

Regulations on Statistics

June 21, 1988

Resolution of the Board of Directors

⎧ Partially amended on March 28, 1990
Partially amended on December 19, 2007 ⎫

(Purpose)

Article 1 These Regulations set forth necessary matters concerning the statistics compiled and published by the Association.

(Preparation of Statistics)

Article 2 In order to contribute to a sound development of the investment management business and the investment advisory and agency business and contribute to the efficient business operations of the members, the secretariat of the Association compiles statistics regarding such matters as matters concerning the business entities engaging in the investment management business and the investment advisory and agency business and matters concerning business activities.

(Materials for compilation of statistics)

Article 3 (1) A member shall submit to the secretariat such materials as are considered necessary by the Board of Directors for compilation of the statistics.

(2) In addition to the materials set forth in the preceding paragraph, the materials prepared pursuant to the laws and regulations and made available for public inspection and the records of the facts that are prepared in the course of business of the Association may be used for the purpose of compilation of the statistics.

(Handling of Materials)

Article 4 (1) The materials submitted pursuant to paragraph (1) of the preceding Article may not be used for any purpose other than for compilation of the statistics.

(2) If the handling of the materials is outsourced for compilation service, etc., the materials must be managed under strict control so that the materials or figures to be used for the compilation of statistics may not be diverted for any other purpose whatsoever.

(Publication of Statistics)

Article 5 When making the statistics public, neither the figures with indication of specific name of a member nor the figures compiled separately for each category of the members may not be made public.

(Confidentiality)

Article 6 In relation to the collection of the materials, compilation or any other operations pertaining to the statistics, the directors and staff must not leak any secret that has come to their knowledge in the course of their duties. The same applies after they have left from their position.