

Privacy Policy

Daiwa Securities Group Inc.

Daiwa Securities Group Inc. (the “Company”) establishes and complies with privacy policy as follows, and treats personal information appropriately pursuant to the Act on the Protection of Personal Information.

1. The Company considers personal information as an individual property, recognizes its appropriate protection as an important responsibility, and complies with the Act on the Protection of Personal Information, the relevant laws and regulations, the guidelines of the relevant ministries and agencies, the Company’s internal rules, and other norms.
2. The Company will specify the purpose of use of personal information, and will not use personal information by exceeding the extent necessary for the accomplishment of the purpose of use of personal information unless when there is a prior consent of the person or it is permitted by laws and regulations.
3. The Company will acquire personal information to the extent necessary for the accomplishment of the purpose of use in an appropriate and lawful manner.
4. The Company will appropriately manage with a necessary security measure so that leakage, loss, or the like, regarding personal information may not occur. In addition, we will conduct trainings and appropriate supervisions for employees about handling of personal information.
5. The Company will implement a necessary and appropriate supervision for the entrusted company in the case of entrustment of handling of personal data.
6. The Company will accordingly review this privacy policy with a change of laws and regulations and continuously improve it.
7. The Company will endeavor to appropriately and promptly respond when there is a request for disclosure, correction, deletion, and discontinuation of use, regarding retained personal data.
8. The Company will endeavor to sincerely and promptly respond to inquiries, requests, and complaints, regarding handling of personal information.

<Handling of Personal Information>

1. The Purpose of Use of Personal Information

The Company will use the personal information to the extent necessary for the accomplishment of the following purposes.

- ① To implement the various policies in order to make a relation with shareholders smooth.
- ② For the reception and sending of request for information, and various kinds of provision of the information.
- ③ For the survey and analysis relating business activities of our group.
- ④ For communication with the related government and municipal offices, organizations, customers, etc.
- ⑤ For the anticrime measure and crisis management of the Company.
- ⑥ To correspond to the complaint and inquiry, etc.

- ⑦ To make a judgment regarding recruitment of the Company.
- ⑧ To use for contact concerning business operations.
- ⑨ For management and internal administration of the Company.

2. Appropriate Acquisition of Personal Information

The Company will acquire personal information from the following sources to the extent necessary for the business.

- ① The document directly filled by the person, such as questionnaire.
- ② The data directly entered by the person, such as online inquiries on the website.

Moreover, the Company will not obtain, use, or provide to any third parties any sensitive information (including, without limitation, information concerning any person's political position, personal beliefs (religion, philosophy, or creed), membership of any labor union, race or ethnic group, family origin, registered domicile, medical or health care record, sexual activities, or criminal record), except as permitted by laws and regulations.

3. Appropriate Management of Personal Information

The Company will appropriately manage with a necessary security measure so that leakage, loss, alteration, improper access or the like regarding personal information may not occur.

4. Provision of Personal Data to Third Parties

The Company will not disclose or provide to third parties any personal data of the person without their respective prior consent, except for when it is based on laws and regulations and when we may entrust personal data to the extent necessary for the accomplishment of the purpose of use, and when it is permitted by laws and regulations.

5. Entrustment of Handling of Personal Data

The Company may entrust all or a part of the business to the extent necessary for the accomplishment of the purposes of use and provide the necessary personal data in such cases below and so on. In the case of entrustment, the Company will supervise the entity entrusted by it with necessary and adequate care, including supervision of any entity entrusted by the entity entrusted by the Company.

- ① Printing and mailing operations of letters for shareholders.
- ② Business operations concerning operation and management of information systems.
- ③ Business operations concerning laws and accounts which need to offer high value added services, such as advisory.

6. Joint Use of Personal Data

The Company may use personal data jointly with its group companies within the following scope.

(1) Items of Personal Data Jointly Used

The customer's name, address, date of birth, contact information (such as telephone number or e-mail address), occupation, information regarding the customer such as customer's transaction needs, contents of transaction, information regarding the customer's transaction such as balance on deposit.

(2) Scope of Joint Users

The Company and its consolidated subsidiaries.

(3) Purposes of Joint Use

For management and internal administration of Daiwa Securities Group.

(4) Entity Responsible for Management of the Personal Data
Daiwa Securities Group Inc.

7. Disclosure, Correction, Deletion, Discontinuation of Use, Etc. of Personal Data

When the disclosure, correction, deletion, discontinuation of use or the like (“disclosure etc.”) regarding retained personal data are asked in a disclosure written request by the person himself/herself or his/her agent, the Company will respond in writing within a reasonable period and to a reasonable extent except for the case where, based on laws and regulations, disclosure etc. is not required, after confirming that it is a request from the person himself/herself.

8. Inquiry, Request, Complaint, Etc. About Handling of Personal Information

The Company will endeavor to sincerely and promptly respond to inquiries, requests, complaints, regarding handling of personal information.

About an inquiry about handling of personal information, please contact the following reception counter.

【Reception counter for an inquiry etc.】

Daiwa Securities Group Inc., Public Relation Department

Phone 03-5555-1199

Reception Hours 9:00am~5:00pm, weekdays