

Detailed Rules for Trading Participant Enforcement

(As of January 1, 2023)

Tokyo Commodity Exchange, Inc.

Rule 1 (Purpose)

1. These Rules shall, based on the provisions of Rule 3, Paragraph 8 of the Market Rules, prescribe matters necessary for Trading Participants.

Rule 2 (Application Forms and Notifications)

1. The application forms and notifications to be submitted to the Exchange pursuant to the Market Rules shall be made in the format specified in the appended table.
2. One copy of each application form and notification shall be submitted to the Exchange; provided, however, that for documents prescribed in Rule 4, Paragraph 1, Item 6. b. and d., Item 7. b. and d. of the same paragraph, and Item 8. a. and c. of the same paragraph, three copies of each document shall be submitted.

Rule 3 (Application for Acquisition of Trading Qualification)

1. The application prescribed in Rule 108, Paragraph 1 of the Market Rules shall be made through the "Trading Qualification Application Form".
2. A general corporation prescribed in Rule 108, Paragraph 2, Item 2 of the Market Rules shall be a corporation that does not fall under special corporations pursuant to the following paragraph.
3. A special corporation prescribed in Rule 108, Paragraph 2, Item 3 of the Market Rules shall be a Commodity Derivatives Business Operator prescribed in Rule 104, Paragraph 1, Item 2 of the Market Rules, a Foreign Commodity Derivatives Business Operator prescribed in Item 3 of the same paragraph, a bank prescribed in Rule 104, Paragraph 1, Item 5.A, a type I Financial Instruments Business Operator prescribed in Rule 104, Paragraph 1, Item 5.B, an oil refiner prescribed in Article 2, Paragraph 5 of the Oil Stockpiling Act (Act No. 96 of 1975), an oil importer prescribed in Paragraph 8 of the same article, an electricity retailer prescribed in Article 2, Paragraph 1, Item 3 of the Electricity Business Act (Act No. 170 of 1964), a general electricity transmission and distribution utility prescribed in Item 9 of the same paragraph, an electricity transmission utility prescribed in Item 11 of the same article, a specified electricity transmission and distribution utility prescribed in Item 13 of the same article and a stock

company that issue stocks listed on a financial instruments exchange prescribed in Article 2, Paragraph 16 of the Financial Instruments and Exchange Act (Act No. 25 of 1948).

Rule 4 (Attached Documents)

1. The documents prescribed in each item of Rule 108, Paragraph 2 of the Market Rules shall be those referred to in each of the following.
 - (1) A “Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 1 of the Market Rules”, and the documents certifying that the applicant meets said requirements are a track record table (for the last three business years as a general rule) of trades (or other similar acts) concerning products prescribed in the same item and copies of the agreements for said trades (or other similar acts); provided, however, that in cases where satisfying said requirements can be confirmed by an annual securities report prescribed in Article 24, Paragraph 1 of the Financial Instruments and Exchange Act, annual securities reports shall be considered as documents certifying that said requirements are satisfied.
 - (2) A “Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 2 of the Market Rules”, and the document certifying that the applicant meets said requirements is a copy of the certificate of license based on Article 190, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950; hereinafter referred to as the “Act”).
 - (3) A “Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 3 of the Market Rules”, and the document certifying that the applicant meets said requirements is a copy of a document certifying that the same type of license is granted in a foreign country pursuant to the provisions of laws and regulations of said foreign country which is equivalent to a license granted pursuant to Article 190, Paragraph 1 of the Act.
 - (4) A “Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104 Paragraph 1, Item 4 of the Market Rules”, and the document certifying that the applicant meets said requirements is a copy of a register prescribed in Article 349, Paragraph 2 of the Act, among other things.
 - (5) A “Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 5 of the Market Rules”, and the document certifying that the applicant meets said requirements is a copy of an official qualification certification (or a similar document) in case of the requirements pursuant to A. through K. of the same item, or a document certifying the trade under the proprietary account (or a similar document) in case of the requirements pursuant to L. of the same item.
 - (6) In cases where an applicant is a general corporation, attached documents shall be as follows.
 - a. A copy of the articles of incorporation and the commercial registry;
 - b. A “Notice of Head Office’s Address” stating the place of main office or primary office;
 - c. A document stating the names of the officers and copies of the “Curriculum Vitae” of said officers, and copies of the residence certificates of said officers (or, if the relevant officer is a foreign national residing in Japan, a copy of a special permanent resident certificate, a copy of a registration card, or a certificate of

the registered matters of said officer) or substitutes thereof (hereinafter collectively referred to as “residence certificates”);

- d. A “Written Pledge That the Applicant Does Not Fall Under Disqualifying Conditions” stating that the relevant corporation does not fall under the provisions of any Items 1 through 14 of Rule 107, Paragraph 1 of the Market Rules;
 - e. A “Written Pledge That the Applicant Does Not Fall Under Disqualifying Conditions” stating that the relevant officer does not fall under the provisions of any Items 1 through 14 of Rule 107, Paragraph 1 of the Market Rules;
 - f. As a general rule, financial statements, etc. (balance sheets, profit and loss statements, statements of changes in shareholders' equity, etc., tables of explanatory notes on unconsolidated financial statements, business reports and annexed detailed statements accompanying them) prepared in accordance with the Companies Act (Act No. 86 of 2005), annual securities reports, or documents equivalent thereto for the past three business years;
- (7) In cases where an applicant is a special corporation, attached documents shall be as follows.
- a. A copy of the articles of incorporation and the commercial registry;
 - b. A “Notice of Head Office’s Address” stating the place of main office or primary office;
 - c. A document stating the names of officers;
 - d. A “Written Pledge That the Applicant Does Not Fall Under Disqualifying Conditions” stating that the relevant corporation does not fall under the provisions of any Items 1 through 14 of Rule 107, Paragraph 1 of the Market Rules;
 - e. As a general rule, financial statements, etc. (balance sheets, profit and loss statements, statements of changes in shareholders' equity, etc., tables of explanatory notes on unconsolidated financial statements, business reports and annexed detailed statements accompanying them) prepared in accordance with the Companies Act, annual securities reports, or documents equivalent thereto for the past three business years.
- (8) In cases where an applicant is an individual, attached documents shall be as follows.
- a. A “Notice of Head Office’s Address” stating the place of main office or primary office;
 - b. A copy of the Curriculum Vitae and residence certificate of the relevant person (including those of their statutory representative in cases where said person has a statutory representative);
 - c. A “Written Pledge That the Applicant Does Not Fall Under Disqualifying Conditions” stating that the relevant person does not fall under the provisions of any of Items 1 through 11, Item 13 or Item 14 of Rule 107, Paragraph 1 of the Market Rules;
 - d. As a general rule, balance sheets and profit and loss statements for the latest three business years, among other things.

