

*(Released by the Financial Services Agency on July 22, 2005)*

SAMPLE ONLY

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(Appendix) (Note: the cover page omitted from this translation.)

**Results of Assessments of Personal Information Management Preparations in Financial Institutions**

1. Outline of the request

The financial sector is required to have a high level of protection for personal information, and it is particularly necessary to ensure strict enforcement of its appropriate handling. In concert with the Personal Information Protection Law executed in April this year as well as enforcement regulations of other industry laws etc., we instituted an assessment of personal information management preparations amongst each category of financial institutions, such as deposit taking financial institutions, securities firms and insurance companies, as follows. We also have requested that the results be reported in writing to the authority by the end of June.

{Details of the request}

(1) The assessments (including inspection by internal audit) of the validity and effectiveness of the personal information management preparations of the financial institutions (including outsourcers) designed to enforce the Personal Information Protection Law and enforcement regulations of revised bank laws, etc.

(2) As of April 1<sup>st</sup> this year, results of assessments and audits (and how these were actually carried out) conducted according to the rules on assessment and audit of personal data handling condition prepared on the basis of Article 10 No. 5 (1) 3 of the “Guidelines related to the Protection of Personal Information in the Financial Industry”, regarding whether or not there has been leakage, loss or damage (leaks, etc.) of information about individual customers which is managed by financial institution, etc.

{Subject financial institutions, etc.}

o Deposit taking financial institutions

Banks (major (city) banks, new style banks, foreign bank branches, trust banks, regional banks, secondary regional banks), cooperatively structured financial institutions (*Shinkin* Central Bank, *Shinkin* Banks, National Federation of Credit Cooperatives, Credit Associations, Federation of Workers Credit Unions, Workers Credit Unions, *Norinchukin* Bank)