

Privacy Policy

Daiwa Securities Group Inc. (the "Company"; please refer to "Corporate Profile" on the Company's website for its address and the name of its representative) 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 important 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, and the Personal Information Protection Commission, 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.
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 etc.
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.

Furthermore, the Company will not obtain, use, nor provide any sensitive information (such as personal information need care, information concerning membership of the labor unions, family origin, registered domicile, health care, etc.) defined by the Guidelines on Personal Information Protection in the Financial Industry, excluding the case when it is permitted by laws and regulations.

3. Appropriate Management of Personal Information

The Company will strive to prevent leakage, loss, alteration, improper access or the like regarding personal information. At the same time, the Company will appropriately manage personal data by taking the following security measures. This includes measures to prevent the leakage or the like of personal information which it has acquired or intends to acquire and which it intends to handle as personal data.

Formulation of Basic Policies

The Company will formulate basic policies for Compliance with Relevant Laws and Regulations and Guidelines, Etc. and Reception Counter for an Inquiry and Complaints, etc. to ensure the appropriate handling of personal data.

Establishment of Rules Pertaining to the Handling of Personal Data

The Company will formulate regulations for the handling of personal data in regards to the handling method, the persons responsible or persons in charge, and their duties, etc. for each stage of acquisition, use, storage, provision, deletion, disposal or the like.

Organizational Security Measures

The Company will appoint a person responsible for the handling of personal data. Together with this, the Company will clarify the employees who handle personal data and the range of personal data handled by said employees. The Company will establish a structure to contact the person responsible if facts or signs are uncovered that laws and handling regulations have been violated.

Personal Security Measures

The Company will provide education and appropriate supervision to employees in relation to the handling of personal data.

Physical Security Measures

The Company will control the entry and exit of employees and restrict the equipment and other devices they bring into zones where personal data is handled. In addition to this, the Company will take measures to prevent unauthorized persons from viewing personal data.

Technical Security Measures

The Company will introduce a structure to protect the information systems that handle personal data from unauthorized access or software from outside.

Understanding of the External Environment

If personal data is stored in a foreign country, the Company will take security measures upon understanding the systems relating to the protection of personal information in that country.

4. Disclosure and 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. Disclosure and Provision of Personal data to Third Parties in Foreign Countries

The Company will not disclose or provide personal data to third parties in foreign countries without obtaining the prior consent of the person except if permitted by laws and regulations. If obtaining the consent of the person, the Company will provide the name of the said country, the systems relating to the protection of personal information in the said country, the measures taken by the said third party to protect personal information, and other information that should be referenced, etc.

If it is not possible to identify the said third party when obtaining consent, the Company will provide that fact, the specific reason and other information that should be referenced, etc. If it is possible to identify the third party to whom the personal data has been provided after the fact, the customer may ask the Company to provide information on the name of the said country, the systems relating to the protection of personal information in the said country and the measures taken by the said third party to protect personal information.

When the Company provides personal data to a party that has established a structure conforming to the standards stipulated in the rules of the Personal Information Protection Commission, it takes the measures necessary to ensure the continuous implementation of measures equivalent to the measures that should be taken by a personal information handling operator in regards to the handling of personal data. The customer may ask the Company to provide information on the said necessary measures.

6. 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.

7. 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.
Please refer to "Corporate Profile" on the Company's website for its address and the name of its representative

8. Disclosure, Correction, Deletion, Discontinuation of Use, Etc. of Retained Personal Data Etc.

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 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. The information subject to disclosure etc. includes records provided by third parties. In these cases, the Company may charge a prescribed fee.

9. 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. Customer Counseling Section

Phone 03-5555-2222

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