- (9) In cases an applicant is a member or trading participant of other commodity exchanges or Osaka Exchange, Inc. (OSE), attached documents shall be documents stating the name of the relevant exchange and the date of obtaining the trading qualification or becoming a trading participant.
- (10) Other documents deemed necessary by the Exchange shall be as follows; provided, however, that in cases where an applicant does not conduct direct transactions on the Exchange markets, they shall be documents specified in a. through d., j. and k.
- a. A "Written Confirmation That the Applicant Has No Relationship With Anti-social Forces";
 - b. A document describing the outline of the corporation;
 - c. A copy of a financial audit report prepared by the financial auditor pursuant to Article 396, Paragraph 1 of the Companies Act, an audit report prepared by the company auditor pursuant to Article 381, Paragraph 1 of the same act, an audit report prepared by the board of company auditors pursuant to Article 390, Paragraph 2 of the same act, or an audit report prepared by the independent auditor pursuant to Article 193-2, Paragraph 1 of the Financial Instruments and Exchange Act (or a document equivalent thereto in case of a foreign corporation);
 - d. Organizational structure of the company and that of the department involved in execution and administration of the commodity futures trading business;
 - e. A copy of management rules pertaining to trading on the Exchange markets or document stating the management method equivalent thereto;
 - f. A copy of rules relating to operation of the system related to trading on the Exchange markets (including management methods at the time of an abnormal situation), a document describing the outline of the system and a layout diagram of the location of terminals and other equipment;
 - g. A document stating the management method and a document showing the format of system-generated documents of the order history record in the Exchange markets;
 - h. Copies of internal rules related to internal audits, audit implementation plans, implementation status, and inspection results notifications related to external inspections, etc. (limited to Broker Trading Participants and Remote Broker Trading Participants);
 - i. A copy of rules pertaining to customers and customer management (such as trades and margin), documents stating the management method, the management diagram for collecting margin, and the form based on the operational standards in the Brokerage Rules or documents equivalent thereto (limited to Broker Trading Participants and Remote Broker Trading Participants);
 - j. In case of an applicant who does not conduct direct transactions on the Exchange markets, a pledge that said applicant will submit documents pursuant to e. to i. when it conducts direct transactions on the Exchange markets;
 - k. Other documents instructed by the Exchange on a case-by-case basis when the Exchange deems necessary.

Rule 5 (Procedure for Acquisition of Trading Qualification)

The procedure for acquisition of trading qualification prescribed in Rule 110, Paragraph 1, Item 4 of the Market Rules shall be the procedure that is instructed as deemed necessary by the Exchange.

Rule 5-2 (Appropriate Business Management System)

1. The appropriate management systems prescribed in Rule 113, Paragraph 2 of the Market Rules shall be those related to acceptance and execution of orders, settlement by physical delivery, risk management of losses, as well as compliance with laws and related rules and regulations (hereinafter referred to as "laws and regulations"), dispositions by the administrative authorities under the laws and regulations, the Exchange's rules including the Articles of Incorporation, Market Rules, and Brokerage Rules, and the Just and Equitable Principles of Trade.

Rule 5-3 (Application to Start Trading in the Exchange Markets)

1. An application as prescribed in Rule 113, Paragraph 3 of the Market Rules shall be made through an "Application to Start Trading" and the attached documents deemed necessary by the Exchange shall be as follows.
 - (1) Documents specified in e. through g. of Rule 4, Item 10
 - (2) Documents specified in h. and i. of Rule 4, Item 10 (limited to Broker Trading Participants and Remote Broker Trading Participants).

Rule 5-4 (Conditions for Broker Trading Participants Intending to Start Trading on the Exchange Markets)

1. Conditions prescribed in Rule 113, Paragraph 4 of the Market Rules shall be that the net assets regulation ratio (meaning the net assets regulation ratio prescribed in Article 211, Paragraph 1 of the Act; the same shall apply hereinafter) is more than 200% and the amount of net assets is JPY 500 million or more.

Rule 6 (Notification for Obtaining Additional Trading Qualification)

1. The notification prescribed in Rule 114, Paragraph 1 of the Market Rules shall be made through the "Additional Trading Qualification Notification Form".
2. The provisions of Rule 4, Paragraph 1, Item 1 shall be applied mutatis mutandis to the written pledge that applicant satisfies the requirements prescribed in Rule 104, Paragraph 1, Item 1 of Market Rules and the document certifying that the Trading Participant will satisfy said the requirements as prescribed in Rule 114, Paragraph 2 of the same rule.

Rule 6-2 (Procedure for Adding Trading Qualification)

1. The procedure for acquisition of trading qualification as prescribed in Rule 114-2, Paragraph 1, Item 3 shall be the procedure that is instructed as deemed necessary by the Exchange.

Rule 7 (Application for Change in Category of Trading Participant)

1. The application prescribed in Rule 115, Paragraph 1 of the Market Rules shall be made through the “Application Form to Change the Trading Participant Type”, and the attached documents deemed necessary by the Exchange shall be as specified in each of the following.
 - (1) In case of changes in trading qualification specified in Rule 104 of the Market Rules, any of the documents referred to in Items 4 through 5 of the Rule 4
 - (2) In case of changes to a Broker Trading Participant or Remote Broker Trading Participant, documents specified in Item 10, h. and i. of Rule 4.

Rule 8 (Notice of Waiver of Trading Qualification)

1. The notice prescribed in Rule 116, Paragraph 2 of the Market Rules shall be made through the “Notice of Waiver of Trading Qualification”, attaching a position report.

Rule 9 (Change in Notice of Trading Qualification Waiver)

1. The notice prescribed in Rule 116, Paragraph 3 of the Market Rules shall be made as specified in each item of the following.
 - (1) In case of canceling the notice of waiver of trading qualification, the “Notice to Cancel the Waiver of Trading Qualification”
 - (2) In case of postponing the expected date of waiver of trading qualification, the “Notice to Postpone the Waiver of Trading Qualification”, attaching a position report.

Rule 10 (Procedure for Waiver of Trading Qualification)

1. The procedure prescribed in Rule 120 of the Market Rules shall be as specified in each item of the following.
 - (1) In case of waiving the whole trading qualification and where items have been borrowed from the Exchange, returning said borrowed items to the Exchange
 - (2) Other procedures instructed by the Exchange

Rule 11 (Succession to Trading Participant Status)

1. The notification as prescribed in Rule 127, Paragraph 1 of the Market Rules shall be made through the “Notice of Succession to the Trading Qualification of a Deceased Trading Participant”, attaching a document certifying that the successor is an heir.
2. The documents to be attached to an application for acquisition of trading qualification by a successor pursuant to the provisions of Rule 114, Paragraph 1 of the Market Rules as prescribed in Paragraphs 4 and 5 of Rule 127 of the Market Rules, notice for obtaining additional trading qualification pursuant to the provisions of Rule 114, Paragraph 1 of the Market Rules, or application for a change to the category of Trading Participant pursuant to the provisions of Rule 115, Paragraph 1 of the Market Rules shall be those referred to in Item 6, b. and d., Item 7, b.

and d, Item 8 a. and c. of Rule 4, Paragraph 1, and documents instructed by the Exchange on a case-by-case basis when the Exchange deems necessary

Rule 12 (Trading Participant Agreement)

1. The Trading Participant Agreement prescribed in Rule 128 of the Market Rules shall be concluded using the "Trading Participant Agreement" that is specified by the Exchange for each of Market Trading Participants, Broker Trading Participants, Remote Market Trading Participants and Remote Broker Trading Participants.

