

RULES CONCERNING SECUREMENT OF PROPER HANDLING OF PERSONAL INFORMATION BY ASSOCIATION MEMBERS

(March 15, 2005)

(Purpose)

Article 1 The purpose of the Rules Concerning Securement of Proper Handling of Personal Information by Association Members (hereinafter referred to as “Rules”) is to define matters that are necessary for the Association as the Authorized Organization for Personal Information Protection pursuant to Article 37, Paragraph 1 of the Act on the Protection of Personal Information to implement the operations set forth in each Item of the same Paragraph of the Act, thereby ensuring proper handling of personal information by the Association Members under the Act.

(Business)

Article 2 The Association shall conduct the operations set forth in each of the following Items with respect to handling of personal information in the business relating to the Sale and Purchase or Other Transactions of Securities, etc. set forth in Article 3, Item 8 of the Articles of Association and other associate businesses thereof that are conducted by Regular Members, the business set forth in Article 5, Item 2 (a), (b) or (c) of the Articles of Association that is conducted by Specified Business Members, and the Registered Financial Institution Business set forth in Article 5, Item 3 of the Articles of Association that is conducted by Special Members:

- (1) Processing complaints regarding the handling of personal information by Association Members;
- (2) Preparing and publicizing the policy on personal information protection;
- (3) Issuing instructions, recommendations, and other measures that are necessary to ensure that Association Members comply with the policy on personal information protection;
- (4) Providing Association Members with information that can contribute to ensuring proper handling of personal information;
- (5) Providing officers and employees of Association Members with education and training for the purpose of ensuring proper handling of personal information;
- (6) Publicizing the names of Association Members;
- (7) Coordinating communications with the relevant authorities and organizations;
- (8) Other operations that are necessary for ensuring proper handling of personal information by Association Members in addition to the matters set forth in each of the preceding Items.

(Processing of Complaints)

Article 3 The operations prescribed in the preceding Article, Item 1 shall be conducted by the Personal Information Consultation Office.

2. The operations prescribed in the preceding Paragraph shall be conducted pursuant to the “Rules

Concerning Complaint Processing Operation Related to Handling of Personal Information” that are separately defined.

SUPPLEMENTARY PROVISIONS [Omitted]

(Note) These Rules are based on the version in effect as of March 1, 2020.

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.