

PRIVACY

PRIVACY POLICY

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Bloomberg L.P.
Attn: Legal Department 731
Lexington Avenue New York,
NY 10022

Modifications To This Privacy Policy

Bloomberg Tradebook reserves the right to change this privacy policy at any time by posting revisions on this Web page. Such changes will be effective upon posting.

Last Updated: November 18, 2013

Bloomberg Tradebook

Personal Information Protection Declaration

Bloomberg Tradebook Japan Limited

BLOOMBERG TRADEBOOK has developed and announces this Personal Information Protection Declaration as its policy for handling of the personal information of customers.

1. Compliance with Relevant Laws, Regulations and Guidelines

Our company shall comply with all applicable laws and regulations concerning the protection of personal information including the "Law concerning the Protection of Personal Information" (Law No. 57 of 2003, as amended), the guidelines of those state ministers with competency thereover and the guidelines of the Accredited Personal Information Protection Organization, as well as this Personal Information Protection Declaration.

2. Purposes of Use

Our company, unless the customer agrees or except as applicable laws, regulations and guidelines permit it as an exception, shall handle the personal information of customers solely to the extent of the achievement of the purposes of use of personal information within our company as described in the annex hereto (the "Purposes of Use"). Furthermore, the Purposes of Use shall be displayed in our headquarters, in addition to being published on the website and the like of our company. In the event that the Purposes of Use are modified, such modification shall also be published in the same manner. Please [click here](#) for the online privacy policy.

3. Safe Management Measures

Our company shall strive so that the content of the personal information of customers is accurate and current. Furthermore, in order to prevent the disclosure, loss or damage of the personal information of customers and to manage the safety of such personal information, the necessary and appropriate safe management measures shall be implemented and, in addition, the appropriate supervision of executives, staff and delegates shall be carried out.

4. Continuous Improvement

Our company, in order to strive for the appropriate handling of the personal information of customers, shall carry out the appropriate review of this Declaration and strive for continuous improvement.

5. Provision of Personal Information to Third Parties

Provision to Third Parties

Personal information may be made available to Bloomberg L.P. and its affiliates in order to enhance the services it provides as far as applicable laws, regulations and guidelines allow.

The Personal Information to Be Provided to Third Parties

The personal information provided to the third parties may include such persons' names, addresses, telephone/facsimile numbers, email addresses, employers' names, titles, career history and information about the use of its service, such as generic types of information accessed, times and volume of use of the service and traffic information as far as applicable laws, regulations and guidelines allow.

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Measures of Provision

Our company makes available some of the personal information above it collects to Bloomberg L.P. and its affiliates via its proprietary electronic network over which the BLOOMBERG PROFESSIONAL Service is provided as far as applicable laws, regulations and guidelines allow.

Suspension of Provision

The provision of any personal information to a third party which could be used to identify an individual may be suspended at the request of the individual in accordance with applicable laws regulations and guidelines. If customers would like to require suspension of provision of the personal information held by our company about them to the third parties, they may contact the person as set forth in Section 6 below with sufficient particulars to identify the information involved.

6. Matters concerning Personal Information held and handled by Our Company

Purposes of Use of All Personal Data Held

Same as the Purposes of Use described in Section 2.

Procedure for Requesting Disclosure, Etc.

Relevant law may permit customers to request to be informed of the purpose of use of the personal information, to request disclosure of personal information, to request amendments, additions or deletions of personal information, to request suspension of use of personal information, or to request to suspend the provision to third parties of the personal information, held by our company. If customers would like to exercise any of these rights with respect to personal information held by our company about them, they may contact the person as set forth in Sub-Section (3) below with sufficient particulars to identify the information involved. We will inform customers of the procedures that may be required, including the payment of any necessary fees.

Questions, Opinions, Etc.

Our company shall strive to make prompt and good faith responses to questions, opinions and the like concerning personal information received from customers. Customers may contact in writing our company via the contact information provided below with your questions, opinions and the like:

Address: Marunouchi Bldg. 21F
2-4-1 Marunochi, Chiyoda
Tokyo, Japan, 100-6321

Telephone: 03-3201-8898

Office hours: 9:00 am to 5:00 pm

E-mail: privacy@bloomberg.com and include Bloomberg Tradebook Japan in the subject line

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Accredited Personal Information Protection Organization

Our company is a member of the Japan Securities Dealers Association, an Accredited Personal Information Protection Organization that has received the authorization of the Financial Services Agency. Complaints and consultation concerning the association member's handling of personal information are accepted at the Securities Mediation and Consultation Center of the Association.

