

Securing the Proper Handling of Personal Information by Members

May 25, 2005

Resolution of the Board of Directors

Partially amended on October 24, 2007

Partially amended on May 24, 2017

Securing the Proper Handling of Personal Information by Members	Remarks
<p>(Purpose)</p> <p>Article 1 This resolution of the Board Directors specifies the matters necessary for the Association, as an accredited personal information protection organization which has received the accreditation related to the protection of personal information under Article 47, paragraph (1) of the Act on the Protection of Personal Information, to provide the services specified under each item of the same paragraph and thereby aims to secure the proper handling of personal information by Members under the same Act.</p>	Article 47, paragraph (1) of the Act
<p>(Services)</p> <p>Article 2 The Association provides the services specified below, in connection with the handing of personal information in the investment management business or investment advisory and agency business which are conducted by the members.</p> <ul style="list-style-type: none"> a. Dealing with complaints about the handling of personal information by members b. Preparation and release of personal information protection guidelines 	<p>Article 47, paragraph (1), item (i) of the Act; Article 52 of the Act</p> <p>Article 47, paragraph (1), item (ii) of the Act; Article 53, paragraph (1) of the Act</p>

<p>c. Actions such as providing guidance and recommendations necessary to ensure that personal information protection guidelines are followed</p> <p>d. Providing members with information concerning matters contributing to ensure the proper handling of personal information</p> <p>e. Providing education and training to members' officers and employees for ensuring the proper handling of personal information</p> <p>f. Making the names or appellations of Members available to the public</p> <p>g. Coordinating the communication with relevant organizations</p> <p>h. Besides those set forth in the preceding items, rendering necessary services related to the securing of the proper handling of personal information by members</p> <p>(Complaints Handling Service)</p> <p>Article 3 The complaints handling service as provided in a. of the preceding article shall be rendered by the Complaints Desk set forth in Article 2 of the "Rules on the Handling of Complaints Related to the Protection of Personal Information".</p>	<p>the Act</p> <p>Article 47, paragraph (1), item (iii) of the Act; Article 53, paragraph (4) of the Act</p> <p>Article 47, paragraph (1), item (ii) of the Act</p> <p>Article 47, paragraph (1), item (iii) of the Act</p> <p>Article 51, paragraph (2) of the Act</p> <p>Article 47, paragraph (1), item (iii) of the Act</p> <p>Article 47, paragraph (1), item (iii) of the Act</p> <p>Article 47, paragraph (1), item (i) of the Act; Article 52 of the Act</p> <p>(Note)</p> <p>Act: Act on the Protection of Personal Information</p>
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Supplementary Provisions

1. These Rules shall apply from the date on which the Association is accredited as an accredited personal information protection organization under Article 37, paragraph (1) of the Act on the Protection of Personal Information.
2. The “Procedural Guidelines on the Protection of Personal Information” which was adopted by the resolution of the Board of Directors on March 23, 2005 shall be replaced with the personal information protection guidelines adopted by this resolution of the Board of Directors.

Supplementary Provisions (October 24, 2007)

This amendment comes into effect as of the date on which the Articles of Incorporation (as of September 30, 2007) is approved by the competent minister.

(Note) Amended provision is as follows:

- (1) Article 2 is amended.

Supplementary Provisions (May 24, 2017)

This amendment comes into effect as of May 30, 2017.

(Note) Amended provision is as follows:

Article 1 is amended.