

JSDA (SR) 16 No.69

March 29, 2005

To: Overall Internal Control Administrators

Japan Securities Dealers Association

From: Hiroshi Sugano, Managing Director,
Manager, Compliance Headquarters

Re: Company Regulations (Reference Models) on Personal Data Security at Each Management Stage

We are pleased to notify you that the Japan Securities Dealers Association (JSDA) has prepared reference models as per the attachments for the company regulations listed below, which members must prepare and maintain in line with the Personal Data Protection Law, which comes fully into force from this coming April 1.

We ask that members develop these company regulations and that you take appropriate security measures in accordance with the business operations conducted by your firm and the personal information and personal data that you handle.

1. Regulations on handling the security of personal data based on Article 10, 5. (1) (ii) of the “Guidelines on Personal Data Protection in the Financial Industry” and 1-2 of the “Practical Guidelines on Security Measures, etc., in the Guidelines on Personal Data Protection in the Financial Industry”:

Attachment 1: Regulations on Handling Security in Stages of Obtaining and Entering Personal Data

Attachment 2: Regulations on Handling Security in Stages of Using and Processing Personal Data

Attachment 3: Regulations on Handling Security in Stages of Storing and Retaining Personal Data

Attachment 4: Regulations on Handling Security in Stages of Transferring and Transmitting Personal Data

Attachment 5: Regulations on Handling Security in Stage of Erasing or Discarding Personal Data

Attachment 6: Regulations on Handling Security in Stage of Dealing with Incidents such as Leaks, etc., of Personal Data