Rule 13 (Trading Participant Representative)

1. The notification as prescribed in Paragraphs 1 and 2 of Rule 129 of the Market Rules shall be made by attaching a document pertaining to the Trading Participant Representative to the "Trading Qualification Application Form".
2. The notification as prescribed in Rule 129, Paragraph 3 of the Market Rules shall be made through the "Notice of Change in Trading Participant Representative", attaching a certificate of registered information (certificate of historical information) on which the change in Trading Participant Representative has been registered or a document equivalent thereto.
3. The notification as prescribed in Rule 129, Paragraph 4 of the Market Rules shall be made by attaching a scope of operations table to the "Notification of Appointment/Dismissal of Deputy for Day to Day Operations".
4. The notification pertaining to change of a person acting on behalf of the Trading Participant Representative and their scope of operations as prescribed in Rule 129, Paragraph 4 of the Market Rules shall be made through the "Notification of Change of Title/Seal/Scope of Business of Deputy for Day to Day Operations".

Rule 13-2 (Person Responsible for Compliance with Laws and Regulations)

1. The application as prescribed in Rule 129-2 of the Market Rules shall be made through the "Application for Approval of Person Responsible for Compliance with Laws and Regulations".

Rule 14 (Contact Agent)

1. The notification pertaining to an agent as prescribed in Rule 130, Paragraph 1 of the Market Rules shall be made by attaching the documents specified in each item of the following to the "Notice of Contact Agent".
 - (1) "Written Pledge (Contact Agent)", "Notice of Contact Details of Contact Agent" and a copy of the service agreement with said agent
 - (2) In cases where there is a plan to appoint a designated clearing participant as an agent and said designated clearing participant is not a Trading Participant, attached documents shall be the certificate of registered information (certificate of historical information) and the articles of incorporation;
 - (3) In cases where the representative in Japan is appointed as an agent, attached documents shall be the certificate of registered information (certificate of information about representatives) of said representative in Japan.

2. The notification pertaining to changes to an agent as prescribed in Rule 130, Paragraph 1 of the Market Rules shall be made by attaching documents specified in each item of the preceding paragraph to the "Notice of Changes (Contact Agent)".

Rule 15 (Substitution by Securities)

1. The substituting price of Substitute Securities prescribed in Rule 136, Paragraph 3 of the Market Rules shall be the amount based on the handling procedure for operation of Substitute Securities that takes effect by approval of the Representative Director, President.

Rule 15-2 (Exemption From Obligation to Obtain Approval for Mergers, etc.)

1. The actions specified in Rule 140-2, Paragraph 1, Item 1 of the Market Rules shall be those where a Trading Participant merges with another Trading Participant and said Trading Participant becomes the surviving company and those where the total of a) the amount calculated by multiplying the number of shares to be delivered at the time of merger by the net asset amount per share and b) the book value of other properties such as bonds to be delivered at the time of merger will be one twentieth or less of the amount of the net assets of the Trading Participant who will be the surviving company after the merger.
2. The actions specified in Rule 140-2, Paragraph 1, Item 2 of the Market Rules shall be those where the total of the book value of the assets that are passed on to another legal entity due to a company split will be one twentieth or less of the amount of net assets of the Trading Participant who implements the company split.
3. The actions specified in Rule 140-2, Paragraph 1, Item 3 shall be those where (i) a Trading Participant succeeds a whole business from another legal entity as a result of a company split, (ii) the total of a) the amount obtained by multiplying the number of shares delivered due to a company split by the net asset value per share and b) the book value of other properties such as corporate bonds that are delivered due to the succession of business will be one twentieth or less of the net assets of the Trading Participant that succeeds the business due to the company split; and (iii) a Trading Participant succeeds whole or part of a business from a wholly owned subsidiary due to a company split.
4. The actions specified in Rule 140-2, Paragraph 1, Item 4 of the Market Rules shall be those where the book value of assets that will be transferred to another entity will be one twentieth or less of the total assets of the Trading Participant that transfers said assets; and
5. The actions specified in Rule 140-2, Paragraph 1, Item 5 of the Market Rules shall be those where (i) a Trading Participant acquires a whole business from another Trading Participant, (ii) the total book value of property to be delivered as consideration for a business that is acquired from another entity will be one twentieth or less of the net assets of the Trading Participant that acquires said business, and (iii) a Trading Participant acquires whole or part of a business from a wholly owned subsidiary.

Rule 15-3 (Notification Regarding Merger, etc.)

1. A Trading Participant shall give a notification pursuant to Rule 140-2, Paragraph 2 of the Market Rules to the Exchange concerning the matters specified in each of the following items and other matters deemed necessary by the Exchange in accordance with the classification of actions referred to in said item no later than, as a general rule, the day two weeks before the day of the general shareholders meeting (or equivalent thereof for an entity other than a stock company; the same shall apply hereinafter in this rule) at which said action is proposed for approval if the approval is to be made via a resolution at a general shareholders meeting, or, as a general rule, no later than the day two weeks before the day of the decision by a decision-making body such as the board of directors if the approval is to be made via means other than a resolution at a general shareholders meeting.
 - (1) Merger referred to in Rule 14, Paragraph 1, Item (1) of the Regulations:
 - (a) Composition of shareholders as well as those of board members, executive officers and/or auditors (hereinafter referred to as "officers") after the merger; and
 - (b) Outline of the legal entity that is the counterparty of the merger (including the financial condition of said legal entity);
 - (2) Passing on part of the business to another legal entity as a result of a company split referred to in Rule 140-2, Paragraph 1, Item 2 of the Market Rules or transfer of part of the business referred to in Item 4 of the same paragraph:
 - (a) Composition of officers, organizational structure, and estimated business pertaining to market derivatives transactions in the Exchange markets after the company split or the business transfer; and
 - (b) Summary of the business pertaining to the company split or the business transfer (including amounts of assets and liabilities pertaining thereto);
 - (3) Succession of the whole or part of the business from another legal entity as a result of the company split referred to in Rule 140-2, Paragraph 1, Item 3 of the Market Rules or acquisition of the whole or part of the business referred to in Item (5) of the same paragraph:
 - (a) Composition of officers after the company split or the business acquisition; and
 - (b) Summary of the business pertaining to the company split or the business acquisition (including amounts of assets and liabilities pertaining thereto).

Rule 15-4 (Application for Approval of Merger, etc.)

1. An application pursuant to Rule 140-2, Paragraph 2 of the Regulations shall be made by submitting to OSE a predetermined approval application form stating the matters referred to in the following items:
 - (1) Trade name or corporate name (including the English trade name or corporate name);
 - (2) Name of representative;
 - (3) Trade name or corporate name of counterparty involved in the action pertaining to said application (hereinafter referred to as the "corporate restructuring");
 - (4) Effective date of the corporate restructuring; and
 - (5) Reason for the corporate restructuring.

2. Documents referred to in the following items shall be attached to the approval application form pursuant to the preceding paragraph:

- (1) Documents describing the details of the corporate restructuring agreement;
- (2) A copy of minutes of the board of directors' meeting pertaining to the corporate restructuring (including a document proving that a decision was made by directors for a company with supervisory committee, a document proving that a decision was made by executive officers for a company with three committees (nomination, audit and remuneration), or an equivalent document for an entity other than a stock company);
- (3) Financial statements and business reports of the counterparty to the corporate restructuring (meaning financial statements and business reports prescribed in Article 438, Paragraph 1 of the Companies Act, or their equivalents for an entity other than a stock company);
- (4) A document stating an estimated amount of capital, total amount of capital contribution or the amount of net assets, and the net assets regulation ratio (or an equivalent document for Registered Financial Institutions);
- (5) A document describing the procedures of the corporate restructuring;
- (6) A "Written Confirmation That the Applicant has No Relationship With Anti-social Forces" as predetermined by the Exchange; and
- (7) Other documents deemed necessary by the Exchange.

