

Ordinance for Enforcement of the Act on Prevention of Transfer of Criminal Proceeds

Article 1 (Matters Specified by a Cabinet Order as Prescribed in Article 3, item (i) of the Order)

(1) Matters specified by a Cabinet Order for Enforcement of the Act on Prevention of Transfer of Criminal Proceeds (hereinafter referred to as the “Order”) as prescribed in Article 3, item (i) is a leasing contract in which there is no clause stating that the contract cannot be cancelled, and in which a lessee is to pay almost all of the payment for the unpaid leasing term in case of breach or cancellation of the contract.

(2) The leasing of machinery and any other articles where the total of the expenses paid by a person who receives the leasing service during the leasing term (limited to the term during which the contract pertaining to the leasing of the said machinery and articles may not be cancelled) exceeds the amount almost equivalent to 90% of the value usually needed for obtaining such machinery or article shall fall under the scope of the leasing contract in which the person is expected to bear substantial expenses resulting from the use of the articles set forth in Article 3, item (ii) of the Order.

Article 2 (Contracts pertaining to Persons Excluded from the Scope of Beneficiaries of Trust)

The contracts specified by an ordinance of the competent ministries as prescribed in Article 5 of the Order shall be the following:

(i) Qualified retirement pension contract prescribed in Article 20, paragraph 3 of the Supplementary Provisions of the Corporation Tax Act (Act No. 34 of 1965) (hereinafter referred to as a “qualified retirement pension contract”)

(ii) Trust contract implemented as a measure prescribed in Article 3 or Article 5 of the Act on Securing of Payment of Salaries, etc. (Act No. 34 of 1976)

(iii) Trust contract for the management and disposal of securities and money to appropriate them for the payment of a retirement allowance, etc. prescribed in Article 30, paragraph 1 of the Income Tax Act (Act No. 33 of 1965)

(iv) Trust contract in which money deducted from salaries, etc. (which means salaries, etc. prescribed in Article 28, paragraph 1 of the Income Tax Act) of an employee (including an officer of a legal person; the same shall apply hereinafter) is treated as trust money

(v) Trust contract pertaining to a public trust prescribed in Article 1 of the Act on Public Trust (Act No. 62 of 1922)

(vi) Contract for a trust prescribed in Article 130-2, paragraph 1 and paragraph 2 of the Welfare Pension Insurance Act (Act No. 115 of 1954) (including the cases where it is applied mutatis mutandis pursuant to Article 136-3, paragraph 2 of the same Act) as well as in Article 136-3, paragraph 1, item (i) and item (v), (f) of the same Act, which is concluded by a welfare pension fund, contract for a trust prescribed in Article 159-2, paragraph 1 and paragraph 2 of the same Act, in Article 136-3, paragraph 1, item (i) and item (v), (f) of the same Act as applied mutatis

mutandis pursuant to Article 164, paragraph 3 of the same Act, in Article 130-2, paragraph 2 of the same Act as applied mutatis mutandis pursuant to Article 136-3, paragraph 2 of the same Act as applied mutatis mutandis pursuant to Article 164, paragraph 3 of the same Act, as well as in Article 65, paragraph 1, item (i) of the Defined-Benefit Corporate Pension Act (Act No. 50 of 2001) under Article 66, paragraph 1 of the same Act as applied mutatis mutandis pursuant to Article 91-7 of the same Act, and in Article 66, paragraph 2 of the same Act as applied mutatis mutandis pursuant to Article 91-7 of the same Act, which is concluded by the Pension Fund Association, contract for a trust prescribed in Article 128, paragraph 3 of the National Pension Act (Act No. 141 of 1959) and in Article 30, paragraph 1, item (i) and item (v), (f) and paragraph 2 of the National Pension Fund Order (Cabinet Order No. 304 of 1990), which is concluded by a national pension fund, contract for a trust prescribed in Article 317-15, paragraph 4 of the National Pension Act and in Article 30, paragraph 1, item (i) and item (v), (f) and paragraph 2 of the National Pension Fund Order as applied mutatis mutandis pursuant to Article 51, paragraph 1 of the same Order, which is concluded by the National Pension Fund Association, and contract for a trust prescribed in Article 21, paragraph 1, item (iii) of the Government Pension Investment Fund Act (Act No. 105 of 2004), which is concluded by the Government Pension Investment Fund

