

Provision of Personal Data to Third Parties

(1) Provision of Personal Data to Third Parties as Purpose of Use

The purpose of the use of personal data at Nikko Citigroup Limited (the “Company”) is to provide all or part of that information to third parties.

(2) Personal Data to be Provided to Third Parties

Personal data that the Company provides to third parties for the above purpose may include the following:

- Name
- Name of employer
- Employer’s address
- Name of department in which the person works
- Job title
- Work telephone number
- Work e-mail address

(3) Means and Methods for Providing Personal Data to Third Parties

The Company may provide personal data belonging to financial analysts and other individuals in its possession by means of communication in writing or by electronic means to newspaper companies, publishers and other third parties (the “Third Parties”), which in turn may be used by the Third Parties to produce financial analyst rankings or special articles. The Company may also provide to the Third Parties personal data belonging to the contact persons at its institutional clients etc., which it has in its possession, either in writing or by electronic means, which may be used to prepare and send out invitations to conferences, seminars and other events.

(4) Cessation of the Provision of Personal Data to Third Parties upon Request

If an individual requests the Company not to provide certain personal data that would identify him/her as an individual, the Company will not provide such personal data to a third party. Any individual who wishes to make such request may contact the Company’s Information Security Office, whose contact details are given below.

Nikko Citigroup Limited
Information Security Office
Shin-Marunouchi Building

1-5-1 Marunouchi, Chiyoda-ku, Tokyo 100-6520

Tel: 03-6270-5930

Hours: 9:00 AM ~ 5:00 PM

(Except Saturdays, Sundays, National Holidays and New Year/Year End Holidays)

E-mail: PIPL@nikkociti.com

Note: In the event of inconsistency or difference in meaning or interpretation between this English version and the Japanese version, the latter will prevail.