

# Guide to application procedure for disclosure of personal information etc.

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**Nikko Asset Management Co., Ltd.**

## **1. What types of application are acceptable?**

- (1) Our customers can make application for disclosure of the personal information on themselves in our database constructed in accordance with the Personal Information Protection Law (hereinafter referred to as the “Law”).
- (2) We accept four types of application, as follows (hereinafter, these four will be collectively referred to as “disclosure etc.”)
  - 1) Disclosure
  - 2) Revision, addition, deletion
  - 3) Discontinuation/elimination of use and suspension of provision to third parties
  - 4) Notification of the purpose of use
- (3) Of the four types noted above, please be informed that handling fees determined by Nikko AM will be charged for types 1) and 4).

## **2. What is the basic procedural flow?**

- (1) Please request an application form for personal information disclosure etc., by contacting the Customer Service Unit. In so doing, please state that you are making application in accordance with the Law.
- (2) Please fill out the application form for personal information disclosure etc., and post it to us (your identity will be verified by the prescribed method).
- (3) We shall examine the necessary items and prepare a written response in accordance with the Law.
- (4) It will take a certain amount of time to prepare this written response.
- (5) As a general rule, we shall post the written response by a method in which a delivery record is retained.

## **3. Who should I contact for the procedure?**

Nikko AM

Customer Service Unit: Tel 03-6447-6222

## **4. Where should I send the application form?**

Mailing address: Customer Service Unit (Personal Information)

Midtown Tower, 9-7-1 Akasaka, Minato-ku, Tokyo 107-6242

## **5. Do I have to submit documents for ID verification when applying?**

- (1) Customers who have transaction accounts for direct sales (hereinafter referred

to as “transaction accounts”)

We shall confirm that information on the application form for the prescribed items (account number, address, name, sex, telephone number, date of birth, and seal) agree with that registered on our data. In the process, we shall verify the identity of the applicant by means of documents enabling such verification, in accordance with the procedures stipulated in the Law for Prevention of Transfer of Criminal Proceeds. For this purpose, please submit the application form for personal information disclosure etc, and at least one of the following documents:

- Driver's license •Copy of certificate of residence \* •Seal certificate\*
- Health insurance card •Pension insurance handbook •Welfare booklet
- Certificate for items noted on the resident card\* •Moving-out certificate\*
- Alien registration certificate \* •Alien registration completion certificate\*

\*Please provide original copies issued no more than six months ago for the documents marked with an asterisk and copies of documents that are still valid for those not marked with an asterisk. If there is a notation of a change of address on the rear side of the driver's license, please provide a copy of the rear side as well. For the certificate of resident and other documents containing the seal impression of the issuing authority and the date of issuance, please provide transcripts of all pages up to and including that containing this information. Please make sure that indication of your address is not omitted from the copy of the health insurance card.

(2) Customers who have concluded investment advisory contracts with Nikko AM or beneficiaries who have applied for registration with Nikko AM

We shall confirm that information on the application form for the prescribed items (address, name, and seal) agree with that registered on our data. In the process, we shall verify the identity of the applicant by means of documents enabling such verification, in accordance with the procedures stipulated in the Law for Prevention of Transfer of Criminal Proceeds. For this purpose, please submit the application form for personal information disclosure etc., and at least one of the following documents:

- Driver's license •Copy of certificate of residence \* •Seal certificate\*
- Health insurance card •Pension insurance handbook •Welfare booklet
- Certificate for items noted on the resident card\* •Moving-out certificate\*
- Alien registration certificate \* •Alien registration completion certificate\*

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marked with an asterisk. If there is a notation of a change of address on the rear side of the driver's license, please provide a copy of the rear side as well. For the certificate of resident and other documents containing the seal impression of the issuing authority and the date of issuance, please provide transcripts of all pages up to and including that containing this information. Please make sure that indication of your address is not omitted from the copy of the health insurance certificate.

(3) Customers other than (1) and (2) above

Please enter your name, address, and information for other requisite items on the application form for personal information disclosure etc., impress the form with your registered seal, and submit a seal certificate issued no more than six months ago along with your form.

**6. Is there a handling fee?**

- (1) For applications for notification of purpose of use or for disclosure, there is a handling fee of JPY1,000 (tax-included) per response sheet.
- (2) We will mail the response sheet on a payment on delivery basis, so please pay the fee upon delivery of the response sheet.

