

Re: Outline of Guidelines on Personal Data Protection (Directors' Resolutions)

February 9, 2005
Japan Securities Dealers Association

1. Purpose of Setting the Guidelines

In preparation for the comprehensive enforcement of the Personal Data Protection Law on April 1, 2005, the JSDA has set these Guidelines on Personal Data Protection (Directors' Resolutions), which are based on that Law, the Personal Data Protection Law Enforcement Ordinance, and the Guidelines on Personal Data Protection in the Financial Industry, etc., to ensure that members handle personal information fairly in their securities businesses and in businesses ancillary to securities dealing, and in securities businesses such as the registration of special members.

2. Outline

(1) Definitions (Related to Article 2)

Gives specific examples of "personal information" and "personal data," respectively

- Specific examples of "personal information"
 - a. Entries on customer cards
 - b. Entries on insider registration cards
 - c. Entries in customer identification records
 - d. Application forms for multi-purpose securities accounts, etc.

(2) Specifying Purposes of Use, etc. of Personal Information (Related to Article 3)

Gives specific examples of details of business and purposes of use to enable Association Members to specify the purposes of use of personal information

Examples for entries by members

- (i) Specific examples of details of business
 - Securities services (trading securities, acting as an agent in trading securities, underwriting securities, etc.) and services ancillary to securities services, etc.
- (ii) Specific examples of purposes of use
 - a. To solicit and market securities and financial products and to introduce services in accordance with the Securities and Exchange Law