



## Privacy Policy

Royal Bank of Canada, Tokyo Branch

We will in good faith take appropriate measures to protect the clients' personal information.

### **1. Compliance with the relevant laws etc.**

We will comply with the Personal Information Protection Act and other relevant laws, regulations and guidelines of the competent minister etc.

### **2. The purposes of obtaining personal information**

We obtain our clients' personal information for the purposes of developing safe and reliable transactions and providing better financial products and services to our clients. Specifically, we use such information for the purposes of identification, confirming the terms and conditions of transactions and the provision of information in relation to new products and services, etc. The clients' addresses, names, birthdays, gender types and phone numbers, etc. are the most common types of information obtained. In addition, there is other information which is obtained upon the commencement of a transaction.

The personal information shall be used to the extent necessary in the conduct of business within the scope of the purpose stipulated above and not for any other purpose.

(\* We do not obtain or use My Number and any personal information containing a My Number.)

### **3. Methods of obtaining personal information**

We may, upon taking sufficient protection measures, obtain the clients' personal information by means of the postal system or electronically through the internet and by telephone.

### **4. Purposes for which the personal information will be used**

We will use personal information for the following purposes. We will not, without prior consent from clients, use personal information beyond the necessary scope in

order to achieve the following purposes except for the cases permitted by the Personal Information Protection Law. We will not use or provide to any third parties special non-disclosure information concerning race, belief, family origin, domicile and information related to health and medical care or criminal records, etc. for any other purposes deemed necessary.

- For providing financial products and services offered;
- For accepting applications for financial instruments and services, including an account of various financial instruments;
- For performing the obligation of client identification (confirmation of the representative person or the person in charge of the client company), etc. under the Act on Prevention of Transfer of Criminal Proceeds, other laws and regulations;
- For compliance with laws and regulations, risk management, enhancement of services, promotion of internal business and internal control;
- For contacts and references regarding settlements, deliveries, transaction reports, account balances, etc. with the clients;
- For obtaining necessary information to respond inquiries from clients;
- For sending greetings, etc. and information related to various seminars and receptions, etc;
- For carrying out operations related to transactions with clients;
- For promotion of financial products and services related to the RBC group companies and affiliates;
- For any other matters to conduct transactions properly and smoothly with clients;
- For employment of personnel.

## **5. Joint use of personal information**

We will jointly use personal information with the following the RBC group companies and affiliates within the scope of purposes of use stated above.

- Royal Bank of Canada (Head office, branch offices)
- RBC Capital Markets (Japan) Ltd.
- RBC Europe Limited
- RBC Dominion Securities Inc.
- RBC Capital Markets LLC
- Other RBC group companies stated in the “Status of affiliated companies” of “Securities Report (*Yukashoken Hokokusho*)” submitted by Royal Bank of Canada (*Yukashoken Hokokusho* is available through EDINET web-site.)

## **6. Provision of personal information to third parties**

We do not provide the clients’ personal information to third parties except in the following cases:

- when consent is given by the clients;
- when required by laws and regulations;
- when requested from a body that has a legitimate authority under applicable laws or ordinances, such as a tax office, a court, Police Department and other organization;
- when deemed necessary for the benefit of the clients and the public; and
- when third parties are placed in charge of personal information to entrust the handling of personal data.  
(in this case, upon investigation of the relevant third party, we will execute necessary agreements therewith or otherwise take necessary measures required by laws and regulations)

## **7. Management of personal information**

We will endeavour to keep the clients' personal information etc. accurate or up to date. We will take necessary and appropriate safe control measures and properly supervise all the staff and outsourcing companies.

## **8. Continuous improvement**

We will endeavour to review as appropriate and improve continuously the handling of the clients' personal information etc. for the purpose of its appropriateness.

## **9. Requests from clients to disclose, correct or suspend to use personal information**

When a client requests the disclosure, correction or suspension etc. of his/her personal information, we will endeavour to properly and promptly respond to such a request by following the necessary identification procedures.

## **10. Contact Information**

Please contact the following for disclosure, correction or suspension of use of requests pertaining to personal information or for any queries.

Royal Bank of Canada, Tokyo Branch  
Compliance Department  
〒105-0001  
8F, Toranomon Towers Office  
1-28 Toranomon 4-chome, Minato-ku, Tokyo  
TEL : 03-4577-7165  
office hours: 9:00 - 17:00  
(excluding Saturday, Sunday, Holiday and New Year holidays)

## **11. Authorized Personal Information Protection Association**

Royal Bank of Canada, Tokyo Branch is a special member of the Japan Securities Dealers Association (“JSDA”) that is the Authorised Personal Information Protection Association approved by the Japan Financial Services Agency. The arbitration and consultation centre of the JSDA take care of complaint or reference to the member firms in respect of personal information.

Japan Securities Dealers Association  
Personal Information Consultation Office  
TEL: 03-3667-8427  
<http://www.jsda.or.jp/en/index.html>

## **12. Alteration**

We may alter or modify the contents hereof in accordance with the amendments to applicable laws and regulations etc. or for other reasons. In any such case, such alteration or modification will be made available on the homepage of Royal Bank of Canada, Tokyo Branch.

Established : April 1, 2005

Revised : August 2, 2016

Revised : May 30, 2017