

RULES CONCERNING COMPLAINT PROCESSING OPERATION RELATED TO HANDLING OF PERSONAL INFORMATION

(March 15, 2005)

(Purpose)

Article 1 The purpose of the Rules Concerning Complaint Processing Operation Related to Handling of Personal Information (hereinafter referred to as “Rules”) is to define matters that are necessary for the Personal Information Consultation Office to process complaints about the handling of personal information by Association Members as prescribed in Article 3 of the “Rules Concerning Securement of Proper Handling of Personal Information by Association Members.”

(Implementation System of Complaint Processing Operation)

Article 2 The Personal Information Consultation Office shall process complaints about handling of personal information in the business relating to the Sale and Purchase or Other Transactions of Securities, etc. prescribed in Article 3, Item (8) of the Articles of Association and other associated businesses thereof that are conducted by the Regular Members, business set forth in the provision of Article 5, Item 2 (a) or (b) of the Articles of Association conducted by the Specified Business Members, and the Registered Financial Institution Business prescribed in Article 5, Item (3) of the Articles of Association that is conducted by the Special Members (hereinafter referred to as “Complaints about Handling of Personal Information”).

2. The Personal Information Consultation Office shall appoint a special adviser to obtain advice and instructions necessary for processing the Complaints about Handling of Personal Information, and commission this position to an academic expert such as a legal professional.

(Responsibility of Complaints Processing Organization)

Article 3 The Personal Information Consultation Office shall quickly process the Complaints about Handling of Personal Information in a fair and neutral manner in accordance with the purport of laws concerning personal information protection.

(Procedures for Processing Complaints)

Article 4 In the case where the Personal Information Consultation Office receives an application from a customer of an Association Member for solving a Complaint about Handling of Personal Information, it shall consult with such customer, give necessary advice to the applicant, investigate the situation and other matters related to the complaint, and notify the details of such complaint to the Association Member to ask for immediate resolution.

2. In the case where Personal Information Consultation Office determines it necessary for solving the complaint brought by the application that is set forth in the preceding Paragraph, it may require the Association Member to provide an explanation about such complaints in writing or orally, or submit a material.
3. In the case where the Association Member receives a request from the Personal Information Consultation Office pursuant to the provision of the preceding Paragraph, it must not reject such request without justifiable reason.

(Contact Point of Processing Complaints)

Article 5 The Complaints about Handling of Personal Information prescribed in the preceding Article, Paragraph 1 shall be processed by the Personal Information Consultation Office.

(Cost Burden)

Article 6 All the costs for processing the Complaints about Handling of Personal Information shall be assumed by the Personal Information Consultation Office. Provided, however, it is allowed to make the applicant assume the cost of documentation and telecommunications necessary for the procedures of such application made by the applicant.

(Non-Disclosure of Complaints Processing)

Article 7 Processing of the Complaints about Handling of Personal Information shall not be disclosed.

(Confidentiality Obligation of Officers and Employees)

Article 8 Officers and employees of the Personal Information Consultation Office and those who used to be in such position must not leak to a third party or illegally use a secret that is obtained through the processing of the Complaints about Handling of Personal Information without a justifiable reason.

2. Officers and employees of the Personal Information Consultation Office and those who used to be in such position must not use confidential information that is obtained through the processing of the Complaints about Handling of Personal Information for any purpose other than the business of the Personal Information Consultation Office.

(Education and Training for Employees In-Charge)

Article 9 The Personal Information Consultation Office shall educate and train employees in-charge for the purpose of properly processing the Complaints about Handling of Personal Information.

(Recording, Reporting, and Announcement of Results of Complaint Processing)

Article 10 The Personal Information Consultation Office shall prepare a record on the results, etc. of complaint processing that is prescribed in Article 4, Paragraph 1 (referred to as the “Results, etc. of Complaint Processing” in the following Paragraph), and retain it in 10 years after the preparation.

2. The Personal Information Consultation Office shall report the Results, etc. of Complaint Processing to the Chairman of the Self-Regulation Board and also publicize the summary of the Results, etc. of Complaint Processing.

(Audit on Complaint Processing Operation)

Article 11 The Association shall conduct audit on complaint processing operation relating to Handling of Personal Information by the Personal Information Consultation Office.

SUPPLEMENTARY PROVISIONS [Omitted]

(Note) This rule is based on the version in effect as of January 1,2018.

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.