

Application Date: _____
(Year/Month/Day)

To: General Administration Division, Japan Securities Dealers Association

**Application for Disclosure of Personal Information
(Qualifications Obtained in Examinations for Sales Representatives, etc.)**

I hereby apply for disclosure of the following information on qualifications I obtained in examinations for sales representatives, etc.

Type of information required (select all applicable items)	<input type="checkbox"/> Qualifications obtained (response will include name of qualification, date obtained, and method by which obtained) <input type="checkbox"/> Sales representative ID (individual ID number) <input type="checkbox"/> Other (please specify: _____)
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Full name	N.B. If your name has changed due to marriage, etc., please include your former name below.	
	Former name	
Date of birth	(Year/Month/Day)	
Address (please include post code)		
Contact details	Telephone	— —
	E-mail	
Employers (with month/year of employment and resignation)	(1)	(/ - /)
	(2)	(/ - /)
	(3)	(/ - /)
	(4)	(/ - /)
	(5)	(/ - /)
Prometric ID	<u>ID</u> N.B. Please be sure to include your Prometric ID if you submitted an individual application to sit an examination directly to Prometric Japan Co., Ltd. rather than through a securities company or bank, etc.	
Remarks		

Note: Please read the attached application guidelines before completing this form.

Name of Applicant: _____

Signature of Applicant: _____

* * * * * For office use only * * * * *

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Disclosure of Information on Qualifications Obtained in Examinations for Sales Representatives, etc.

If you wish to check information on qualifications obtained in examinations for sales representatives, etc. (name of qualification, date obtained, and method by which obtained), please submit an Application for Disclosure of Personal Information to the Japan Securities Dealers Association (JSDA) in accordance with the guidelines below.

Application Guidelines

To apply, please provide the necessary information on the Application for Disclosure of Personal Information (Qualifications Obtained in Examinations for Sales Representatives, etc.). 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. If you require information other than qualifications obtained or sales representative ID*, please select “Other” and specify details.”

(2) Under “Name” please write your current name.

(3) Please complete the “Former name” section if your name has changed due to marriage, etc.

(4) Please include your post code in the “Address” section.

(5) Under “Contact details” please provide a telephone number and/or e-mail address where you can be reached.

(6) In the “Employers (with month/year of employment and resignation)” section please write the names of all securities companies and banks, etc. you have worked for. Please write the company name as it was at the time you obtained your qualification or registration as a sales representative (e.g., XXX Securities Co., Ltd., YYY Bank), even if the name of the company subsequently changed. If you were temporarily assigned or dispatched to a securities company or bank at the time you obtained your qualification or registration as a sales representative, please write the name of the securities company or bank to which you were temporarily assigned or dispatched. 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.

(7) If you submitted an individual application to sit an examination directly to Prometric Japan Co., Ltd. rather than through a securities company or bank, please be sure to include your Prometric ID in the appropriate 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 held.

If you do not know your Prometric ID, please refer to Note 6 below. You do not need to complete this section if you submitted your application to sit an examination through a securities company, bank, etc.

(8) Please use the “Remarks” section if there is insufficient space in the employer list under item (6) above.

Response

- (1) The response to this application will include only 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 a qualification was obtained).
- (3) The response will include only qualifications recognized by JSDA as valid for sales representatives.

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 an applicant’s qualifications 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.
- (5) Qualifications formerly obtained at a securities company or bank, etc. may now have a different name.
- (6) JSDA is not able to provide Prometric IDs (obtained by examinees who submitted an individual application to sit an examination directly to the test administrator Prometric Japan Co., Ltd. rather than through a securities company or bank). Please inquire to Prometric Japan Co., Ltd. using the following web page (in Japanese):

https://j5.prometric-jp.com/password/id_send_1.asp?password_div=1

- (7) Please refer to the JSDA rules listed below for further information on systems governing the registration and qualification examinations of sales representatives. These rules are available on the JSDA website at: <http://www.jsda.or.jp/en/rules/index.html>

- Rules Concerning Qualification and Registration, etc. of Sales Representatives of Association Members
- Detailed Rules Relating to the Rules Concerning Qualification and Registration, Etc. of Sales Representatives of Association Members
- Rules Concerning Qualification Examination for Sales Representatives, Etc.
- Rules Concerning Employees of Association Members
- Rules Concerning Internal Administrators, Etc. of Association Members
- Rules Concerning Financial Instruments Intermediary Service Providers