(Complaints and Consultation Counter):

Japan Securities Dealers Association
Securities Mediation and Consultation Center
Telephone (03-3667-8008)

(<http://www.jsda.or.jp/>) or each branch department of the Securities Mediation and Consultation Center near you

7. Handling of Sensitive Information

Our company shall not handle information concerning political thought, race and nationality, religious beliefs (including religion, thought and creed), entry into labor union, family status and original domicile, healthcare and medical care, sexual life or criminal record and other special nondisclosed information, in accordance with Cabinet Office Ordinances concerning regulation of the acts and the like of securities companies and the like.

8. Transfer of Personal Information To Other Countries

Some of the uses and disclosures mentioned in this privacy policy may involve the transfer and processing of your personal information to various countries around the world that may have different levels of privacy protection than your own country. By submitting your personal information, you consent to such transfers and processing, including to and in the United States.

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End
(Annex)

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Purposes of Use of the Personal Information of Customers August 21, 2015

Bloomberg Tradebook Japan Limited

Our company shall handle the personal information of customers solely to the extent necessary to achieve the purpose of implementing the business content and achieving the purposes of use below:

1. Business Content:

Purchase and sale of negotiable securities, futures transactions such as a negotiable securities index, negotiable securities options trading or foreign market securities futures trading

Mediation, agency or proxy for the purchase and sale of negotiable securities, futures transactions such as a negotiable securities index, negotiable securities options trading or foreign market securities futures trading

Mediation, agency or proxy for the delegation of the purchase and sale of negotiable securities, futures transactions such as a negotiable securities index, negotiable securities options trading in the market for negotiable securities, as well as mediation, agency or proxy for the delegation of the purchase and sale of negotiable securities or foreign market securities futures trading

Other services relating to securities business

Intermediation of OTC derivatives transactions

2. Purposes of Use:

In order to provide solicitation, sale and service for the electronic Bloomberg trading platforms pursuant to the Financial Instruments and Exchange Act (including those related to PTS and OTC derivatives trading)

In order to carry out solicitation, sale and service guidance for the electronic Bloomberg trading platforms pursuant to the Financial Instruments and Exchange Act (including those related to PTS and OTC derivatives trading)

In order to carry out solicitation, sale and service guidance for the electronic Bloomberg trading platforms of our company, affiliates or associated companies

In order to judge the appropriateness of the providing of the electronic Bloomberg trading platforms and services to the customer

In order to confirm whether a customer is the actual party concerned or the agent of the party concerned

In order to carry out notice of transaction results and the like to the customer

In order to carry out administrative matters related to transactions with the customer

For the purpose of the research and development of financial products and services by means of the implementation of market surveys as well as data analysis and questionnaires and the like

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In order to properly perform delegated work, when all or part of the processing of the personal information has been delegated from another business entity or the like
Such other matters in order to appropriately and smoothly perform other transactions with the customer (including PTS and OTC derivatives trading work based on the Financial Instruments and Exchange Act)

In order to make personal information available to Bloomberg L.P. and its affiliates to support our company's provision of the electronic Bloomberg trading platforms and to enhance and promote the services Bloomberg L.P. and its affiliates provides as far as applicable laws, regulations and guidelines allow

In order to enhance and promote the services Bloomberg Tradebook Japan provides as far as applicable laws, regulations and guidelines allow

Bloomberg Tradebook Japan may also disclose your information to unaffiliated third parties if we believe in good faith that such disclosure is necessary: (a) to comply with the law or in response to a subpoena, court order, government request, or other legal process; (b) to produce relevant documents or information in connection with litigation, arbitration, mediation, adjudication, government or internal investigations, or other legal or administrative proceedings; (c) to protect the interests, rights, safety, or property of Bloomberg Tradebook Japan or others; (d) to enforce any terms of service on this Site; or (e) to provide you and other customers with the services or products requested by you and/or the other customers (including allowing a purchaser of Bloomberg Tradebook Japan to continue to serve you) and to perform other activities related to such services and products, including billing and collection.

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