Rule 16 (Matters to Be Notified)

1. The notifications pursuant to each item of Rule 141, Paragraph 1 of the Market Rules shall be as specified in each item of the following.
 - (1) Where a Trading Participant no longer satisfies the Trading Participant qualifications prescribed in Rule 141, Paragraph 1, Item 1 of the Market Rules, a document certifying said situation shall be attached to the "Notice of Disqualification".
 - (2) Where a Trading Participant has fallen under the disqualifying conditions prescribed in Rule 141, Paragraph 1, Item 1 of the Market Rules, a document certifying said situation shall be attached to the "Notice of Disqualifying Conditions".
 - (3) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 2 or Item 2-2 of the Market Rules, the report about insolvency (or likely insolvency) shall be submitted.
 - (4) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 3 of the Market Rules, a document certifying that the Trading Participant has been suspended from a business transaction with a bank shall be attached to the "Notice of Suspension of Transaction with Banks".
 - (5) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 4 of the Market Rules, a certificate of registered information shall be attached to the "Notice of Name Change".
 - (6) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 5 of the Market Rules, a certificate of registered information (for a Remote Market Trading Participant or Remote Broker Trading Participant, a

certificate of registered information or equivalent document thereto) shall be attached to the “Notice of Change in the Name or Address of the Head Office”.

- (7) Where the articles of incorporation prescribed in Rule 141, Paragraph 1, Item 6 of the Market Rules have been changed, a copy of the articles of incorporation after the changes and a table for comparison of new and old rules shall be attached to the “Notice of Changes in Articles of Incorporation”.
- (8) Where there has been a change in the name of an officer prescribed in Rule 141, Paragraph 1, Item 6 of the Market Rules, a certificate of registered information shall be attached to the “Notice of Change of Executive Officers”.
- (9) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 7 of the Market Rules, a copy of the bill of complaint or court decision shall be attached to the “Notice of Litigation”.
- (10) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 8 of the Market Rules, a copy of the court order of attachment, a provisional disposition or preservative measures shall be attached to the “Notice of Being Subject to Attachment, etc. by a Court Order”.
- (11) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 9 of the Market Rules, a copy of the written indictment shall be attached to the “Notice of Being Under Indictment”.
- (12) Where a Trading Participant becomes a member or trading participant of another commodity exchange or Osaka Exchange as prescribed in Rule 141, Paragraph 1, Item 10 of the Market Rules, a copy of the membership or trading participant certificate, etc. shall be attached to the “Notice of Obtaining Other Exchange’s Membership”.
- (13) Where a Trading Participant stops being a member or trading participant of another commodity exchange or Osaka Exchange as prescribed in Rule 141, Paragraph 1, Item 10 of the Market Rules, a “Notice on Loss of Other Exchange’s Membership” shall be submitted.
- (14) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 11, a copy of an approval notice from Japan Securities Clearing Corporation (JSCC) or an application form for obtaining a clearing qualification, or a copy of a waiver notice from JSCC or an application of waiver for waiving a clearing qualification shall be attached to the “Notice of Obtaining etc. of Clearing Qualification”.
- (15) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 12 of the Market Rules, a copy of the agreement pertaining to the merger, company split, transfer of business, passing on business or acquisition of business due to the company split, or a document stating its details shall be attached to the “Notice of Merger, etc.”
- (16) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 14 of the Market Rules, a “Notice of Insolvency” shall be submitted.
- (17) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 15 of the Market Rules, a “Notification of Matters Related to Holiday Trading” shall be submitted.
- (18) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 16 or 17 of the Market Rules, a “Report on Regulatory Dispositions or Punishment” shall be submitted.

- (19) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 18 of the Market Rules, a “Report on Act in Violation of Laws and Regulations or Various Rules” shall be submitted.
 - (20) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 19 of the Market Rules, a “Report on Formulation/Change of Details and Method of Operations” shall be submitted.
 - (21) Where a Trading Participant has fallen under Rule 141, Paragraph 1, Item 20 of the Market Rules, a “Computer System Failure Report” shall be submitted.
2. The notifications as prescribed in Items 1 through 4 of Rule 141, Paragraph 2 of the Market Rules shall be made as specified in each item of the following.
 - (1) Where a Trading Participant has fallen under Rule 141, Paragraph 2, Item 1 of the Market Rules, a copy of the notification to the National Futures Protection Fund shall be attached to the “Notice of the Notification to the National Futures Protection Fund”.
 - (2) Where a Trading Participant has fallen under Rule 141, Paragraph 2, Item 2 of the Market Rules, a copy of the written permission shall be attached to the “Notice of Permission from the Regulating Minister for Merger, etc.”
 - (3) Where a Trading Participant has fallen under Rule 141, Paragraph 2, Item 3 of the Market Rules, a copy of the documents that certify the decision of abolishment has been made shall be attached to the “Notice of Abolishment of the Business at All the Sales Offices”.
 - (4) Where a Trading Participant has fallen under Rule 141, Paragraph 2, Item 4 of the Market Rules, a copy of the documents that certify the decision of abolishment has been made shall be attached to the “Notice of Abolishment of the Business at All the Sales Offices”.
 3. A notice as prescribed in Rule 141, Paragraph 2, Item 5 of the Market Rules shall be made in cases as specified in each item of the following, and shall be made by attaching an application, notice, report or notification of disposition pursuant to each item and attached documents thereto to the notice separately specified by the Exchange.
 - (1) Where a Trading Participant has submitted an application based on Article 192, Paragraph 1 of the Act pertaining to Article 190 of the Act;
 - (2) Where a Trading Participant has submitted a notification pursuant to Article 195, Paragraph 1 of the Act;
 - (3) Where a Trading Participant has submitted a notification pursuant to Paragraphs 1 and 2 of Article 196 of the Act;
 - (4) Where a Trading Participant has made a notification pursuant to Paragraphs 1 and 4 of Article 197 of the Act;
 - (5) Where a Trading Participant has made a notification pursuant to Article 211, Paragraph 1 of the Act;
 - (6) Where a Trading Participant has submitted a written report pursuant to Article 224 of the Act;
 - (7) Where a Trading Participant has received a disposition pursuant to Articles 232, 235 and 236 of the Act.
 4. A notice pursuant to Rule 141, Paragraph 3 of the Market Rules shall be made through the “Notice of Non-Compliance with Financial Standards”.
 5. A notice pursuant to Rule 141, Paragraph 1 of the Market Rules shall be made as specified in each item of the following.