Article 3 (Identification Methods)

(1) The methods specified by an ordinance of the competent ministries as prescribed in Article 4, paragraph 1 of the Act on Prevention of Transfer of Criminal Proceeds (hereinafter referred to as “the Act”) shall, according to the categories of customers, etc. listed in the following items (which means customers, etc. prescribed in the same paragraph, including natural persons who shall be deemed to be a customer, etc. pursuant to paragraph 3 of the same Article (hereinafter referred to as “deemed-customer(s), etc.”); the same shall apply hereinafter) or representative persons, etc. (which means representative persons, etc. prescribed in paragraph 2 of the same Article; the same shall apply hereinafter), be the methods specified in the respective items:

(i) A customer, etc. (excluding those listed in the following item) or representative person, etc. who is a natural person: any of the following methods:

(a) Having the customer, etc. or representative person, etc. present his/her identification document (which means any of the documents prescribed in the following Article; the same shall apply hereinafter), which is specified in item (i) or item (iv) of the same Article (excluding those listed in item (i), (b) and (g) of the same Article) (excluding the case where the representative person, etc. presents the document of the said customer, etc. listed in item (i), (f) of the same Article (excluding those for which the issuance has taken place only once; the same shall apply in (b)))

(b) Having the customer, etc. or representative person, etc. present his/her identification document listed in item 1 (b), (f) or (g) of the following Article (in the case of the presentation of the document listed in (f) of the same item, limited to the case where the representative person, etc. presents the said document of the said

customer, etc.), and then sending the deposit passbook and any other document pertaining to the transaction with the said customer, etc. or representative person, etc. (hereinafter referred to as the “documents pertaining to the transaction”) to the residence of the customer, etc. or representative person, etc. indicated in the said identification document by registered mail or other mail for which the acceptance and delivery shall be recorded or other mail equivalent thereto (hereinafter referred to as “registered mail, etc.”) as a postal item which shall not be forwarded or any other postal item equivalent thereto (hereinafter referred to as “postal item requiring no forwarding, etc.”)

(c) Having the customer, etc. or representative person, etc. send his/her identification document specified in item (i) or item (iv) of the following Article or a copy thereof, receiving the said identification document or a copy thereof (including a copy made by a specified business operator (which means a specified business operator prescribed in Article 2, paragraph 2 of the Act; the same shall apply hereinafter)) and attaching such document to an identification record (which means an identification record prescribed in Article 6, paragraph 1 of the Act; the same shall apply hereinafter) pursuant to Article 9, and then sending the documents pertaining to the transaction to the residence of the said customer, etc. or representative person, etc. indicated in the said identification document by registered mail, etc. as a postal item requiring no forwarding, etc.

(d) Sending the documents pertaining to the transaction to the said customer, etc. or representative person, etc. by mail to be delivered only to the addressee him/herself or a person designated by the sender to receive them on behalf of the addressee, or other mail equivalent thereto (limited to the case where measures have been taken for verifying the residence of the said customer, etc. or representative person, etc., having the identification document presented on behalf of the specified business operator, and communicating the matters listed in Article 10, paragraph 1, items (i), (iii) (except for matters in parenthesis), and (ix) to the specified business operator)