**7. What kind of personal information can be disclosed?**

We disclose the following types of personal information on customers contained in our database constructed in accordance with the Law. Please note, however, that we may not disclose the requested information, in whole or in part, if we recognize the existence of conditions for non-disclosure stipulated in the Law. Even in this case, we will post a response sheet.

- (1) Information concerning customers (e.g., name, date of birth, sex, address, and telephone number, etc.)
- (2) Information concerning transactions between the customer and Nikko AM

It may not be necessary to file an application based on the Law for matters such as ordinary issuance of copies of transaction statements, balance statements, and customer account ledger.
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**8. Can personal information be revised, added, or deleted?**

We make revisions, additions, and deletions (hereinafter referred to as “revisions etc.”) for the customer’s personal information contained in our database constructed in accordance with the Law in response to their requests, if we determine that the said information is erroneous or no longer factual due to changes. In applying for

revisions etc., of personal information, the customer must note the errors, changes, actual facts, etc., for said information on the application form for personal information disclosure etc., and submit documentation corroborating these assertions. Please note, however, that we may not make the requested revisions etc., in whole or in part, if the conditions stipulated in the Law are met. Even in this case, we will post a response sheet.

It may not be necessary to file an application based on the Law for ordinary changes in items such as name, address, and telephone number.

**9. Is it possible to discontinue or eliminate the use of personal information and/or suspend its provision to third parties?**

Customers may request the discontinuation or elimination of use of their personal information contained on our database constructed in accordance with the Law if the use exceeds the scope required for attainment of the purpose or the said information was acquired by improper means. They also may request the suspension of provision to third parties if the said provision does not meet the prescribed conditions. If it is clear that there is sufficient reason for the request, we will discontinue or eliminate the use or suspend the provision to third parties (hereinafter referred to as “use discontinuation etc.”). In filing an application to this effect, the customer must fill out the specific problem with the current handling on the application form for personal information disclosure etc. Please note, however, that we may not make the requested use discontinuation etc., in whole or in part, if the conditions stipulated in the Law are met. Even in this case, we will post a response sheet.

If a customer requests the cancellation of direct marketing, we will cease to use or provide information thereafter irrespective of the reason. Please contact the phone number listed in section 3 above.

**10. How are responses made?**

(1) We shall send the written response in the form prescribed by Nikko AM to the registered address in the case of customers who have a transaction account and to the address confirmed in the process of

identity verification in the case of customers who do not have a transaction account. In each case, we shall post the response by a method in which a delivery record is retained.

- (2) As a general rule, only one written response sheet will be sent to the applicant.
- (3) It will take a certain amount of time from receipt of the application to sending the written response.
- (4) Please direct any inquiries about the information on the response sheet to the Customer Service Unit.

#### **11. Can application be made by proxy?**

Customers may apply through a legal proxy or a voluntary proxy acting on their behalf.

- (1) In the event of applying through a proxy, we shall verify the identity of the proxy in accordance with the procedures stipulated in the Law for Prevention of Transfer of Criminal Proceeds. We also request the proxy to impress the application form with his or her registered seal and append a copy of the seal certificate.
- (2) A legal proxy must also submit a transcript of the family register or other document corroborating the existence of a certain relationship with the customer prescribed by the provisions of relevant laws and regulations.
- (3) A voluntary proxy must impress the letter of proxy prescribed by Nikko AM with the registered seals of both the customer and the proxy, and append a copy of the seal certificate. (However, if the customer or the proxy has a transaction account, the letter of proxy must be impressed with the seal registered with Nikko AM).
- (4) We shall post the written response by a method in which a delivery record is retained. If a legal proxy so requests, we shall post the written response by a method in which a delivery record is retained to the address of the proxy.

\* A legal proxy is a proxy who has been defined as such by law or regulation.

\* A voluntary proxy is any proxy other than a legal proxy.

#### **12. Can I be informed of the purpose of use of personal information?**

Customers may request notification of the purpose of use of personal information on themselves contained in our database constructed in accordance with the Law.

Our website displays our Basic Policy on the Protection of Personal Information, setting forth items such as the purpose of use of such information in our company.