

Comparison Table of FSA Practical Guidelines/Safety Measures Standards(6th Edition Addendum)

| Practical Guidelines | Safety Measures Standards | | |
|----------------------|--|---------------|--|
| | Article Numbers (Operational=O, Technical=T) | Sub- Items | Explanation |
| 7-1 | | | Businesses Handling Personal Information in the Financial Industry shall provide regulations on the handling of sensitive ("kibi") information in the "regulations on handling personal data security at each management stage" specified in 1-2. They shall review the regulations as required in light of the state of communications technology. |
| 7-1-1 | | | Businesses Handling Personal Information in the Financial Industry shall set down the following items on the handling of sensitive ("kibi") information in addition to the items specified in 6-1 in the regulations on handling personal data security in the stages of obtaining and entering personal information specified in 6-1: ? Sensitive information only obtained in the cases set down in the Items of Article 6.1 of the Guidelines ? Restricting the number of handlers obtaining or entering sensitive information to the bare minimum ? Items on obtaining a person's consent or on explaining to the principal when businesses need the person's consent to obtain sensitive information |
| | O53 | | Set forth management/handling methods in order to protect and properly use client data |
| | | 4 | When handling sensitive ("kibi") information, following items must be considered. Also refer to ? O53-1? for biometric information. Sensitive ("kibi") information means information regarding: political opinion, religious beliefs (religion, ideas and faiths), membership in labor unions, race and ethnicity, family origin and legal domicile, health, medical and sexual life, crime history. (Article 6 of "Guideline on Personal Data Protection in the Financial Industry") (1) For each management stage, it is necessary to implement measures described in 1-2 of "Practical Guidelines on Security Measures, etc. in Guideline on Personal Data Protection in the Financial Industry" and (Exhibit 1). Each management stage means "collection/inputting" "usage/processing" "safe-keeping/back-up" "transfer/transmission" "deletion/disposal." (2) Within management stages, for "collection/inputting" "usage/processing" "transfer/transmission" stages, it is desirable that handling of sensitive ("kibi") information is limited only to cases stipulated in Article 6 Paragraph 1 each item of the Guideline in "Practical Guidelines on Security Measures, etc. in Guideline on Personal Data Protection in the Financial Industry" (3) It is desirable to limit number of handling personnel and range of access authority to minimum (4) For "collection/inputting" "usage/processing" stages, when requiring personal consent, it is desirable to limit number of handlers to minimum (5) When handling biometric information falling under sensitive ("kibi") information, it is necessary to implement measures described in 1-2 of "Practical Guidelines on Security Measures, etc. in Guideline on Personal Data Protection in the Financial Industry" |