



Provisional Translation for your reference only

Declaration of the Protection of Personal Information

Last Update : Oct 01, 2015

Interactive Brokers Securities Japan, Inc.

Our company provides Declaration of Protecting Personal Information as policy to work on customer's personal information and disclose that as follows.

1. Observing the relational laws and so on

We observe "the laws of protecting personal information, the minister's guidelines, the guides of certified associations of protecting personal information, and this Declaration of Protecting Personal Information.

2. The purpose of utilization

Except for the occasions of getting customer's consent and being treated as exception by laws, we treat personal information within necessity of achieving the purpose of utilization. Regarding the personal identity number, we will handle it within the framework prescribed by law.

◆The purpose of utilization of personal information◆

- ① In order to offer securities, financial products and services based on the Financial Instruments and Exchange Law
- ② In order to offer financial products and services of our company, partners or affiliated companies
- ③ In order to determine the validity of the provision of products and services in light of the suitability rules
- ④ In order to confirm the identity of the customer or its proxy
- ⑤ In order to report items such as transaction results, account balance and so on to customers
- ⑥ In order to conduct administrations related to customers' trades
- ⑦ For the fulfillment of exercise and obligations of rights based on contract with customers and law
- ⑧ In order to research or develop financial products and services
- ⑨ In cases like where we are commissioned for processing all or part of personal information by other business operators, in order to conduct the delegated tasks properly
- ⑩ In order to conduct dealing with customers properly and smoothly
- ⑪ Regardless the purpose of utilization of personal information mentioned in the each item above, we will only utilize the personal identity number for the application and notification of account opening and creation and submission of regulatory documents in relation to financial products trading.

Please note that this purpose of utilization is also available on our website. (“Declaration of Protecting Personal Information” at <https://www.interactivebrokers.co.jp/jp/index.php?f=2895>)

3. Security Control Measures

We seek to maintain customer’s personal information accurate and up-to-date. And to prevent leaks of customer’s personal information, we will take necessary and adequate security control measures and properly supervise employees and contractors.

4. Continuous Improvement

In order to try adequate dealing of customer’s personal information, we will review this declaration accordingly and try to continuously improve it.

5. Procedure of demanding disclosures

When customer requests disclosure, correction and suspension of utilization in relation to his personal information, we will confirm his identity and seek to respond to it properly and swiftly. When it is requested to disclose whether we are keeping personal identity number, we will respond on whether we are keeping it or not.

6. Questions and opinions

We try to respond to questions, opinions and complaints in a swift and faithful manner. For any questions, opinions and complaints, please contact our office at the following address in writing.

4th Floor Tekko Kaikan, 3-2-10 Nihonbashi Kayaba-cho, Chuo-ku, Tokyo, 103-0025, Japan

Customer Consultation Department: Compliance Department

TEL: 03-4588-9721

Opening Hours: Weekdays from 9:00 AM to 5:00 PM

7. Authorized Personal Information Protection Organization

We are a member of Japan Securities Dealers Association (JSDA), which is an approved organization by FSA for personal information protection. JSDA deals with complaints and consultations at their private consulting room regarding the handling of personal information by members of the association.

【Complaints & Consultation】

Japan Securities Dealers Association Private Consulting Room

TEL: 03-3667-8427

URL: <http://www.jsda.or.jp/>