

# **Guide to Procedures concerning Applications for Personal Information Disclosure**

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**Citigroup Japan Holdings  
("Company")**

## **1. What types of applications are available?**

- (1) Applications are accepted for inquiries into “collected personal data” (hereinafter termed “Collected Personal Data”) as described in Article 16-(4) of the *Basic Policy concerning the Protection of Personal Information* of the Company.
- (2) The applicant is able to submit applications regarding the Collected Personal Data of the said applicant but not the Collected Personal Data of a third party. For application by proxy, please refer to item 13.
- (3) There are four types of applications listed below from (a) through (d) (hereinafter termed “Disclosure.”).
  - (a) disclosure
  - (b) revision, addition, or deletion
  - (c) suspension of use, removal, or suspension of provision to third parties
  - (d) notification on the purposes of use
- (4) For applications as described in (3), charges are made according to the method specified by the Company for application types (a) and (d).

## **2. What is the basic flow of the application procedure?**

- (1) Please request an “*Application for Personal Information Disclosure.*” at the office designated by the Company (“Designated Office”). When receiving the application form, please mention that the application is made in compliance with the Law Governing the Protection of Personal Information.
- (2) Fill out the necessary information in the said application form and submit it at the Designated Office (your identity will be confirmed in a designated method). Applications are also accepted by mail.
- (3) Based on the information in the application form received, the Company will conduct the necessary investigation and produce a report based on the Law Governing the Protection of Personal Information.
- (4) The said report (“Letter of Response”) will be mailed using a method that certifies mail delivery.

## **3. Where is the Designated Office?**

Please inquire with the Company’s Corporate Communications. An *Application for Personal Information Disclosure* will be sent to you.

Please contact: Corporate Affairs, Citigroup Japan Holdings Corp. at 03-6270-9848 requesting the extension for Corporate Affairs.

## **4. Where can I find the application form?**

Please request an *Application for Personal Information Disclosure, etc.* at the

Designated Office. A copy will be sent to the address you specify.

The application form is also available as a printable PDF file, when you click “Personal Information Protection Policy” on the Company’s Web site.

## 5. How do I return the application form?

Mail to: [Personal Information] Corporate Affairs,  
Citigroup Japan Holdings Corp.

Shin-Marunouchi Building, 5-1, Marunouchi 1-Chome, Chiyoda-ku, Tokyo  
100-6520

## 6. Do you confirm the identity of the applicant?

In compliance with the procedure provided in the Identity Confirmation Law, we will confirm the authenticity of the identity of the applicant using the following documents. Please submit one of the following documents for confirmation of identity together with the *Application for Personal Information Disclosure, etc.*

- Driver’s license ●Copy of certificate of residence\* ●Certificate of official seal\*
- Certificate of health insurance ●Certificate of pension policy
- Certificate of social welfare benefit ●Certificate authenticating information on the certificate of residence\* ●Certificate of change of address\*
- Certificate of alien registration\* ●Certificate of completion of alien registration\*

For documents marked with an asterisk (\*), the original should be issued within the last six months. Other documents should be submitted in copies that are valid and have not expired. If a change in address is entered on the reverse of the driver’s license, please submit a copy of the reverse as well. When submitting a certificate of residence, etc., the copy should include pages that show the seal and date of validity of the issuing authority. When submitting a certificate of health insurance, please confirm that it includes your address.

## 7. Is there a charge for this service?

- (1) ¥1000 (¥953 without tax) will be charged for each copy of the Letter of Response notification of use purpose and disclosure.
- (2) The Letter of Response will be mailed on cash-on-delivery basis. Please pay the charge at the time of receipt of the Letter of Response.
- (3) If a disclosure application is made for certificates that require an issuance fee, this issuance fee will be required in addition to the charge described above.

## 8. What Personal Information will be disclosed?

Collected Personal Data of the applicant will be disclosed. However, information may not be disclosed in full or in part if the particular conditions satisfy requirements under the Law Governing the Protection of Personal Information. In such case, a Letter of Response to this effect will be mailed instead.