- (1) In cases where a Trading Participant has fallen under Rule 141, Paragraph 4, Item 1 of the Market Rules, a copy of the written decision to commence bankruptcy proceedings or the notification of commencement of bankruptcy proceedings shall be attached to the "Notice of Commencement of Bankruptcy Proceedings, etc."
 - (2) In cases where a Trading Participant has fallen under Rule 141, Paragraph 4, Item 2 of the Market Rules, a document certifying that said Trading Participant has dissolved shall be attached to the "Notice of Dissolution Procedures".
 - (3) In cases where a Trading Participant has fallen under Rule 141, Paragraph 4, Item 3 of the Market Rules, a document certifying that said individual Trading Participant has died shall be attached to the "Notice of Death".
 - (4) In cases where a Trading Participant has fallen under Rule 141, Paragraph 4, Item 3 of the Market Rules, a document certifying that an individual Trading Participant has been designated as an adult ward shall be attached to the "Notice of Adult Ward".
6. A notice made by a Broker Trading Participant pursuant to Items 5 through 9 of Paragraph 1, Paragraph 2, Item 3 and Items 1 and 2 of Paragraph 5 shall be deemed to have been made through the notice made pursuant to Item 4 or Item 6.
 7. A notice pursuant to Paragraph 1 or 2 of Rule 94 of the Market Rules shall be made by attaching a document certifying the disciplinary actions to the "Notice of Disciplinary Actions (Electricity)".

Rule 17 (Separate Accounting and Retention of Books of Remote Broker Trading Participants)

1. The books prepared by a Remote Broker Trading Participant as prescribed in Rule 145, Paragraph 2 of the Market Rules shall be equivalent to the books prescribed in Article 113, Paragraph 1, Item 2 of the Regulation for Enforcement of the Commodity Derivatives Transaction Act (Order of the Ministry of Agriculture, Forestry and Fisheries and the Ministry of Economy, Trade and Industry No. 3 of 2005).

Rule 17-2 (Risk Management Regarding Positions)

1. A Trading Participant who conducts trades on the Exchange markets shall implement the matters referred to in each item of the following as risk management regarding positions as prescribed in Rule 149-5 of the Market Rules.
 - (1) Establishment of internal rules specifying the matters regarding position management
 - (2) Management deemed appropriate to prevent customers (including overseas customers; the same shall apply in this item) (for a Trading Participant's proprietary trading, said Trading Participant) holding excessive positions in light of the customer's financial resources, characteristics, traded products, type and size of trades, and other matters concerning the customer (for proprietary trading of a Trading Participant, said Trading Participant's financial resources, type and size of trades, and other matters concerning said Trading Participant).

Rule 17-3 (Other Management System Required by the Exchange)

1. The other management system required by the Exchange as prescribed in Rule 149-5 of the Market Rules shall be the management system regarding low latency trading (meaning the trading which meets the requirements

separately specified by the Exchange), and Trading Participants shall implement the matters referred to in each item of the following.

- (1) Management of electronic data processing systems regarding low latency trading
- (2) In cases of accepting orders from a Customer, etc. who conducts low latency trading, confirmation that electronic data processing systems are sufficiently managed at said Customer, etc.

Rule 18 (Appointment or Change of Designated Clearing Participant)

1. An application prescribed in Rule 150, Paragraph 2 of the Market Rules shall be made by attaching a copy of the clearing agreement to the "Application for Designation of Designated Clearing Participant". An approval of appointment of designated clearing participant in case of application for obtaining trading qualification as prescribed in Rule 108, Paragraph 1 of the Market Rules or application for change in the category of Trading Participant as prescribed in Rule 115, Paragraph 1 of the Market Rules shall be deemed to be made by the approval pursuant to Rule 109, Paragraph 1 or Rule 115, Paragraph 2 of the Market Rules.
2. An application for changing a designated clearing participant shall be made by attaching a copy of the clearing agreement to the "Application for Approval of Change of Designated Clearing Participant".

Rule 19 (Notification of Conclusion of Clearing Agreement)

1. A notification pertaining to a conclusion of a clearing agreement by a non-clearing participant as prescribed in Rule 151 of the Market Rules shall be made by attaching a copy of the clearing agreement to be concluded to the "Notice of Conclusion of Clearing Agreement". The notification in case of application for obtaining a trading qualification as prescribed in Rule 108 of the Market Rules or application for change in the category of Trading Participant as prescribed in Rule 115 of the Market Rules shall be deemed to be made by the application pursuant to Paragraph 1 of the preceding Rule.

Rule 20 (Report on Termination of Clearing Agreement)

1. A report pertaining to a termination of clearing agreement by a non-clearing participant shall be made through the "Notice of Cancellation of Clearing Agreement".

Rule 20-2 (Application for Lifting Suspension or Restriction of Transactions)

1. An application for lifting suspension or restriction of transactions as prescribed in Rule 159, Paragraph 2 of the Market Rules shall be made through the "Application for Approval of Lifting of Measures of Suspension, etc. from Trading, etc."

Rule 21 (Criteria for Examination for Trading Qualification)

1. Examination for trading qualification for applicants acquiring a trading qualification pursuant to the provisions of Rule 109 of the Market Rules and for applicants changing their category of Trading Participant pursuant to the provisions

of Rule 115, Paragraph 2 of the Market Rules shall be conducted with the criteria referred to in each item of the following; provided, however, that in cases where an applicant does not conduct direct transactions on the Exchange markets, examination shall be conducted with the criteria referred to in Items 1 through 5.

- (1) That the applicant is an entity that falls under any of the items of Rule 104 of the Market Rules
 - (2) That the applicant is an entity that does not fall under any item of Rule 107 of the Market Rules
 - (3) That the applicant has established or plans to establish an appropriate business management system for trades in the commodity market (in case where an applicant conducts direct transactions, that it will establish business management systems prescribed in Rule 5-2)
 - (4) That the applicant has sufficient social credibility, and a sound management structure including that it is not subject to the control or influence of any party lacking social credibility or any other party considered inappropriate in light of the objectives of the Exchange and the operations of its markets
 - (5) That the applicant's business is deemed to be a going concern, including that it does not fall under liabilities in excess of assets and doubt is not expressed in the audit report (in cases where an applicant conducts direct transactions when an application pertaining to a Broker Trading Participant is made pursuant to Rule 109 or Rule 115, Paragraph 2 of the Market Rules, it shall additionally meet the criteria prescribed in Rule 5-4)
 - (6) In case of an application pursuant to Rule 109 or Rule 115, Paragraph 2 of the Market Rules pertaining to a Remote Market Trading Participant or Remote Broker Trading Participant, that the clearing agreement has been concluded or is certain to be concluded between the applicant and its designated clearing participant
 - (7) In case of an application pursuant to Rule 109 or Rule 115, Paragraph 2 of the Market Rules pertaining to a Remote Market Trading Participant or Remote Broker Trading Participant, that the contact agent designated by the applicant is able to adequately fulfill its duty as the agent.
2. Examination for Trading Participants who intend to trade on the Exchange markets pursuant to the provisions of Rule 113, Paragraph 3 of the Market Rules shall be conducted with the criteria referred to in each item of the following.
- (1) That the Trading Participant will establish business management systems as prescribed in Rule 5-2
 - (2) That the Trading Participant meets the conditions prescribed in Rule 5-4 (limited to Broker Trading Participants)
 - (3) That the clearing agreement will be concluded between the Trading Participant and its designated clearing participant (limited to Remote Market Trading Participants or Remote Broker Trading Participants)
 - (4) That the designated agent is able to adequately fulfill its duty as the agent (limited to Remote Market Trading Participants and Remote Broker Trading Participants).

Rule 22 (Official Publication)

1. The method of official publication prescribed in the Trading Participant Enforcement Detailed Rules as prescribed in Rule 162, Paragraph 2 of the Market Rules shall be electromagnetic means (meaning an electronic public notice prescribed in Article 2, Item 34 of the Companies Act).

