

Revisions to Business Regulations and Other Rules Pertaining to Revisions to Methods of Information Provision Between Trading Participants and Customers in Connection with the Amendments to the Financial Instruments and Exchange Act

March 25, 2025
Osaka Exchange, Inc.

I. Purpose

Osaka Exchange Inc. (OSE) will revise the Business Regulations and other rules. These revisions will take effect on April 1, 2025 (for more details, please refer to "Revisions to Rules and Regulations: Tracked Changes").

These revisions are in response to the "Act Partially Amending the Financial Instruments and Exchange Act and Other Acts" (Act No. 79 of 2023), which allows financial instruments business operators to choose whether to provide some information to customers through physical documents or electromagnetic means. In the past, such information was required to be provided through physical documents as a general rule. Accordingly, OSE shall carry out the necessary changes to its own rules, including implementing similar revisions for documents that Trading Participants deliver to customers and those that customers submit to Trading Participants.

II. Outline

1. Revisions to methods of information provision

(1) Documents delivered by Trading Participant to customer

- For the following document, which was previously delivered physically by Trading Participants to customers as a general rule, Trading Participants will now be able to choose whether to deliver physical documents or provide the information required to be included in the documents by electromagnetic means. However, if a customer requests that a physical document be delivered, the Trading Participant must do so.
- Reports Concerning Transactions
- When providing information that is required to be included in documents by electromagnetic means, a Trading Participant must obtain prior consent from the customer or

(Notes)

- Rule 55 of the Business Regulations

notify the customer of the following matters.

- Type and details of electromagnetic means
- That the customer may request that the Trading Participant deliver physical documents.

(2) Documents submitted by customer to Trading Participant

- For the following documents, which were previously submitted physically by customers to Trading Participants as a general rule, Trading Participants will now be able to choose whether to receive physical documents or receive the information required to be included in the documents by electromagnetic means. However, if a customer requests to submit physical documents, the Trading Participant must accept them.
 - Agreement for Setting up Futures/Options Trading Account
 - Agreement for Setting up Margin Transaction Account
- When accepting information required to be included in documents by electromagnetic means, a Trading Participant must obtain prior consent from the customer or notify the customer of the following matters.
 - Type and details of electromagnetic means
 - That the customer may request that the Trading Participant accept the submission of physical documents.

2. Other

- Other necessary revisions will be made.

III. Effective Date

- These rules will take effect on April 1, 2025.

- Rule 5, Paragraphs 2 and 4, and Rule 26 of the Brokerage Agreement Standards
- Rules 26, 27, and 33 of the Agreement for Setting up Futures/Options Trading Account
- Rules 18, 19, and 25 of the Agreement for Setting up Margin Transaction Account