter:
  - (i) Notice of Reconciliation  
Chief Manager prescribed in the provisions of Article 11, Paragraph 5 shall directly deliver it to the customer. In this case, the Chief Manager must promptly collect from the said customer a reply to the Notice of Reconciliation.
  - (ii) Document to Be Delivered upon Conclusion of a Contract  
The document shall be delivered to the customer by the Chief Manager or an employee authorized by the Chief Manager.
- (2) In case a customer has made a special offer about the method of delivery of the Notice of Reconciliation or the Document to Be Delivered upon Conclusion of a Contract:
  - (i) Notice of Reconciliation
    - (a) A letter of comfort of the form prescribed by the Regular Member in which the method of delivery of Notice of Reconciliation, the period and other matters deemed necessary are stated and in which the name is written and to which the seal is put (which is signed and sealed in case of individual customers) shall be collected from the said customer. In such a case, the print of the seal on the said letter of comfort shall be the one that matches with the print of the seal notified in advance by the said customer.
    - (b) In case a letter of comfort has been collected from a customer pursuant to the provisions of (a) above, Chief Manager shall directly confirm the fact by inquiring of the said customer by a phone call or any other means.
    - (c) The Notice of Reconciliation shall be delivered to the said customer without delay, after preparation.

- (d) The safekeeping and delivery to a customer of the Notice of Reconciliation shall be made by Chief Manager. In this case, the Chief Manager must promptly collect from the said customer a reply to the Notice of Reconciliation.
- (ii) Document to Be Delivered upon Conclusion of a Contract
  - (a) The provisions of (i) (a) through (c) above shall apply *mutatis mutandis* to the Document to Be Delivered upon Conclusion of a Contract.
  - (b) The safekeeping and delivery to a customer of the Document to Be Delivered upon Conclusion of a Contract shall be made by Chief Manager.

**(Collection Using Electromagnetic Methods)**

**Article 3** In substitution for the collection of a letter of comfort, based on the “Rules Concerning Handling of Documents Delivery, Etc. through Electromagnetic Methods”, the Regular Member may use methods employing electronic information processing systems or other information technologies to collect the matters to be recorded in the letter of comfort. In such a case, the Regular Members shall be regarded as having collected the letter of comfort.

**(Application *Mutatis Mutandis* to Special Members)**

**Article 4** The provisions of Articles 2 and 3 hereof shall apply *mutatis mutandis* to the Special Members. In this case, the term "Regular Member" in these provisions shall be changed to read "Special Member" and the term "Article 11 of the Rules" in Article 2 shall be changed to read "Article 11, which applies *mutatis mutandis* in Article 16 of the Rules" respectively.

**(Application *Mutatis Mutandis* to Specified Business Members)**

**Article 5** The provisions of Articles 2 and 3 hereof shall apply *mutatis mutandis* to the Specified Business Members. In this case, the term "Regular Member" in these provisions shall be changed to read "Specified Business Member" and the term "Article 11 of the Rules" in Article 2 shall be changed to read "Article 11, which applies *mutatis mutandis* in Article 19 of the Rules" respectively.

**SUPPLEMENTARY PROVISIONS [Omitted]**

(Note) These Rules are based on the version in effect as of January 1, 2016.

<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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