(e) Having the customer, etc. or representative person, etc. transmit an electronic certificate which is issued by a person accredited under Article 4, paragraph 1 of the Act on Electronic Signature and Authentication Services (Act No. 102 of 2000; hereinafter referred to as the “Electronic Signature Act” in this paragraph) and which is used for that person’s authentication services (limited to those indicating the name, residence, and date of birth of the said customer, etc. or representative person, etc.), as well as information on the specified transaction (which means a specified transaction prescribed in Article 4, paragraph 1 of the Act; the same shall apply hereinafter) for which an electronic signature prescribed in Article 2, paragraph 1 of the Electronic Signature Act has been made with authentication by the said electronic certificate, and receiving such certificate or information

(f) Having the customer, etc. or representative person, etc. transmit an electronic certificate issued by a prefectural governor pursuant to Article 3, paragraph 6 of the Act on Electronic Signature Authentication Services by Local Public Entities (Act No. 153 of 2002; hereinafter referred to as the “Public

Authentication Act” in this item) (hereinafter this certificate shall be referred to as a “public electronic certificate” in this item) as well as information on the specified transaction for which an electronic signature prescribed in Article 2, paragraph 1 of the Public Authentication Act has been made with authentication by the said public electronic certificate, and also transmit information on the application for specific authentication services (which means specific authentication services prescribed in Article 2, paragraph 3 of the Electronic Signature Act; the same shall apply in this item) for which an electronic signature prescribed in Article 2, paragraph 1 of the Public Authentication Act has been made with authentication by the said public electronic certificate, and receiving such certificate or information simultaneously (limited to the case where a specified business operator is the signature verifier prescribed in Article 17, paragraph 4 of the Public Authentication Act; in this case, if the said specified business operator is an administrative organ, etc. prescribed in Article 17, paragraph 1 of the Public Authentication Act, it shall not be required to receive the information on the said application)

(g) Having the customer, etc. or representative person, etc. transmit an electronic certificate, which is issued by a person who is accredited by the Minister of Internal Affairs and Communications as prescribed in Article 17, paragraph 1 of the Public Authentication Act and who is the signature verifier prescribed in paragraph 4 of the same Article, and which is used for specific authentication services performed by the said accredited person (limited to those indicating the name, residence and date of birth of the customer, etc. or representative person, etc., and also limited to those issued after the user identification set forth in Article 3, paragraph 3 of the same Act pertaining to the said customer, etc. or representative person, etc. has been conducted by receiving from him/her a public electronic certificate and information on application prescribed in (f) or by any other method prescribed in the items of Article 5, paragraph 1 of the Ordinance for Enforcement of the Act on Electronic Signature and Authentication Services (Ordinance of the Ministry of Internal Affairs and Communications, Ministry of Justice, and Ministry of Economy, Trade and Industry No. 2 of 2001)) as well as information on the specified transaction for which an electronic signature prescribed in Article 2, paragraph 1 of the Electronic Signature Act has been made with authentication by the said electronic certificate, and receiving such certificate or information

(h) As for a transaction specified in Article 8, paragraph 1, item (i), (c) to (o) of the Order and items (ii) and (iii) of the same paragraph for which settlement is made by an account transfer via a specific deposit or savings account, verifying that another specified business operator pertaining to the said account has conducted customer identification (which means identification prescribed in Article 4, paragraph 1 of the Act; the same shall apply hereinafter) of the said customer, etc. or representative person, etc. on carrying out a transaction listed in Article 8, paragraph 1, item (i), (a) of the Order concerning the said deposit or savings account, and has preserved the customer identification records with regard to said identification (limited to the case where the specified business operator who intends to use this method has agreed with the said other specified business operator in advance to use this method)

(ii) A customer, etc. who is a foreign national prescribed in Article 4, paragraph 1 of the Act (limited to a person pertaining to specified transactions listed in Article 5, paragraph 1, item (i)): having the said customer, etc. present his/her passport, etc. (which means a passport listed in Article 2, item (v) of the Immigration Control and Refugee Recognition Act (Act No. 319 of 1951) or a crew member's pocket-ledger listed in item (vi) of the same Article, limited to a passport, etc. indicating the name and the date of birth of the said natural person; the same shall apply hereinafter) which indicates the matters specified in Article 5, paragraph 1, item (i)