Rule 22-2 (Violation of the Just and Equitable Principles of Trade)

1. The acts or behavior prescribed in Rule 165, Paragraph 1, Item 5 of the Market Rules shall be actions concerning trading or other activities across two markets, and shall mean the actions enumerated in the following items that are conducted by a Trading Participant in connection with trading for its own account, for the account of a subsidiary or parent company (meaning a foreign corporation engaged in business similar to commodity derivatives business that is a subsidiary (meaning a subsidiary prescribed in Article 2, Item 3 of the Companies Act (Act No. 86 of 2005) or another company in which a Trading Participant holds 50 percent or more of the voting rights (excluding voting rights of shares that are not entitled to vote on all matters that may be resolved at a general meeting of shareholders, but including voting rights of the shares deemed to have voting rights pursuant to Article 879, Paragraph 3 of the Companies Act); the same shall apply hereinafter) of the total shareholders) or parent company (meaning a parent company prescribed in Article 2, Item 4 of the Companies Act, or another company which holds 50 percent or more of the voting rights of the total shareholders of a Trading Participant; the same shall apply hereinafter) of said Trading Participant. In such cases, in the event that a subsidiary of a Trading Participant is the parent company of another company and in the event that another company is the parent company of a subsidiary of a Trading Participant, said other company shall be deemed to be a subsidiary of said Trading Participant. Furthermore, in the event that another company is the parent company of the parent company of a Trading Participant and in the event that the parent company of a Trading Participant is the parent company of another company, said other company shall be deemed to be a parent company of said Trading Participant), or for the account of an affiliate engaged in commodity derivatives business (limited to transactions in which investment decisions are substantially left to said Trading Participant; the same shall apply hereinafter).
 - (1) A party holding one of two products whose prices are interrelated conducting false trading in the other product with the aim of obtaining profit by causing other persons to misunderstand the trading conditions of the first product.
 - (2) A party holding one of two products whose prices are interrelated conspiring in advance with another party and making collusive trades in the other product with the aim of obtaining profit by causing other persons to misunderstand the trading conditions of the first product.
 - (3) A party holding one of two products whose prices are interrelated acting to cause the price of the other product to fluctuate by trading in that product with the aim of obtaining profit by inducing trading in the first product.
 - (4) A party holding one of two products whose prices are interrelated circulating rumors about the other product with the aim of obtaining profit by inducing trading in the first product.
 - (5) A party holding positions in transactions on a commodity market or foreign commodity market and over-the-counter commodity derivatives transactions prescribed in Article 2, Paragraph 14 of the Act (such transactions are hereinafter referred to as "Transactions on the Commodity Market") and any other securities or certificates for which the amounts of the dividend, interest, distribution, redemption value, etc. are calculated based on a price of a commodity, physically delivered commodity future transaction or cash-settled commodity future transaction by a pre-determined method (including securities or certificates with the same characteristics that are

issued by foreign governments or corporations) (hereinafter collectively referred to as "derivative instruments") acting intentionally to cause the prices of Transactions on the Commodity Market to fluctuate, or to prevent the price from rising or falling, in order to make final settlement of said derivative instrument to its own advantage by conducting trades in the cash market (meaning a financial instruments exchange operated by a financial instruments exchange for the purpose of securities trading or foreign financial instruments exchange market) or trades of derivative instruments.

(6) A party, knowing that a customer or overseas customer will soon consign an order which may have a considerable effect on the market price of one of two products whose prices are interrelated, using that knowledge to obtain profit by trading in the other product in advance of said order being placed.

2. The two products whose prices are interrelated as provided in the preceding paragraph shall mean a derivative instrument and a tracker investment trust security (meaning investment trust beneficiary certificates (meaning beneficiary certificates of investment trusts), foreign investment trust beneficiary certificates (meaning beneficiary certificates of foreign investment trusts; the same shall apply hereinafter in this paragraph), investment securities, foreign investment securities, beneficiary certificates of beneficiary certificate-issuing trusts (meaning beneficiary certificates of beneficiary certificate-issuing trusts whose trust properties are certificates or securities issued by a domestic corporation in a foreign country that are securities with the characteristics of corporate bonds, certificates or securities issued by a foreign corporation in a foreign country that are securities with the characteristics of corporate bonds, foreign investment trust beneficiary certificates, foreign investment securities or beneficiary certificates of foreign beneficiary certificate-issuing trusts (meaning securities or certificates with the characteristics of beneficiary certificates of beneficiary certificate-issuing trusts issued by a foreign corporation)), or beneficiary certificates of foreign beneficiary certificate-issuing trusts whose purpose is to track a Transaction on the Commodity Market or commodity index (meaning indices which indicate the overall price level of commodities).

Rule 23 (Reporting of Financial Results)

1. The date specified by the Exchange as prescribed in Rule 142, Paragraph 1 of the Market Rules shall be within three months from the end of every business year.
2. The Exchange shall deem that a Broker Trading Participant has reported the financial results pursuant to Rule 142, Paragraph 1 of the Market Rules upon submission of the written report pursuant to Rule 16, Paragraph 3, Item 6.

Rule 24 (Revision or Abolition)

1. Revision or abolition of these rules shall be made by the resolution at the board of directors for the provisions of Rules 5-2, 5-4, 21 and 22-2 (or approval of the Representative Director, President if the revisions are minor), and approval of the Representative Director, President for revisions or abolition of other provisions and the forms thereof.

Supplementary Provisions

These Rules shall take effect on May 7, 2009.

Supplementary Provisions

The revisions to Rule 2, Rule 4, Rule 6, Rule 10, Rule 11 and Rule 11-2 shall take effect on October 8, 2009.

Supplementary Provisions

The newly established provisions of Rule 1-2 (Membership) shall take effect on the later of March 23, 2010 or the day on which the approval pertaining to the revisions to the provisions of Rule 85 of the Market Rules was obtained pursuant to Article 156, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950) (March 15, 2010), which was resolved at the board of directors meeting held on March 23, 2010 or November 17, 2009.

Supplementary Provisions

The revisions to the provisions of Rule 2 (Application for Acquisition of Membership), Rule 3 (Procedure for Acquisition of Membership), Rule 8 (Procedure for Waiver of Membership) and Rule 18 (Revision or Abolition), and the newly established provisions of Rule 17 (Criteria for Examination of Membership Qualification) shall take effect on July 1, 2010.

Supplementary Provisions

The revisions to the provisions of Rule 2 (Application for Acquisition of Membership) and Rule 13 (Matters to Be Notified) shall take effect on January 1, 2011.

Supplementary Provisions

The newly established provisions of Rule 18 (Official Announcement) shall take effect on the day on which the approval pertaining to the revisions to the provisions of Rule 138 of the Market Rules was obtained pursuant to Article 156, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950) (May 23, 2011).

Supplementary Provisions

The newly established provisions of Rule 18-2 (Reporting of Financial Results) and revisions to Rule 19 (Revision or Abolition) shall take effect on September 1, 2011.

Supplementary Provisions

The newly established provisions of Rule 1-3 (Number of Submissions) and the revisions to the provisions of Rule 2 (Application for Acquisition of Membership) and Rule 14 (Appointment or Change of Designated Clearing Participant), and forms 05-1, 05-2 and 05-3 shall take effect on the day on which the approval pertaining to Rules 89, 95 and 96 of the Market Rules was obtained pursuant to Article 156, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950) (August 13, 2012).

