# RULES REGARDING THE USE OF SYSTEMS RELATING TO THE BOOK-ENTRY TRANSFER SYSTEM FOR SHARES, ETC.

(November 1, 2013)

[TRANSLATION]

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JAPAN SECURITIES DEPOSITORY CENTER, INC.

#### Article 1 Purpose

These Rules shall, pursuant to the provisions of Article 292 of the Operational Rules Regarding Book-Entry Transfer of Shares, etc. (hereinafter referred to as the "Operational Rules"), prescribe necessary matters regarding the use of computer systems of JASDEC (hereinafter referred to as the "JASDEC System") relating to the Book-Entry Transfer System for Shares, etc. by issuers of Book-Entry Transfer Shares, etc. (if the applicable Administrator of Shareholder Register, Administrator of Investor Register or Administrator of Preferred Equity Investor Register has been appointed, then such Administrator of Shareholder Register, Administrator of Investor Register or Administrator of Preferred Equity Investor Register), JASDEC Participants, Issuing Agents, Paying Agents, Fund-Settlement Corporations, Payment-Handling Banks, Trustee Companies, and Administrators of Beneficiary Registers (hereinafter referred to as the "Users") for processing the operation of the Users relating to the Book-Entry Transfer Services for Shares, etc.

#### Article 2 Defined Terms

- 1. The terms used in these Rules which are the same as those in the Operational Rules shall have the same meaning as in the Operational Rules.
- 2. In these Rules, the meanings of the terms set forth in the following items shall be as prescribed respectively in those items:
  - (1) "User System" shall mean a computer system of a User.
  - (2) "Integrated Web Terminal" shall mean the computer terminal unit for using the integrated web functions provided by JASDEC.
  - (3) "Participant Information Web Terminal" shall mean the computer terminal unit for using the functions of notice of Participant Information and other functions provided by JASDEC.
  - (4) "Web Connection" shall mean a method of data exchange between the User System and the JASDEC System which operates through the Integrated Web Terminal or the Participant Information Web Terminal (hereinafter referred to as the "Integrated Web Terminal, etc.").
  - (5) "File Transmission" shall mean a method of data exchange between the User System and the JASDEC System in which data is transmitted as files, and which JASDEC recognizes as appropriate.

- (6) "Online Real Time Connection" shall mean a method of data exchange between the User System and the JASDEC System other than the File Transmission, which JASDEC recognizes as appropriate.
- (7) "Internet Connection" shall mean data exchanges between the User System and the JASDEC System that are conducted by sending information stored in computers through electrical communication circuits whose content is used by JASDEC, using an automatic public transmission server connected to the Internet.
- (8) "Internet Terminal" shall mean a computer terminal unit for using the Internet Connection.
- (9) "Target Hofuri Website Connection" shall mean a method of providing notice, etc. through the use of the Target system operated by the Tokyo Stock Exchange, Inc. that is referred to as the "Hofuri Website" (hereinafter referred to as the "Target Hofuri Website"), which can be accessed by the Users by electromagnetic means for the purpose of using the functions provided by JASDEC, such as receiving or issuing notices, etc.

# Article 3 Use of the JASDEC System by Users

- 1. Users shall use the JASDEC System via the methods of exchanging data with JASDEC that are set forth in the following items for processing any operation relating to the Book-Entry Transfer Services for Shares, etc.
  - (1) Web Connection
  - (2) File Transmission
  - (3) Online Real Time Connection
  - (4) Notices or submissions via electromagnetic media which are prepared in accordance with these Rules.
  - (5) Internet Connection
- 2. When processing any operation using the methods set forth in Item 1 through Item 3 and Item 5 of the preceding paragraph, Users shall submit a prescribed notification to JASDEC. In this case, the notification shall be made through the Target Hofuri Website Connection or other methods permitted by JASDEC.
- 3. When processing any operation using the methods set forth in Paragraph 1, Item 4, the Users may, if JASDEC so permits, give notice of or submit data recorded on any electromagnetic media using the Target Hofuri Website Connection.

