

# JSDA's Major Work Plans for 2014-2015

July 1, 2014

## Invigorating Capital Market

## Expanding Investor Base

### Enhancing Functions & Competitiveness of Financial and Capital Markets which Support Real Economy

1. Improving Japan's status and competitiveness in the global financial and capital markets
  - Addressing challenges towards enhancing the roles of Japan's financial and capital markets
  - Developing a framework to establish a comprehensive exchange
  - Promoting the attractiveness and potential of Japanese markets overseas
  - Further enhancing cooperation and mutual assistance with relevant foreign institutions and organizations
2. Reinforcing settlement infrastructure
  - Shortening the JGB settlement cycle to T+1
3. Vitalizing the corporate bond market
  - Raising transparency of corporate bond transactions
  - Establishing a proper framework to protect corporate bond holders
4. Introducing new funding tools for startup and growth companies
  - Drawing up self-regulatory rules concerning equity crowdfunding
5. Responding to global regulatory reform

### Supporting Individual Investors Enhancing and Promoting Financial Literacy & Education

1. Supporting individual investors
  - Promoting PR activities for NISA
  - Advocating expansion and perpetuation of NISA, introduction of "Junior NISA", and reinforcement of defined contribution pension plan (Japanese 401k)
  - Designing easy-to-understand documents for customers
  - Encouraging provision of financial products which support medium- and long-term asset formation
2. Enhancing and promoting financial literacy & education
  - For students: giving more "Financial Literacy Seminars" at universities
  - For working adults: conducting events like "Securities Investment Day" (October 4) and "NISA Support! Lectures"
  - Promoting interaction with researchers and market stakeholders, and supporting academic studies in relevant fields.

### Further Enhancing Fairness and Transparency of Securities Market

1. Steadily implementing measures to assure confidence in securities firms and securities market
  - Conducting timely and effective inspection of member firms by JSDA
  - Facilitating smooth implementation of rules on transactions with elderly customers
  - Reviewing external audit requirements for securities firms
2. Preventing insider trading
  - Promoting registration with J-IRISS
3. Guarding securities market from anti-social forces
4. Promoting PR to prevent scams alleging sales of unlisted shares or corporate bonds
  - Conducting "On the Street Alert Campaign" in all major cities nationwide

### Strengthening JSDA's Operations

1. Further enhancing communication with member firms and market stakeholders
2. Active and timely dissemination of information (utilizing SNS, etc.)
3. Developing and enhancing the business continuity plan (BCP)
4. Reviewing organizational structure and business operations (securing and developing qualified human resources)