Supplementary Provisions

The revisions to the provisions of Rule 2 (Application for Acquisition of Membership), Rule 4 (Application for Obtaining Additional Membership Qualification), Rule 13 (Matters to Be Notified), Rule 17 (Criteria for Examination of Membership Qualification), Rule 18 (Public Announcement), Rule 19 (Reporting of Financial Results), and Rule 20 (Abolition or Revisions) and newly established forms 01, 02 and 05-4 shall take effect on the day of which the approval pertaining to Rules 2, 109, 110, 130, 131, 135, 138, and 142 of the Market Rules was obtained pursuant to Article 156, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950) (September 13, 2012).

Supplementary Provisions

The revisions to the provisions of Rule 2 (Application for Acquisition of Membership), Rule 8 (Procedure for Waiver of Membership), and forms 01, 02-1 through 02-5, 07-1 through 07-4 and 09-1 through 09-8 shall take effect on September 26, 2012.

Supplementary Provisions

The deletion of Rule 1-2 (Membership), revisions of Rule 1-2 (Number of Submission) and Rule 20 (Revision or Abolition) and Form 01-1 shall take effect on the day on which the approval pertaining to the revisions to provisions of Rules 86, 112 and 96 of the Market Rules was obtained pursuant to Article 156, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950) (January 11, 2013).

Supplementary Provisions

The revisions to Forms 01, 02-1 through 02-5, 03, 05-1 through 05-4, 07-1 through 07-4, 08, 09-1 through 09-8, 10 through 10-2, 11, 13-1 through 13-6, 14-1 through 14-2, 15, 16, 17, 18, 19-1, 19-2, 20, 21, 22, 23-1, 23-2, 24, 25, 26, 27, 27-2, 28-1, 29, 30, 31, 32, 33-1, 33-2, 34, 35, 36, 37, 38, 39, 40 and 41 shall take effect on February 12, 2013.

Supplementary Provisions

The revisions to Rule 2 (Application for Acquisition of Membership), Rules 4 (Application for Obtaining Additional Membership Qualification) through 8 (Procedure for Waiver of Membership), Rule 17 (Criteria for Examination of Membership Qualification) and Rule 19 (Reporting of Financial Results), and newly established Form 09, revisions to Forms 10-1 and 10-2, and deletion of Forms 08 and 10 shall take effect on the day on which the approval pertaining to the newly established provisions of Rule 105-2 and Rule 131-2, and revisions to provisions of Rules 70, 88, 89, 95 through 101, 104 through 106, 108, 109, 122, 123, 130, 132, 133, 137 and 138 was obtained pursuant to Article 156, Paragraph 1 of the Commodity Derivatives Transaction Act (Act No. 239 of 1950) (March 19, 2014).

Supplementary Provisions

The newly established Rule 13-2 (Separate Accounting and Retention of Books of Remote Broker Members) and revisions to Rule 2 (Application for Acquisition of Membership), Rule 4 (Application for Obtaining Additional Membership Qualification), Rule 5 (Application for Change in Category of Membership), Rule 10 (Membership Agreement), Rule 11-

2 (Contact Agent), Rule 13 (Matters to Be Notified) and Rule 17 (Criteria for Examination of Membership Qualification), and newly established Forms 07-4, 08-3, 18-2, 27-3, 40-2 and 41-2, revisions to Forms 01-1 through 01-3, 07-1, 07-3, 07-5, 08-1, 08-2, 08-4 through 08-9, 13-5, 19-1 through 25, 28-1, and 36 through 38, and deletion of Form 39 shall take effect on March 31, 2014.

Supplementary Provisions

The revisions to the provisions of Rule 2 (Application for Obtaining Additional Membership Qualification) and Rule 13 (Matters to Be Notified), and revisions to Forms 06, 11, 13-1, 13-2, 13-3, 13-5, 13-6, 14-1, 14-2, 15, 16, 17, 18-1, 18-2, 19-1, 19-2, 20, 21, 22, 23-1, 23-2, 24, 25, 26, 27-1, 27-2, 27-3, 28, 29, 30, 31, 32, 34 and 35, and deletion of Forms 41-1 and 41-2 shall take effect on April 1, 2015.

Supplementary Provisions

The revisions to Rule 2 (Application for Obtaining Additional Membership Qualification), Rule 5 (Application for Change in Category of Membership), Rule 11 (Membership Representative), Rule 11-2 (Contact Agent), Rule 13 (Matters to Be Notified), Rule 14 (Appointment or Change of Designated Clearing Participant) and Rule 15 (Notification of Conclusion of Clearing Agreement), and revisions to Forms 01-1, 02-1 through 03 and 05-1 through 40-2 shall take effect on June 26, 2015.

Supplementary Provisions

The newly established appended table (Forms) and revisions to Rules 1 (Purpose) through 20 (Revision or Abolition) shall take effect on December 21, 2015.

Supplementary Provisions

The revisions to Rule 4 (Attached Documents), Rule 7 (Application for Change in Category of Trading Participant), Rule 11 (Succession to Trading Participant Status), Rule 14 (Contact Agent) and Rule 21 (Criteria for Examination for Trading Qualification) shall take effect on March 10, 2016.

Supplementary Provisions

The revisions to Rule 4 (Attached Documents), Rule 6 (Application for Obtaining Additional Trading Qualification), Rule 7 (Application for Change in Category of Trading Qualification), Rule 11 (Succession to Trading Participant Status), Rule 12 (Trading Participant Agreement), Rule 13 (Trading Participant Representative), Rule 16 (Matters to Be Notified), Rule 18 (Appointment or Change of Designated Clearing Participant), Rule 21 (Criteria for Examination of Trading Qualification), and the appended table shall take effect on October 31, 2016.

Supplementary Provisions

The revisions to the provisions of Rule 16 (Matters to Be Notified) and Rule 23 (Reporting on Financial Results) shall take effect on May 8, 2017.

Supplementary Provisions

The revisions to Rule 3 (Application for Acquisition of Trading Qualification), Rule 16 (Matters to Be Notified) and the appended table shall take effect on August 9, 2019.

Supplementary Provisions

These revisions shall take effect on December 1, 2019.

Supplementary Provisions

These revisions shall take effect on July 27, 2020.

Supplementary Provisions

These revisions shall take effect on December 30, 2020.

Supplementary Provisions

These revisions shall take effect on January 31, 2022.

Supplementary Provisions

1. These revisions shall take effect on September 21, 2022.
2. Notwithstanding the provisions of the preceding paragraph, if the Exchange deems it inappropriate to implement the revisions on September 21, 2022 due to problems with operating the trading system or any other unavoidable reasons, they shall be implemented on later date specified by the Exchange.

Supplementary Provisions

These revisions shall take effect on January 1, 2023.