(iii) A customer, etc. who is a legal person: any of the following methods:

(a) Having the representative person, etc. of the said legal person present his/her identification document specified in item (ii) or item (iv) of the following Article

(b) Having the representative person, etc. of the said legal person send his/her identification document or a copy thereof specified in item (ii) or item (iv) of the following Article, receiving the said identification document or a copy thereof (including a copy made by a specified business operator) and attaching such document to an identification record pursuant to Article 9, and then sending the documents pertaining to the transaction to the head office, principal office, branch office (including those that shall be deemed to be branch offices pursuant to Article 933, paragraph 3 of the Companies Act (Act No. 86 of 2005)) of the said customer, etc. or the residence of the representative person in Japan of a foreign company that has no business office in Japan (hereinafter referred to as “the head office, etc.”) indicated in the said identification document, by registered mail, etc. as a postal item requiring no forwarding, etc.

(c) Having the representative person, etc. of the said legal person transmit an electronic certificate prepared by a registrar pursuant to Article 12-2, paragraph 1 and paragraph 3 of the Commercial Registration Act (Act No. 125 of 1963) as well as information on the specified transaction for which an electronic signature prescribed in Article 2, paragraph 1 of the Electronic Signature Act has been made with authentication by the said electronic certificate, and receiving such certificate or information

(d) Method listed in (h) of the preceding item

(2) Where a specified business operator conducts identification with regard to a customer, etc. or representative person, etc. by any of the methods listed in item (i), (a) to (c) or item (iii), (a) or (b) of the preceding paragraph, if the residence or the location of the head office or principal office indicated in the identification document or a copy thereof presented or sent by the said customer, etc. or representative person, etc. is not the current one, or if the passport, etc. or the copy thereof presented or sent by the said customer, etc. or representative person, etc. does not indicate the residence of the said customer, etc. or representative person, etc., the specified business operator may verify the current residence or current location of the head office or principal office by having the said customer, etc. or representative person, etc. present any of the following documents (limited to those on which the date of receipt is sealed or the date of issue is indicated, with such date being not more than six months before the day on which they are presented to or received by

the specified business operator) or receiving the said documents or copies thereof (including copies made by the specified business operator) and attaching them to the identification record pursuant to Article 9:

(i) An identification document

(ii) A receipt or tax payment certificate for national tax or local tax (excluding that listed in the preceding item)

(iii) A receipt for social insurance premiums prescribed in Article 74, paragraph 2 of the Income Tax Act (excluding that listed in item (i))

(iv) A receipt for public utility rates (which means rates for electricity, gas and tap water or other public utilities equivalent thereto supplied in Japan) (excluding that listed in item (i))

(v) In the case where the customer, etc. or representative person, etc. is a natural person, in addition to what is listed in the preceding items, a document issued by a public agency or another document similar thereto, which indicates the name and residence of the said customer, etc. or representative person, etc.

(vi) In addition to what is listed in item (i), a document issued by a foreign government recognized by the Japanese government or issued by an authorized international organization or another document similar thereto, which is equivalent to what is listed in the same item (in the case where the said customer, etc. or representative person, etc. is a natural person, limited to a document indicating his/her name and residence, and in the case of a legal person, limited to a document indicating its name and the location of its head office or principal office)

(3) A specified business operator shall, when conducting identification with regard to a customer, etc. who is a legal person by a method listed in paragraph 1, item (iii), (b), have any of the documents listed in the items of the preceding paragraph (limited to those on which the date of receipt is sealed or the date of issue is indicated, with such date being not more than six months before the day on which they are presented to or received by the specified business operator) presented, or shall receive the said documents or copies thereof and attach the sent documents or copies thereof (including copies made by the specified business operator) to an identification record pursuant to Article 9, and he/she may send the documents pertaining to the transaction to the place that is deemed to be a business office of the said customer, etc. based on the said documents, instead of sending them to the head office, etc. which is indicated in the said identification document.

