

Focal Points of “JSDA’s Major Work Plans”

- Initiatives toward Addressing Social Issues -

July 3rd, 2023

— Following up last year’s tangible progress in critical initiatives such as new NISA, Organization for Promotion of Financial and Economic Education, and digitalizing document delivery to customers—

(1) Stronger Support for Asset Building

—Reinforce the Trend “from Savings to Investment”—

- Undertake initiatives for the smooth introduction, implementation, and sound development of the new NISA system
- Fully support the establishment of the Organization for Promotion of Financial and Economic Education
- Foster collaboration with the Japanese Bankers Association (JBA) to improve financial literacy
- Undertake initiatives to reform the defined contribution (DC) pension system (Corporate DC, iDeCo)

(2) Achievement of the SDGs

—Promote Sustainable Finance—

- Execute action plans under the “Declaration on Promoting Sustainable Finance”
- Undertake initiatives aimed at expanding transition finance in the capital market
- Follow/Support the GX Economy Transition Bonds to be issued by the government
- Create a fulfilling work environment and bolster diversity

(3) Fostering Start-ups

- Undertake initiatives to develop and publicize the secondary market for JSDA Shares and Investment trusts for Professionals (J-Ships)
- Foster an environment to facilitate provision of risk money to start-ups
- Smoothly implement improvement measures for the IPO price-setting process

(4) Accommodating Digital Transformation (DX)

- Proceed with initiatives to make digital document delivery to customers the primary method
- Properly respond to utilization of financial innovation in the securities market
- Support securities firms’ efforts to improve cybersecurity readiness
- Deliberate on expanding the use of the Social Security and Tax Number System (“My Number” System)

(5) Provision of Financial Services Fit for an Aging Society

- Foster more attentive financial services appropriate for elderly customers
- Deliberate on appropriate practices for investment, asset management as well as transactions through agents, preparing for customers’ possible cognitive/judgmental impairment
- Smoothly inherit financial assets between generations
- Enrich the contents in the “Booklet on Elderly Customers”

(6) Setting up Compliance Consultation Desk

- Enhance support to association members with regards to compliance issues, including setting up a consultation desk
- Undertake initiatives to review and streamline/enhance self-regulations on compliance matters

HR Development
to Carry Out the Actions

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Enhanced Collaboration with
Stakeholders
inside/outside Japan

Toward Further Enhancement of Investor Trust and Functioning of Securities Markets