

RULES CONCERNING ESTABLISHMENT OF CONFIDENTIAL CORPORATE INFORMATION MANAGEMENT SYSTEM BY ASSOCIATION MEMBERS

(April 20, 2010)

(Purpose)

Article 1 The purpose of the Rules Concerning Establishment of Confidential Corporate Information Management System by Association Members (hereinafter referred to as the “Rules”) is to establish a management system, etc. of corporate information by Association Members by prescribing necessary measures such as internal rules, for the purpose of preventing an unfair transaction using corporate information that is acquired by Association Members during the course of the business.

(Definitions)

Article 2 In these Rules, the definition of the terms set forth in the following Items shall be prescribed therein:

- (1) Corporate Information: Corporate Information that is prescribed in Article 1, Paragraph 4, Item (xiv) of the Cabinet Office Ordinance on Financial Instruments Business, Etc.;
- (2) Management Section: Section that comprehensively manages the Corporate Information (or a responsible person if the Corporate Information is managed in each business outlet or office);
- (3) Corporate Section: Section that mainly conducts the Business (meaning the financial instruments business and its associated business, or the registered financial institution business; the same shall apply hereinafter) and is highly likely to obtain the Corporate Information during its course of Business.

(Identification of Management Section of Corporate Information)

Article 3 An Association Member must designate the Management Section.

(Establishment of Internal Rules)

Article 4 An Association Member must establish internal rules for the management of Corporate Information that prescribe matters set forth in each Item below, for the purpose of preventing conduct of an unfair transaction using such information:

- (1) Matters concerning the procedures at the time of acquiring the Corporate Information;
- (2) Matters concerning the information management procedures for a person, etc. who acquired the Corporate Information;
- (3) Matters concerning the identification of Management Section and its information management procedures;
- (4) Matters concerning the communication procedures of Corporate Information;
- (5) Matters concerning the extinction or deletion procedures of Corporate Information

- (6) Matters concerning prohibited actions; and
- (7) Other matters the Association Member deems necessary.

(Procedures at the Time of Acquiring the Corporate Information)

Article 5 An Association Member must establish procedures that are necessary to manage the Corporate Information such that officers and employees who acquire the Corporate Information immediately report such acquisition to the Management Section.

(Management of Corporate Information)

Article 6 An Association Member must manage the Corporate Section so that the Corporate Information is not communicated to other sections that do not need such information for their Business, such as through physically isolating the Corporate Section from other sections.

- 2. An Association Member must manage documents that describe the Corporate Information or information that could be the Corporate Information so that such documents are not communicated to other sections that do not need such information for their Business, such as through administrating such documents in an isolated environment from other sections.
- 3. An Association Member must manage electronic files that contain the Corporate Information or information that could be the Corporate Information so that such electronic files are not communicated to other sections that do not need such information for their Business, such as through managing such electronic files in a way that people cannot view them easily.

(Enhancement of Management System)

Article 7 An Association Member must conduct monitoring such as regular inspection to check whether or not the Corporate Information is managed properly pursuant to the internal rules.

(Concept of the Rules)

Article 8 The Association shall prescribe matters related to the operation, etc. of the Rules by Association Members in the Guideline for “Rules Concerning Establishment of Confidential Corporate Information Management System by Association Members”.

SUPPLEMENTARY PROVISIONS [Omitted]

The Rules are based on the July 1, 2013 edition of the original Japanese text.

<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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