(4) A specified business operator shall, when conducting identification with regard to a deemed-customer, etc. by any of the methods listed in paragraph 1, item (i), (b) to (d), have any of the documents listed in the items of paragraph 2 (limited to those on which the date of receipt is sealed or the date of issue is indicated, with such date being not more than six months before the day on which they are presented to or received by the specified business operator) presented, or shall receive the said documents or copies thereof and attach the sent documents or copies thereof (including copies made by the specified business operator) to an identification record pursuant to Article 9, and he/she may send the documents pertaining to the transaction to the location pertaining to a person specified by a Cabinet Order as prescribed in Article 4, paragraph 3 of the Act , but excluding those listed in Article

12, item (iii) or item (iv), or Article 8, items (vi) to (x) of the Order; the same shall apply hereinafter), to the place prescribed in paragraph 1, item (iii), (b), or to the place that is deemed to be a business office of the said State, etc. based on the said documents, instead of sending them to the residence of the said deemed-customer, etc.

(5) A specified business operator may, when conducting the identification of a customer, etc. or representative person, etc. by the following methods as prescribed in item (i) or item (ii) instead of sending the documents pertaining to the transaction by registered mail, etc. as a postal item requiring no forwarding, etc.

(i) Have its employees visit the residence or the head office, etc. of the customer, etc. or representative person, etc. indicated in the identification document or a copy thereof and deliver the documents pertaining to the transaction to the said customer, etc. or representative person, etc.

(ii) Its employees have any of the customer identification document, as prescribed in each items of paragraph 2 (limited to those with date of issue which is within 6 months of the date of having it presented or sent), presented or have the said document or copy thereof sent and have the said document attached to customer identification record as prescribed in Article 9, and deliver, to the residence or the head office, etc. of the customer, etc. or representative person, etc. indicated in the identification document or a copy thereof, the documents pertaining to the transaction to the said customer, etc. or representative person, etc.

(6) Notwithstanding the provisions of the preceding paragraphs, with regard to transactions with the customer, etc. in the case where the term “identification” in the provisions of the items of Article 11, paragraph 1 of the Order is replaced with “identification equivalent to customer identification which was previously conducted on carrying out a transaction other than specified transactions (including those pertaining to business affairs other than specified business affairs prescribed in Article 4, paragraph 1 of the Act)” and the term “customer identification records” is replaced with “records equivalent to customer identification records,” a specified business operator may verify that the identification equivalent to customer identification has already been conducted by a method prescribed in Article 7, paragraph 1 and may conduct the identification by way of preserving records equivalent to customer identification records as the customer identification records. However, this does not apply when a transaction partner is suspected of disguising himself/herself as the customer, etc. or representative person, etc. pertaining to the customer identification upon conclusion of a contract, or transactions with a customer, etc. or representative person, etc. who is suspected to have presented false identification data on the occasion of customer identification upon the conclusion of a contract.

Article 4 (Identification Documents)

The documents to be presented or sent to a specified business operator by the method prescribed in paragraph 1 of the preceding Article shall, according to the categories listed in the following items, be the documents specified in the respective items; provided, however, that the identification documents listed in item (i), (c) to

(e) as well as the identification documents specified in item (iii), identification documents listed in item (i), (f) and (g), item (ii), (b) for which a valid period or expiration date is set, and the identification documents specified in item (iv) shall be limited to those which are valid as of the day on which the documents are presented to or received by the specified business operator, and any other identification documents shall be limited to those prepared not more than six months before the day on which they are presented to or received by the specified business operator:

(i) A natural person (excluding those listed in items (iii) and (iv)): any of the following documents:

(a) A seal registration certificate concerning the seal affixed by the customer, etc. to the document of application or consent for carrying out a specified transaction

