

日本証券業協会 総務部 行  
To: General Administration Division, Japan Securities Dealers Association

申請者氏名 \_\_\_\_\_ 印  
Name

個人情報開示申請書 (外務員処分等、事故報告受理の状況等)  
Application for Disclosure of Personal Information

○ 私の外務員処分等の下記項目について開示を申請いたします。

開示希望内容 希望する項目に☑ をしてください (複数選択可) Type of Information required	<input type="checkbox"/> 外務員処分等の状況 (行政処分、自主規制処分等の有無等について回答します。) Record of disciplinary action with regard to registration and/or disciplinary measures with regard to duties as a sales representative <input type="checkbox"/> 事故報告受理の状況 (協会の従業員に関する規則第9条及び第10条に係る報告の受理状況等について回答します。) Record of incident reports
回答書の言語 Language of the document	<input type="checkbox"/> 日 本 語 Japanese <input type="checkbox"/> 英 語 English

フリガナ			
氏 名 Full name	※1 英語での開示を希望される場合は、下記に氏名の英語表記を必ず記入してください。 ※2 改姓等により氏名変更があった場合は、下記に旧氏名を必ず記入してください。		
	英語表記		
	フリガナ 旧 氏 名 Former name (if any)		
生年月日 Date of birth	昭和 ・ 平成 年 月 日 Year / Month / Day		
現住所 Address	〒 _____ Post code		
日中の連絡先 Contact information	電話番号 Telephone	_____	Eメール E-mail
所属協会員名 (入退社年月) Employers(with date of employment and resignation)	① _____ ( _____ 年 月 ~ _____ 年 月) Name of Financial Instruments Firm Year Month Year Month		
	② _____ ( _____ 年 月 ~ _____ 年 月) Name of Financial Instruments Firm Year Month Year Month		
	③ _____ ( _____ 年 月 ~ _____ 年 月) Name of Financial Instruments Firm Year Month Year Month		
外務員 ID ID number of sales representative			
備 考 Remarks			

[Signature of Applicant \_\_\_\_\_ ]

以 上

## Disclosure of Record of Disciplinary Action/Record of Incident Reports

If you wish to check the Japan Securities Dealers Association (JSDA) record of disciplinary action or record of incident reports, please submit an application for disclosure of personal information to JSDA in accordance with the guidelines below.

### Application guidelines

To apply, please provide the necessary information on the Application for Disclosure of Personal Information (Record of Disciplinary Action or Record of Incident Reports). Any sections left blank may result in the application taking longer than usual to process and requests from JSDA to confirm details.

- (1) Under “Type of information required” please select with a check mark () all applicable items. **Required**
- (2) Under “Language of the document” please select with a check mark () the language you wish the document to be provided in. **Required**
- (3) Under “Full name” please write your current name. **Required**  
If you wish the document to be provided in English, please make sure your name is written in English.
- (4) If your current name differs from the name you used when you obtained your qualification or registration as a sales representative, please include your former name. (If your name has changed several times, please include all former names with relevant dates).
- (5) Please be sure to provide your date of birth. **Required**
- (6) Please include your current post code and address in the “Address” section. **Required**
- (7) Under “contact information” please provide a telephone number or e-mail address where you can be contacted during the day. **Required**
- (8) In the “Employers (with date of employment and resignation)” section please write the names of all securities companies and banks, etc. you have worked for. If the company name (or trading name) of any of those JSDA members has changed, please write the name as it was at the time you were employed. **Required**  
If you were temporarily assigned or dispatched to a securities company or bank at the time of employment, please write the name (or trading name) of the securities company or bank to which you were temporarily assigned or dispatched. **Required**  
Please write the month and year of employment and resignation in the parentheses. If you list more than one employer, please provide dates for each. **Required**
- (9) If you do not know your sales representative ID number, there is no need to complete the “ID number of sales representative” section.  
(The sales representative ID is the individual 10-digit number assigned to qualified persons who have passed examinations. JSDA uses this sales representative ID as the key for integrated management of all personal information relating to registration of sales representatives, qualifications obtained in examinations, etc. Thus in principle the sales representative ID does not change once it has been assigned, regardless of whether or not the sales representative is registered (for example, even if the holder changes jobs and is employed by a different JSDA member, the same sales representative ID continues to be used). Note, however, that in some cases a sales representative ID is not assigned even though a qualification is obtained.)
- (10) Please use the “Remarks” section if there is insufficient space in the employer list under item (8) above.

(11) Please sign in the “Signature of Applicant” section.

### Response

- (1) The response to this application will include personal data held by JSDA pertaining to items selected with a check mark  in the “Type of information required” section.
- (2) The response will be sent approximately one week after receipt of the Application for Disclosure of Personal Information (additional time may be required to investigate cases where a long period has elapsed since the disciplinary action, etc. was taken).

### Notes

- (1) Responses will be based on details provided in the Application for Disclosure of Personal Information.
- (2) Sometimes it is not possible to confirm whether or not personal information relates to the applicant on the basis of name and date of birth alone (e.g., in cases where different people share the same first and last name and same date of birth). Please provide additional details with as much accuracy as possible.
- (3) JSDA may not be able to provide a response if there is a discrepancy between the details provided on the Application for Disclosure of Personal Information and the personal information it holds.
- (4) Details included in a response are correct at the time that the response is prepared.

JSDA rules related to this application are available on the JSDA website.

- Rules Concerning Employees of Association Members
- Rules Concerning Internal Administrators, Etc. of Association Members
- Rules Concerning Financial Instruments Intermediary Service Providers
- Rules Concerning Qualification and Registration, Etc. of Sales Representatives of Association Members

The above rules may be accessed at:

<http://www.jsda.or.jp/en/rules/index.html>