

Outline of the Organization of FINMAC

Financial Instruments Mediation Assistance Center (abbreviation: FINMAC) is an organization that accepts consultations and complaints regarding troubles related to transactions of financial instruments, including stocks, investment trusts, and foreign exchange margin trading (FX), and resolves disputes in a fair and neutral manner.

In the event users are not satisfied with the handling of consultation and complaint, FINMAC provides for the settlement of disputes through mediation by lawyers.

(Note) FINMAC is an abbreviation of the capital letters of
Financial Instruments Mediation Assistance Center.

- Link to “Message from the Chairman”
<http://www.finmac.or.jp/english/message/>
- Link to “History”
http://www.finmac.or.jp/english/pdf/en_03.pdf

■ Name

Non-Profit Organization, Financial Instruments Mediation Assistance Center
(abbreviation: FINMAC)

■ Chairman

Takafumi Sato

■ Starting Date of Business Operation

February 1, 2010

■ Location

Tokyo Head Office: Daini Shoken Kaikan, 2-1-1, Kayaba-cho, Nihonbashi,
Chuo-ku, Tokyo

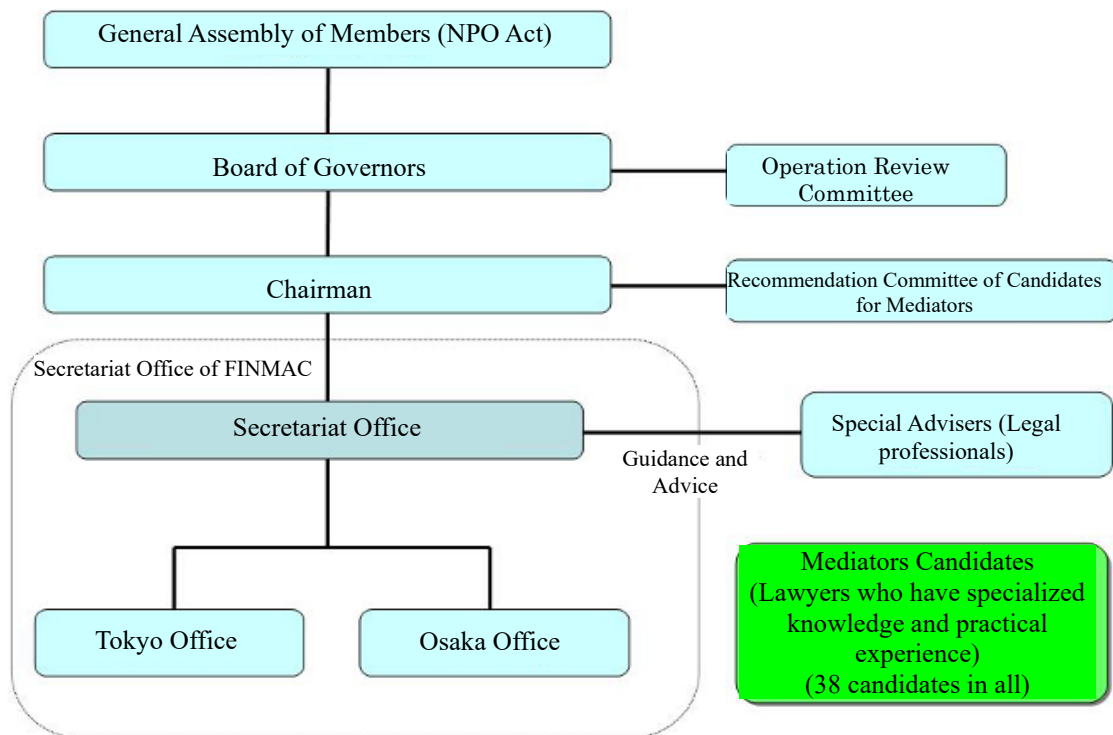
Osaka Office: Osaka Heiwa Bldg., 1-5-5, Kitahama, Chuo-ku, Osaka-shi

■ Purpose of Establishment

- > Link to “Purpose of Establishment”
http://www.finmac.or.jp/english/pdf/en_01.pdf

■ Major Activities

Response to consultations and complaints from customers, and provision of mediation services for the settlement of disputes related to Financial Instruments Business.



■ List of Members of the Board of Governors, Operation Review Committee, etc.

(1) List of Members of the Board of Governors

	Chairman	Takafumi Sato	Former Commissioner, Financial Services Agency
	Director	Hiroko Aoki	Professor, Chiba University
	Director	Yoshimitsu Aoyama	Honorary Professor, University of Tokyo
	Director	Yasufumi Takahashi	Permanent staff of FINMAC
	Director	Kimie Harada	Professor, Chuo University
	Director	Manabu Morimoto	Vice-Chairman, Japan Securities Dealers Association
	Auditor	Shigeto Kurabayashi	Standing Auditor, Japan Securities Dealers Association
			(Honorifics omitted)

(2) Special Adviser

Special Adviser	Toyomi Takimoto	Lawyer
		(Honorifics mitted)

(3) List of Members of the Operation Review Committee

Chairperson	Masao Yanaga	Professor, Graduate School of Business Sciences, University of Tsukuba
Vice-chairperson	Michiyoshi Homma	Lawyer
Member	Ichiro Aoki	Senior Managing Director, Type II Financial Instruments Firms Association
Member	Tokuo Iwasako	Professor, Institute of Economic Research, Hitotsubashi University
Member	Toru Uotsu	Executive Vice President, Mito Securities Co., Ltd.
Member	Noriyuki Okada	Vice Chairman & Senior Managing Director, Japan Investment Advisers Association
Member	Fumiaki Kurahara	Director & Vice Chairman, Citigroup Global Markets Japan Inc.
Member	Jun Sugie	Vice Chairman & Senior Managing Director, The Investment Trusts Association, Japan
Member	Nobuko Takahashi	Lifestyle and Economic Journalist
Member	Mario Takeno	Vice Chairman & Senior Managing Director, Japan Securities Dealers Association
Member	Naomi Hayashi	Director and Managing Executive Officer, MUFG Bank, Ltd.
Member	Okie Matsumoto	Executive Chairman, Monex, Inc.
Member	Shinichi Mizuno	Operating Officer, Nomura Securities Co., Ltd.
Member	Atsushi Mochizuki	Representative Senior Executive Managing Director, Daiwa Securities Co. Ltd.
Member	Teruyoshi Yamazaki	Senior Managing Director, Financial Futures Association of Japan

	Member	Shinroku Wakayama	President & CEO, Tokyo Tatemono Investment Advisors Co., Ltd.
			(Honorifics omitted)

(4) List of Members of the Recommendation Committee of Candidates for Mediators

	Chairperson	Akira Kaneko	Lawyer; Professor Emeritus, Keio University
	Member	Mikinao Kitada	Lawyer; Former Superintending Prosecutor, Osaka High Public Prosecutors Office
	Member	Toyomi Takimoto	Lawyer; Special Adviser of FINMAC
			(Honorifics omitted)

(5) Mediators Candidates
List of Mediators Candidates