(b) A seal registration certificate (excluding that listed in (a)), a copy of an alien registration book, a certificate of the matters recorded in an alien registration book (which means a document prepared by the head of a local public entity to prove the matters recorded in an alien registration card), a transcript of or extract from a family register (limited to those accompanied by a copy of an appended card to the family register), a copy of a resident registration book or a certificate of the matters recorded in a resident registration book (which means a document prepared by the head of a local public entity to prove the name, address and other matters of an individual recorded in the basic resident register)

(c) An insurance certificate of National Health Insurance or other health insurance, seamen's insurance or long-term care insurance, a special insurance certificate for a day worker under the Health Insurance Act, a membership certificate of a national public service personnel mutual aid association or local public service personnel mutual aid association or a membership certificate of the mutual aid system for private school personnel (limited to those indicating the name, residence, and date of birth of the said natural person)

(d) A national pension handbook prescribed in Article 13, paragraph 1 of the National Pension Act, a certificate of child-rearing allowance, a certificate of special child-rearing allowance, a maternal and child health handbook, a physically disabled person's handbook, a mentally disabled person's health and welfare handbook, a rehabilitation handbook or a war injury and sickness handbook (limited to those indicating the name, residence, and date of birth of the said natural person)

(e) A driver's license prescribed in Article 92, paragraph 1 of the Road Traffic Act (Act No. 105 of 1960), a certificate of alien registration, a basic resident register card prescribed in Article 30-44, paragraph 1 of the Basic Resident Register Act (Act No. 81 of 1967) (limited to those indicating the name, residence, and date of birth of the said natural person) or a passport, etc.

(f) In addition to what is listed in (a) to (e), a document issued by a public agency or another document similar thereto, which indicates the name, residence, and date of birth of the said natural person, and to which the public agency has affixed a photograph of the said natural person

(g) In addition to what is listed in (a) to (f), a document issued by a public agency or another document similar thereto, which indicates the name, residence, and date of birth of the said natural person

(ii) A legal person (excluding those listed in item (iv); the same shall apply in this item): any of the following documents:

(a) A certificate of the registered matters concerning the registration of the establishment of the legal person (in the case where the said legal person has not yet registered its establishment, a document prepared by the head of the administrative organ having jurisdiction over the legal person to prove the name of the legal person and the location of its head office or principal office) or a seal registration certificate (limited to those indicating the name of the said legal person and the location of its head office or principal office)

(b) In addition to what is listed in (a), a document issued by a public agency or any other document similar thereto, which indicates the name of the said legal person and the location of its head office or principal office

(iii) A person listed in paragraph 1, item (ii) of the preceding Article: a passport, etc.

(iv) A foreign national (which means a natural person who does not have Japanese nationality; excluding those staying in Japan (excluding those staying in Japan in accordance with Article 9, paragraph 1 of the Agreement under Article VI of the Treaty of Mutual Cooperation and Security Between Japan and the United States of America, Regarding Facilities and Areas and Status of the United States Armed Forces in Japan, or Article 3, paragraph 1 of the Agreement on the Status of the United Nations Forces in Japan)), and a legal person having its head office or principal office in a foreign state: what is specified in item (i) or item (ii), or a document issued by a foreign government recognized by the Japanese government or issued by an authorized international organization or another document similar thereto, which is equivalent to what is specified in items (i) and (ii) (in the case of a natural person, limited to those indicating his/her name, residence, and date of birth, and in the case of a legal person, limited to those indicating its name and the location of its head office or principal office)

Article 5 (Identification Data in Lieu of Residence of Foreign Nationals with No Residence in Japan)

(1) The matters specified by an ordinance of the competent ministries as prescribed in Article 4, paragraph 1 of the Act shall, according to the categories of specified transactions listed in the following items, be the matters specified in the respective items:

(i) Transactions listed in Article 8, paragraph 1, item (i), (p) or (v) of the Order or transactions specified in item (v) of the same paragraph (limited to those pertaining to receiving full payment in cash at the time of delivery of the said precious metal, etc.): nationality and the number of the passport, etc.