- 4. When JASDEC finds that any notice or submission prescribed in the preceding two paragraphs which is to be made using the Target Hofuri Website Connection (hereinafter referred to as "Users' Administrative Work for Submission through Target") is impossible or difficult to make due to any trouble, etc., Users shall exchange data with JASDEC using electromagnetic media, via facsimile, or in writing.
- 5. When JASDEC deems necessary, it may conduct testing to confirm that the Users can use the JASDEC System appropriately before using the JASDEC System.

#### Article 4 Web Connection

The setting up of circuit equipment for the Web Connection shall be undertaken by Users in a manner prescribed by JASDEC.

#### Article 5 Operation, etc. of the Web Connection

- 1. Users shall perform operational processing using the Web Connection, pursuant to the provisions of the connection specifications and operation requirements, etc. prescribed by JASDEC, and with the due care of a good manager.
- 2. When the connection specifications for the Web Connection need to be changed due to an unavoidable reason, and JASDEC has so requested, Users shall comply with such request as instructed by JASDEC.
- 3. When any trouble arises in the Web Connection, the relevant User shall promptly notify JASDEC.

# Article 6 Bearing of Expenses Relating to the Web Connection

Users shall bear any terminal fees relating to their use of the Integrated Web Terminal, etc. (meaning expenses relating to the installation and maintenance of the Integrated Web Terminal, etc.), electricity charges and expenses for consumables, etc., as well as expenses relating to circuit equipment for the Web Connection (meaning circuit usage fees and Users' share of the circuit installation costs, etc.; the same shall apply hereinafter).

#### Article 7 Circuit Connection

The setting up of circuit equipment for connecting communication circuits (hereinafter referred to as "Circuit Connection") as pertains to the File Transmission or the Online Real Time Connection (hereinafter referred to as the "File Transmission, etc.") shall be undertaken by Users in a manner prescribed by JASDEC.

## Article 8 Operation, etc. of the Circuit Connection

- 1. Users shall perform operational processing using the Circuit Connection, pursuant to the provisions of the connection specifications and operation requirements prescribed by JASDEC, and with the due care of a good manager.
- 2. When the connection specifications for the Circuit Connection need to be changed due to an unavoidable reason, and JASDEC has so requested, Users shall comply with such request as instructed by JASDEC.
- 3. When any trouble arises in the Circuit Connection (including cases where data exchange using the File Transmission, etc. is not possible and the cause thereof is unclear), the relevant User shall promptly notify JASDEC.

# Article 9 Bearing of Expenses Relating to the Circuit Connection

Users shall bear any expenses relating to the circuit equipment for the Circuit Connection.

#### Article 10 Preparation, etc. of Electromagnetic Media

- 1. The electromagnetic media set forth in Article 3, Paragraph 1, Item 4 shall be prepared pursuant to the connection specifications prescribed by JASDEC.
- 2. In the case of the preceding paragraph, the relevant Users shall be responsible for the preparation and submission of the electromagnetic media.

#### Article 11 Procurement of Electromagnetic Media

Any electromagnetic media to be submitted by the Users to JASDEC shall be procured by the Users.

#### Article 12 Internet Connection

The setting up of circuit equipment for the Internet Connection shall be undertaken by Users in a manner prescribed by JASDEC.

#### Article 13 Operation, etc. of the Internet Connection

- 1. Users shall perform operational processing using the Internet Connection, pursuant to the provisions of the connection specifications and operation requirements, etc. prescribed by JASDEC, and with the due care of a good manager.
- 2. When the connection specifications for the Internet Connection need to be changed due to an unavoidable reason, and JASDEC has so requested, Users shall comply with such request as instructed by JASDEC.
- 3. When any trouble arises in the Internet Connection, the relevant User shall promptly notify JASDEC.

# Article 14 Bearing of Expenses Relating to the Internet Connection

Users shall bear any terminal fees relating to their use of the Internet Terminal (meaning expenses relating to the installation and maintenance of the Internet Terminal), electricity charges and expenses for consumables, etc., as well as expenses relating to circuit equipment for the Internet Connection.

# Article 15 Cooperation for Various Tests

- 1. When Users are required in advance by the notice from JASDEC to participate in a linkage confirmation test between the Integrated Web Terminal, etc. and the JASDEC System, between the User System and the JASDEC System via the Circuit Connection, or between the Internet Terminal and the JASDEC System, Users shall cooperate for such test without objection. The same shall apply if Users are required by JASDEC to participate in various tests other than the tests described above.
- 2. Of the expenses required for the linkage confirmation test or the various other tests referred to in the preceding paragraph, the expenses arising on the User side shall be borne by the relevant Users.