Appended Table (Forms)

Provisions	Application and Other Forms	Form
Rule 3, Paragraph 1	Trading Qualification Application Form	Form 01
Rule 4, Paragraph 1, Item 1	Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 1 of the Market Rules (Commercial)	Form 02-1
Rule 4, Paragraph 1, Item 2	Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 2 of the Market Rules (Commodity Derivatives Business Operator)	Form 02-2

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Rule 4, Paragraph 1, Item 3	Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 3 of the Market Rules (Foreign Commodity Derivatives Business Operator)	Form 02-3
Rule 4, Paragraph 1, Item 4	Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 4 of the Market Rules (Specified Over-the-Counter Commodity Derivatives Business Operator)	Form 02-4
Rule 4, Paragraph 1, Item 5	Written Pledge That the Applicant Satisfies the Requirements Prescribed in Rule 104, Paragraph 1, Item 5 of the Market Rules (Financial Institutions, etc.)	Form 02-5
Rule 4, Paragraph 1, Items 6. b., 7. b. and 8. a.	Notice of Head Office's Address	Form 03
Rule 4, Paragraph 1, Items 6. c. and 8. b.	Curriculum Vitae	Form 04
Rule 4, Paragraph 1, Items 6. d. and 7. d.	Written Pledge That Applicant Does Not Fall Under Disqualifying Conditions (Corporation)	Form 05-1
Rule 4, Paragraph 1, Item 6. e.	Written Pledge That Applicant Does Not Fall Under Disqualifying Conditions (Officer)	Form 05-2
Rule 4, Paragraph 1, Item 8. c.	Written Pledge That Applicant Does Not Fall Under Disqualifying Conditions (Individual)	Form 05-3
Rule 4, Paragraph 1, Item 10. a.	Written Confirmation That the Applicant has No Relationship With Anti-social Forces	Form 06
Rule 4, Paragraph 1, Items 6. c., 7. b., 9, and 10. b. and Rule 13, Paragraph 1	Company Overview, etc.	Form 07
Rule 4, Paragraph 1, Item 10. j	Written Pledge to Submit Documents	Form 08
Rule 5-2	Application to Start Trading	Form 35
Rule 6, Paragraph 1	Additional Trading Qualification Notification Form	Form 09
Rule 7	Application Form to Change the Trading Participant Type	Form 10
Rule 8	Notice of Waiver of Trading Qualification	Form 11-1
Rule 8 and Rule 9, Paragraph 1, Item 2	Position Report	Form 11-2
Rule 9, Paragraph 1, Item 1	Notice to Cancel the Waiver of Trading Qualification	Form 12-1
Rule 9, Paragraph 1, Item 2	Notice to Postpone the Waiver of Trading Qualification	Form 12-2
Rule 11, Paragraph 1	Notice of Succession to the Trading Qualification of a Deceased Trading Participant	Form 13
Rule 12	Trading Participant Agreement (For Market Trading Participant and Broker Trading Participant)	Form 14-1
''	Trading Participant Agreement (For Remote Market Trading Participant and Remote Broker Trading Participant)	Form 14-2
Rule 13, Paragraph 2	Notice of Change in Trading Participant Representative	Form 15
Rule 13, Paragraph 3	Notification of Appointment/Dismissal of Deputy for Day to Day Operations	Form 36-1
Rule 13, Paragraph 4	Notification of Change of Title/Seal/Scope of Business of Deputy for Day to Day Operations	Form 36-2

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Rule 13-2	Application for Approval of Appointment of Person Responsible for Compliance with Laws and Regulations	Form 37
Rule 14, Paragraph 1	Notice of Contact Agent	Form 16-1
Rule 14, Paragraph 1, Item 1	Written Pledge (Contact Agent) (For Corporation)	Form 16-2
"	Written Pledge (Contact Agent) (For Individual)	Form 16-3
"	Notice of Contact Details of Contact Agent	Form 16-4
Rule 14, Paragraph 2	Notice of Changes (Contact Agent)	Form 16-5
Rule 15-4	Application for Approval of Merger	Form 38
Rule 16, Paragraph 1, Item 1	Notice of Disqualification	Form 17-1
Rule 16, Paragraph 1, Item 2	Notice of Disqualifying Conditions	Form 17-2
Rule 16, Paragraph 1, Item 3	Notice of Insolvency	Form 17-3
Rule 16, Paragraph 1, Item 4	Notice of Suspension of Transaction with Banks	Form 17-4
Rule 16, Paragraph 1, Item 5	Notice of Name Change	Form 18
Rule 16, Paragraph 1, Item 6	Notice of Change in the Name or Address of the Head Office	Form 19
Rule 16, Paragraph 1, Item 7	Notice of Changes in Articles of Incorporation	Form 20
Rule 16, Paragraph 1, Item 8	Notice of Change of Executive Officers	Form 21
Rule 16, Paragraph 1, Item 9	Notice of Litigation	Form 22-1
Rule 16, Paragraph 1, Item 10	Notice of Being Subject to Attachment, etc. by a Court Order	Form 22-2
Rule 16, Paragraph 1, Item 11	Notice of Being Under Indictment	Form 22-3
Rule 16, Paragraph 1, Item 12	Notice of Obtaining Other Exchange's Membership	Form 23-1
Rule 16, Paragraph 1, Item 13	Notice on Loss of Other Exchange's Membership	Form 23-2
Rule 16, Paragraph 1, Item 14	Notice of Obtaining etc. of Clearing Qualification	Form 24
Rule 16, Paragraph 1, Item 15	Notice of Merger, etc.	Form 25
Rule 16, Paragraph 1, Item 16	Notice of Insolvency	Form 32
Rule 16, Paragraph 1, Item 17	Notification of Matters Related to Holiday Trading	Form 34
Rule 16, Paragraph 1, Item 18	Report on Regulatory Dispositions or Punishment	Form 39
Rule 16, Paragraph 1, Item 19	Report on Act in Violation of Laws and Regulations or Various Rules	Form 40

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Rule 16, Paragraph 1, Item 20	Report on [Formulation or Change] of Details and Method of Operations	Form 41
Rule 16, Paragraph 1, Item 21	Computer System Failure Report	Form 42
Rule 16, Paragraph 2, Item 1	Notice of the Notification to the National Futures Protection Fund	Form 26
Rule 16, Paragraph 2, Item 2	Notice of Permission from the Regulating Minister for Merger, etc.	Form 27-1
Rule 16, Paragraph 2, Item 3	Notice of Abolishment of the Business at All the Sales Offices	Form 27-2
Rule 16, Paragraph 2, Item 4	Notice of Abolishment of the Business at All the Sales Offices (Remote Broker Trading Participant)	Form 27-3
Rule 16, Paragraph 3	Notice for the Cases Separately Prescribed	Form 28
Rule 16, Paragraph 4	Notice of Non-Compliance with Financial Standards	Form 43
Rule 16, Paragraph 5, Item 1	Notice of Commencement of Bankruptcy Proceedings, etc.	Form 29-1
Rule 16, Paragraph 5, Item 2	Notice of Dissolution Procedures	Form 29-2
Rule 16, Paragraph 5, Item 3	Notice of Death	Form 29-3
Rule 16, Paragraph 5, Item 4	Notice of Adult Ward	Form 29-4
Rule 16, Paragraph 7	Notice of Disciplinary Actions (Electricity)	Form 33
Rule 18, Paragraph 1	Application for Designation of Designated Clearing Participant	Form 30-1
Rule 18, Paragraph 2	Application for Approval of Change of Designated Clearing Participant	Form 30-2
Rule 19	Notice of Conclusion of Clearing Agreement	Form 31-1
Rule 20	Notice of Cancellation of Clearing Agreement	Form 31-2
Rule 20-2	Application for Approval of Lifting of Measures of Suspension, etc. from Trading, etc.	Form 44