

# **RULES CONCERNING PLANNING, ETC. OF BUSINESS CONTINUITY MANAGEMENT IN CASE OF EMERGENCY**

**(September 18, 2007)**

## **(Purpose)**

**Article 1** The purpose of the Rules Concerning Planning, Etc. of Business Continuity Management in Case of Emergency (hereinafter referred to as “Rules”) is to protect customers’ assets held by a Regular Member and Specified Business Member and to ensure the continuity and safety of sale and purchase or other transactions of securities, etc. conducted by a Regular Member and Specified Business Member through the establishment of the Business Continuity Management (BCM) by the Regular Member and Specified Business Member which assumes an occurrence or its possibility of a disaster, etc. such as an earthquake, storm and flood damage, or terrorism (hereinafter referred to as “in Case of Disaster, etc.”), thereby contributing to protecting investors and maintaining the function of Regular Members, Specified Business Members, and the financial instruments market.

## **(Establishment of Business Continuity Management)**

**Article 2** A Regular Member and Specified Business Member must make efforts to establish the Business Continuity Management that enables the member to continue business operations in Case of Disaster, etc. as well as to resume the business operations immediately if important business operations are interrupted.

## **(Establishment of “Business Continuity Plan”, Etc.)**

**Article 3** A Regular Member and Specified Business Member must establish a “Business Continuity Plan (BCP)” which is a master plan to continue business operations in Case of Disaster, etc. and thoroughly disseminate it among its Officers and Employees (hereinafter referred to as “Officers and Employees”).

**2.** The “Business Continuity Plan” prescribed in the provision of the preceding Paragraph must include the matters set forth in each Item below depending on the location, business profile, and business scale of a Regular Member and Specified Business Member:

- (1) Establishment and clarification of a decision-making and chain-of-command system;
- (2) Establishment of an internal communication system;
- (3) Identification, etc. of minimum required important business operations;
- (4) Establishment of a back-up system of important data, etc.;
- (5) Ensuring necessary resources;
- (6) Establishment of a system to communicate with customers;
- (7) Preparation, etc. of a recovery plan;
- (8) Preparation of a “Business manual”;

- (9) Establishment of a system to communicate with authorities and organizations concerned;
  - (10) Financial measures taken in Case of Disaster.
3. A Regular Member and Specified Business Member must review the Business Continuity Plan that is prepared pursuant to the provision of Paragraph 1 in a timely manner for the purpose of properly maintaining it.
  4. A Regular Member and Specified Business Member must make efforts to disclose to customers what measures the member will take in Case of Disaster, etc. based on the Business Continuity Plan by so describing on its web page or other means.

**(Guideline on the Establishment of Business Continuity Management in Case of Emergency by Regular Members)**

**Article 4** In addition to the matters under the provisions of these Rules, a basic concept and more concrete matters regarding the establishment of Business Continuity Management by Regular Members and Specified Business Members shall be prescribed in the “Guideline on the Establishment of Business Continuity Management in Case of Emergency by Regular Members” which is separately prescribed by the Association.

**SUPPLEMENTARY PROVISIONS [Omitted]**

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

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.
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