

Financial Services Agency

Guidelines on Personal Data Protection in the Financial Industry

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The International Bankers Association prepared this translation with the intention of having the content accurately represent the Japanese original as much as possible, and it contains all information in Japanese original. However, there may be differences in layout and pagination from the Japanese original.

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Article 1 Purposes (Related to Article 1 of the Law)

1 These Guidelines are based on the Personal Data Protection Law (Law No. 57 of 2003; hereafter called “the Law”), the Personal Data Protection Law Enforcement Ordinance (Government Ordinance No. 507 of 2003; hereafter called “the Enforcement Ordinance”), and the Basic Policy on Personal Data Protection (decided upon by the Cabinet on April 2, 2004; hereafter called “the Basic Policy”). These Guidelines are intended to support the activities that are performed to ensure that a Business Handling Personal Information in the sector within the jurisdiction of the FSA or in an industry specified in Article 36.1 of the Law (hereafter called “the Financial Industry”) handles personal information appropriately. To achieve this support and in view of the nature of personal information and the ways it is used in the Financial Industry, these Guidelines are set down to ensure that the measures that the business is required to devise are implemented in an appropriate and effective manner.

2 It is important that each authorized Personal Data Protection Organization (organizations that are authorized under Article 37.1 of the Law; the same applies hereafter) and Business Handling Personal Information, etc., in the Financial Industry uses these Guidelines, etc., as a basis for setting down further measures as self-regulatory rules for ensuring the appropriate handling of personal information according to the circumstances, etc., of each business. It is important that they make the businesses, etc., that are subject to those rules observe them and that they observe their own rules.

To prevent leaks or the improper disclosure, etc., of personal information, a Business Handling Personal Information in the Financial Industry must deal with leaks or improper disclosures in accordance with the relevant laws, etc., on the appropriate management of personal information.

3 All those within the Financial Industry that are offering the use of personal information databases, etc., for business, even those excluded from “Business Handling Personal Information” according to the provisions of Article 2.3(v) of the Law, shall make every effort to observe these Guidelines.

Note: These Guidelines use the expressions “shall,” “is appropriate,” and “is desirable” to specify any matters in the handling of personal information for which particularly strict measures (effort measures) are required of a Business Handling Personal Information in the Financial Industry, etc.