Issuance of certificates created before enforcement of the Law does not

necessarily require application under the Law Governing the Protection of Personal Information.

**9. Can Personal Information be revised, added, or deleted?**

Collected Personal Data of the applicant may be revised, added, or deleted (hereinafter termed "Revision.") through an application by the relevant applicant, when unsubstantiated information, through error or revision, is found in the Collected Personal Data. In the case of application for Revision, the applicant will be required to enter information on the error or a change to the Personal Information or correct facts, etc., in the *Application for Personal Information Disclosure, etc.* and submit substantiating documents. However, information may not be revised in full or in part if the particular conditions satisfy requirements under the Law Governing the Protection of Personal Information. In such case, a Letter of Response to this effect will be mailed instead.

Changes to the applicant's name, address, or telephone number that have been performed before enforcement of the Law do not necessarily require an application under the Law Governing the Protection of Personal Information.

**10. Can use of Personal Information be suspended, Personal Information be removed, or provision of Personal Information to third parties be suspended?**

With respect to Collected Personal Data, an application for suspension of use or removal may be submitted if the Personal Information is either being used beyond the limits necessary for the achievement of the purpose of use, or has been collected through unauthorized means; applications for suspension of provision of personal information to third parties may be submitted if the Personal Information is being provided to third parties that do not satisfy the requirements. If the reason for application is identified, suspension of use, removal of information, or suspension of provision to third parties (hereinafter termed "Suspension of Use") will be implemented. For this application, the problem in information handling by the Company should be described in concrete detail in the *Application for Personal Information Disclosure, etc.* However, suspension of use, etc. may not be carried out in full or in part if the particular conditions satisfy requirements under the Law Governing the Protection of Personal Information. In such case, a Letter of Response to this effect will be mailed instead.

**11. Can I receive notification about the purposes of use of Personal Information?**

Applications may be submitted for notification of the purposes of use of Collected Personal Data. However, notification may not be made if the particular conditions satisfy requirements under the Law Governing the Protection of Personal Information. In such

case, a Letter of Response to this effect will be mailed instead.

The Company's *Basic Policy concerning the Protection of Personal Information* describing the purposes of use of collected personal information is available on the Company web site. Also, leaflets explaining our "Basic Policy concerning the Protection of Personal Information" are also available by mail free of charge, when requested at Company Designated Offices.

## **12. What is the method used for responding to inquiries?**

- (1) A Letter of Response designated by the Company will be mailed to the applicant's registered address, following authentication of identity, using a method that certifies delivery.
- (2) A single copy of the Letter of Response will be issued, in principle.
- (3) A certain amount of time will be required from application to mailing of the Letter of Response.
- (4) Inquiries regarding content, etc., of the Letter of Response will be accepted at Company Designated Offices.

## **13. Can an application be submitted by proxy?**

An application may be submitted by a legal proxy or voluntary proxy on behalf of the applicant.

- A legal proxy is a person designated as a proxy under law.
- A voluntary proxy is any proxy other than a legal proxy.

- (1) In the case of application by proxy, the identity of the proxy will be authenticated by implementing a procedure under the Identity Confirmation Law. Also, the proxy is required to submit an impression of the proxy's registered seal on the *Application for Personal Information Disclosure, etc.*, as well as a Certificate of Seal Registration.
- (2) A legal proxy shall be required to submit a copy of the family registry or other documents that substantiate and establish a relationship with the applicant, as required by law.
- (3) A voluntary proxy shall be required to submit impressions of the registered seals of the applicant and of the proxy on the Letter of Proxy designated by the Company, together with Certificates of Seal Registration.
- (4) The Letter of Response will be mailed to the registered address of the applicant using a method that certifies delivery. However, the said Letter of Response may be mailed to the address of the legal proxy using a method that certifies delivery, if so requested by the legal proxy.