

Application and Withdrawal Processes for Position Transfer, etc.

April 6, 2018

Japan Securities Clearing Corporation

The manner prescribed by JSCC under Article 43-3 of the Handling Procedures of CDS Business Rules shall be the manner of filling in Application Form or Form for Withdrawal (hereinafter referred to as the “Forms”)¹ with required items, having it sealed and sending it to JSCC via e-mail² as well as calling² JSCC to inform such application.

Application shall be made by 14:00 and Withdrawal shall be made by 16:00 on the Transfer date (JSCC Business Day only)³.

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¹ Forms and Transaction Statement with regard to Position Transfer shall be pre-determined by JSCC.

² E-mail address and phone number is written in the Forms. Original copy of the Forms shall be attached in PDF format and Transaction Statement with regard to Application or Withdrawal shall be attached in Excel format.

³ However, in case of (i) a succession of Clearing Contracts (Own Account) pursuant to the provisions of Article 53-3 of the Business Rules, (ii) a transfer of Clearing Brokerage Contracts to a Clearing Participant other than the Clearing Participant on Customer Account for the Transferring Customer pursuant to the provisions of Article 58-2, Paragraph 2, (iii) a transfer of Clearing Brokerage Contracts to a Receiving Customer whose Clearing Participant on Customer Account is not the same as the Clearing Participant on Customer Account for the Transferring Customer pursuant to the provisions of Article 58-3, Paragraph 5 and (iv) a transfer of Clearing Contracts (Own Account) to a Receiving Customer for whom the Transferring Clearing Participant is not acting as Clearing Participant on Customer Account pursuant to the provisions of Article 58-4, Paragraph 2, the parties shall notify their intention to submit such application to JSCC in advance, and separately make arrangement in respect of the date of such succession or transfer and other necessary matters with JSCC.