

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

Masaharu Hino

■ Starting Date of Business Operation

February 1, 2010

■ Location

Tokyo Head Office: Daisan Shoken Kaikan, 2-1-13, Kayaba-cho, Nihonbashi,
Chuo-ku, Tokyo

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

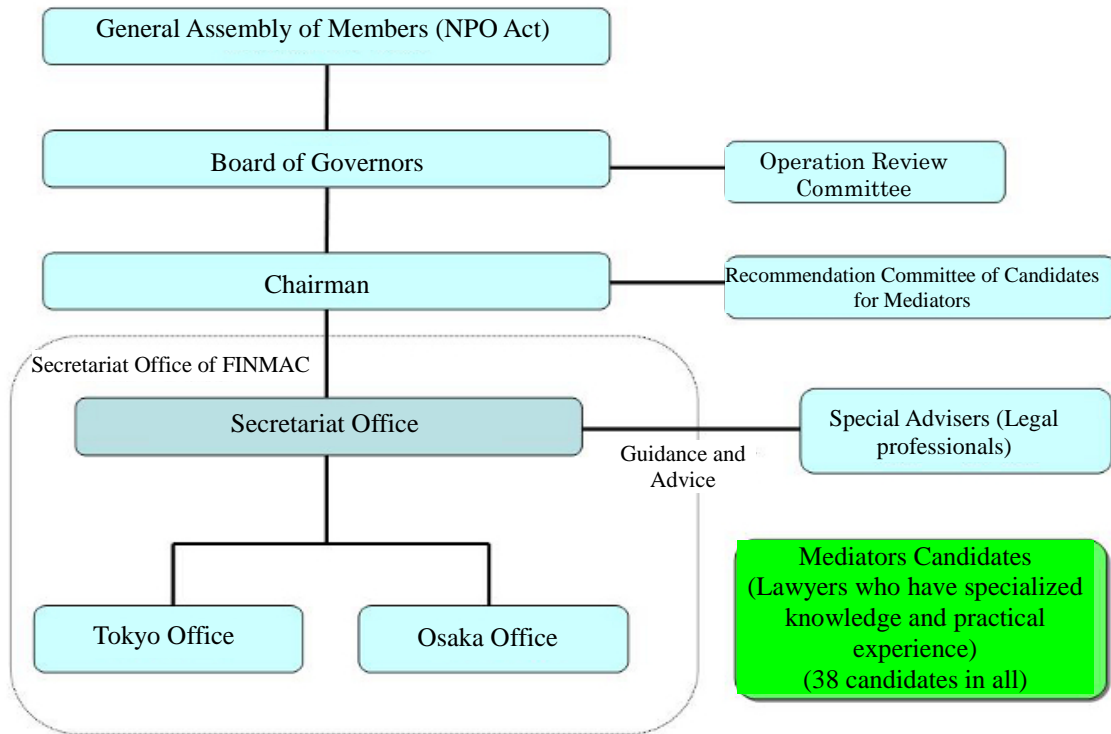
■ Purpose of Establishment

- > 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.

■ Organization Chart of FINMAC



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

(1) List of Members of the Board of Governors

Chairman	Masaharu Hino	Lawyer
Director	Yoshimitsu Aoyama	Specially Appointed Professor, Graduate School of Law, Meiji University
Director	Yoshio Okubo	Vice-Chairman & Senior Managing Director, Japan Securities Dealers Association
Director	Yuri Okina	Counselor, The Japan Research Institute, Limited
Director	Tatsuhiko Kawakami	Former Chair of Self-regulatory Board, Japan Securities Dealers Association
Director	Tadaharu Matsukawa	Permanent staff of FINMAC
Auditor	Yoji Kanie	Standing Auditor, Japan Securities Dealers Association
		(Honorifics omitted)

(2) Special Adviser

Special Adviser	Yoshio Okada	Lawyer (Former President of the Osaka High Court)
		(Honorifics omitted)

(3) List of Members of the Operation Review Committee

Chairperson	Kazuhito Ikee	Professor, Faculty of Economics, Keio University
Vice-chairperson	Masao Yanaga	Professor, Graduate School of Business Sciences, University of Tsukuba
Member	Osamu Abiru	Representative Senior Executive Managing Director, Daiwa Securities Co. Ltd.
Member	Fumio Inui	Vice-Chairman, The Investment Trusts Association, Japan
Member	Kazuhiko Kobayashi	President and Representative Director, Mito Securities Co., Ltd.
Member	Keizo Goto	Senior Managing Director, Financial Futures Association of Japan
Member	Akira Sugano	Managing Executive Officer, Mizuho Bank, Ltd.
Member	Nobuko Takahashi	Lifestyle and Economic Journalist
Member	Shogo Nakai	President and Representative Director, Mitsui Fudosan Investment Advisors, Inc.
Member	Tsunehiro Nakayama	Chairman and Representative Director, Merrill Lynch Japan Securities Co., Ltd.
Member	Kazuhiko Nagao	Vice Chairman & Senior Managing Director, Japan Investment Advisors Association
Member	Shoichi Nagamatsu	Executive Managing Director & Senior Corporate Managing Director, Nomura Securities Co., Ltd.
Member	Michiyoshi Homma	Lawyer
Member	Kiichiro Masui	Vice-Chairman, Japan Securities Dealers Association
Member	Oki Matsumoto	Representative Director, Chairman and CEO, Monex, Inc.
Member	Munetsugu	Senior Managing Director, Type II Financial

	Wakamatsu	Instruments Firms Association
		(Honorifics omitted)

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

Chairperson	Yoshio Okada	As mentioned above
Member	Takashi Ooizumi	Lawyer; Director, The Investment Trusts Association, Japan
Member	Akira Kaneko	Lawyer; Professor Emeritus, Keio University
		(Honorifics omitted)

(5) Mediators Candidates
List of Mediators Candidates

■ Operational and Financial Data

- > Link to FY 2011 Business Report”
http://www.finmac.or.jp/english/pdf/en_09.pdf
- > Link to “FY 2010 Business Report”
http://www.finmac.or.jp/english/pdf/en_08.pdf
- > Link to “FY 2009 Business Report”
http://www.finmac.or.jp/english/pdf/en_07.pdf