(ii) Transactions other than those listed in the preceding item: residence

(2) When carrying out transactions listed in item (i) of the preceding paragraph, if it is deemed that the period of stay permitted under the Immigration Control and Refugee Recognition Act does not exceed 90 days based on the seal of verification for landing, a crew member's landing permit or any other certificate equivalent thereto which indicates the term of stay (hereinafter referred to as a "seal of

verification for landing, etc.”), the person shall be deemed to have no residence in Japan as prescribed in Article 4, paragraph 1 of the Act.

Article 6 (Transactions Not Subject to Customer Identification)

(1) The transactions specified by an ordinance of the competent ministries as prescribed in Article 8, paragraph 1 of the Order shall be the following:

(i) Commencement of the transaction of a trust or designation of a beneficiary pursuant to Article 43-2, paragraph 2 of the Financial Instruments and Exchange Act (Act No. 25 of 1948) among transactions listed in Article 8, paragraph 1, item (i), (c) or (d)

(ii) Transactions listed in Article 8, paragraph 1, item (i), (e), (f) or (h) of the Order which pertain to an insurance contract (which means an insurance contract prescribed in Article 8, paragraph 1, item (i), (g) of the Order; the same shall apply hereinafter) or a contract for mutual aid (which means a contract for mutual aid prescribed in (f) of the same item; the same shall apply hereinafter) (limited to those listed as follows):

(a) Contracts without any conditions requiring the payment of pensions (limited to those to be paid on the condition of proof of an individual's existence; the same shall apply hereinafter), maturity insurance money, maturity repayment, or maturity mutual aid money (hereinafter referred to as “conditions requiring the payment of maturity insurance money, etc.”) (excluding contracts without any term limitation in which the payment is made on the condition of an individual's death and insurance or mutual aid premiums shall be paid in a lump sum)

(b) Among contracts with conditions requiring the payment of maturity insurance money, etc., those in which the amount of money equivalent to 80% of the total amount of insurance premiums (including liability reserve, refund or any other fund accumulated for the insured of an existing contract prescribed in Article 53, paragraph 1, item (iv) of the Ordinance for Enforcement of the Insurance Business Act (Ordinance of the Ministry of Finance No. 5 of 1996) (including the case where it is applied mutatis mutandis pursuant to Article 160 of the same Ordinance)) or mutual aid premiums (including liability reserve, refund or any other fund accumulated for the insured of an existing contract) to be paid under the said insurance contract or contract for mutual aid exceeds the total of pensions, maturity insurance money, maturity repayment, and maturity mutual aid money (excluding insurance contracts listed in Article 74, item (i), (a) and item (iii) of the same Ordinance (excluding those listed in Article 83, item (i), (b) and (d)), insurance contracts listed in Article 153, item (i), (a) and item (iii) of the same Ordinance, contracts for mutual aid in which the amount of mutual aid money and any other benefits fluctuate based on the value of the property accounted for as that within separate accounts and any other contracts for mutual aid equivalent thereto)

(iii) Transactions listed in Article 8, paragraph 1, item (i), (g) of the Order which pertain to the following:

(a) Contracts listed in (a) or (b) of the preceding item

(b) Qualified retirement pension contracts, group insurance contracts (which

means insurance contracts in which money deducted from salaries, etc. of employees shall be treated as premiums; the same shall apply hereinafter), insurance contracts listed in Article 83, item (i), (a) to (e), or (i) to (l) of the same item, or contracts for mutual aid equivalent thereto

(iv) Transactions listed in (i) of Article 8, paragraph 1, item (i) of the Order which are carried out on an exchange financial instruments market prescribed in Article 2, paragraph 17 of the Financial Instruments and Exchange Act, over-the-counter traded securities market prescribed in Article 67, paragraph 2 of the same Act, or any other market equivalent thereto in foreign countries (limited to countries or regions designated by the Commissioner of the Financial Services Agency) where the buying and selling of securities or foreign market transactions of derivatives prescribed in Article 2, paragraph 23 of the same Act are carried out, by way of participating in transactions on the said market based on the qualification to participate in transactions on the said market