# Article 16 Confidentiality

- 1. Persons that are or were officers or employees of a User shall not divulge any secrets obtained through the use of the JASDEC System to any other party.
- 2. Users shall not disclose the JASDEC System specifications to a third party or use such specifications for any business other than operation relating to the use of the JASDEC System without JASDEC's consent; provided, however, that if delegating the processing of any operation relating to the use of the JASDEC System to a third party pursuant to the provisions of Paragraph 1 of the following article, or if delegating the development of a system for processing operation relating to the use of the JASDEC System to a third party (including a person other than the relevant third party in a case where the relevant third party further delegates all or part of the system development to such other person; the same shall apply hereinafter in this article), a User may disclose the JASDEC System specifications to a third party within the scope of such delegation, without JASDEC's consent.
- 3. When a User discloses the JASDEC System specifications to a third party, the User shall cause such third party to observe the provisions of the main clause of the preceding paragraph.
- 4. When any changes are to arise to the contents of the notification submitted to JASDEC pursuant to these Rules, Users shall submit the notification to JASDEC in advance.

# Article 17 Delegation, etc. of Processing of Operation Relating to Use of the JASDEC System by Users

- 1. Users, when so permitted by JASDEC, may delegate the processing of operation relating to the use of the JASDEC System, the Users' Administrative Work for Submission through Target, and the processing of operation using the Target Hofuri Website to other persons (excluding any persons that fall under antisocial forces), within the scope permitted by JASDEC.
- 2. Any person to whom the User has delegated the processing of operation using the Target Hofuri Website pursuant to the provisions of the preceding paragraph shall submit a prescribed notification to JASDEC.
- 3. Any data exchanged between the computer system of the person to whom the User delegated the processing of operation relating to the use of the JASDEC System pursuant to the provisions of Paragraph 1 (hereinafter referred to as "Computer").

- Company, etc.") and the JASDEC System shall be treated as data exchanged between the User System of the User who delegated the processing of operation relating to the use of the JASDEC System to the Computer Company, etc. (hereinafter referred to as the "Delegating User") and the JASDEC System.
- 4. Any notifications exchanged between a Computer Company, etc. and JASDEC shall be treated as notifications exchanged between the Delegating User and JASDEC.
- 5. Any accidents, etc. arising in connection with the use of the JASDEC System by the Computer Company, etc. shall be resolved between the Delegating User and the Computer Company, etc.
- 6. A Delegating User shall cause the Computer Company, etc. to observe the provisions of Article 5, Article 6, Article 8 through Article 10, Article 13 to Article 15, and Paragraph 1 of the preceding article.
- 7. A Delegating User shall cause the Computer Company, etc. to observe any necessary measures that JASDEC may take with respect to the Computer Company, etc. in connection with the use of the JASDEC System.

### Supplementary Rule (Notice of August 15, 2008)

These Rules shall come into effect as of the implementation day of the Act for Partial Amendments of the Act on Book-Entry Transfer of Corporate Bonds and Other Securities for the Purpose of Streamlining the Settlement of Trades of Shares and Other Securities, etc. (Act No. 88 of 2004), as prescribed in the main text of Article 1 of the Supplementary Provisions of such Act.

Supplementary Rule (Notice of April 7, 2010)

These amended provisions shall come into effect as of the implementation day of the Act for Establishment of Relevant Laws and Regulations Necessitated by the Entry into Force of the Trust Act (Act No. 109 of 2006), as prescribed in Item 3 of the Supplementary Provisions of such Act.

Supplementary Rule (Notice of June 24, 2010)

These amended provisions shall come into effect as of July 1, 2010.

Supplementary Rule (Notice of November 18, 2011)

These amended provisions shall come into effect as of November 28, 2011.

Supplementary Rule (Notice of January 8, 2013)

These amended provisions shall come into effect as of February 25, 2013.

Supplementary Rule (Notice of October 31, 2013)

These amended provisions shall come into effect as of November 1, 2013.