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March 12, 2008

IBA TRAINING

Seminar on Customer Protection

Seminar for IBA members given by Mr. Taku Umezawa, Attorney-at-Law
and Senior Associate, Nagashima Ohno & Tsunematsu

Date: Friday, April 4, 2008
Time: 14:00 – 17:30
Location: **** Notice Venue Change ****
Schönbach Sabo Building, Rokko Room (3F)
2-7-5 Hirakawacho, Chiyoda-ku
Tokyo 102-0093
Cost: ¥9,000 (*an invoice will be sent*)
Language: **Japanese**
Open to: *All staff of IBA member firms (please register at www.ibajapan.org or by fax)*
(Attendance limits per firm may apply if demand exceeds venue capacity)

SEMINAR OUTLINE

1. The Financial Instruments and Exchange Law (FIEL) and Customer Protection

- i. Overview of business flow required under the FIEL
- ii. Overview of the FSA's revised Financial Inspection Manual
- iii. FIEL: Potential customer protection management pitfalls to be avoided
- iv. "Check and action" approach since the introduction of the FIEL:
 - Advertisement regulations
 - Suitability and accountability regulations under the FIEL

2. Legal and compliance system under the updated Supervisory Guidelines

- i. Government of Japan policy against Anti-Social Forces
- ii. Differences between the updated Supervisory Guidelines and the revised Financial Inspection Manual
- iii. "Legal checking system" under the revised Financial Inspection Manual

3. Q&A Session