(v) Transactions listed in (i) or (k) of Article 8, paragraph 1, item (i) of the Order which are carried out between a specified business operator and the Bank of Japan and for which settlement is made by an account transfer at the Bank of Japan

(vi) Transactions listed in (n) of Article 8, paragraph 1, item (i) of the Order which are listed as follows:

(a) Transactions which are carried out between a specified business operator and the Bank of Japan and for which settlement is made by an account transfer at the Bank of Japan

(b) Transactions based on those listed in item (ii), (a) or (b), or item (iii), (b)

(c) Transactions pertaining to transactions in which a user delivers the amount equivalent to the price of goods or rights or the charges for services, without the user using credit cards prescribed in Article 2, paragraph 2, item (xxxv) of the Act, to a specified dealer or a person engaged in a business providing services on conditions of the purchase of the goods or rights or the provision of the services from such person and in which the said amount of money is received from the said user

(vii) Transactions listed in Article 8, paragraph 1, item (i), (p) of the Order which are listed as follows:

(a) Transactions in which a certificate or coupon of a public or corporate bearer bond prescribed in Article 8, paragraph 1, item (i), (p) of the Order is provided as a mortgage

(b) Transactions pertaining to the payment or delivery of money and goods to the State or a local public entity

(c) Transactions for receiving and paying cash which accompany an exchange transaction or the writing of a cashier's check prescribed in Article 9, paragraph 1, item (i), (p) of the Order and which are carried out for accepting or refunding deposits or savings of a customer, etc. (excluding deemed-customers, etc.; the same shall apply in items (ix) and (xiv)) (excluding transactions which amount to more than two million yen)

(viii) Transactions listed in (a), (i), (k), (n), (t), or (u) of Article 8, paragraph 1, item (i) of the Order which are carried out with regard to a specified business operator and the Bank of Japan as well as a person equivalent thereto who has

his/her head office or principal office in a foreign country (hereinafter referred to as a “foreign specified business operator” in this item) that use a specified communications method (which means an international communications method used between a specified business operator, the Bank of Japan, and a foreign specified business operator, for which necessary measures are taken to identify the specified business operator, the Bank of Japan, and the foreign specified business operator who communicate with each other through the said communications methods) as a customer, etc. and for which verification is made or settlement is directed through the said specified communications method (excluding transactions with a foreign specified business operator who has his/her head office or principal office in a country or region designated by the Commissioner of the Financial Services Agency)

(ix) Transactions specified in Article 8, paragraph 1, item (ii) of the Order in which the rental fee received at one time by a lessor from a person who receives leasing services is 100,000 yen or less

(x) Transactions specified in Article 8, paragraph 1, item (v) of the Order in which the payment is made through methods other than by cash

(xi) Transactions specified in Article 8, paragraph 1, item (vi) of the Order which are listed as follows:

(a) Conclusion of a contract including any of the following clauses according to the characteristics of the services to be provided:

1. A clause providing that postal items (which means postal items prescribed in Article 2, paragraph 2, item (xxxviii) of the Act; the same shall apply in 2.) without an address containing a trademark or wording that is easily distinguishable as a specified business operator listed in the same item shall not be received or that the said trademark or wording shall be clarified when receiving telephone calls

2. A clause providing that postal items containing cash or postal items sent from a specified business operator prescribed in Article 26, paragraph 1 of the Act (excluding those that clearly contain no deposit/savings passbooks or deposit/savings withdrawal cards, judging from the description on their face or by their appearances) shall not be received

(b) Conclusion of a contract pertaining to businesses conducted by taking telephone calls (including telecommunications by facsimile devices) for receiving applications for contracts to provide explanations about or consultation on goods, rights, or services or to provide the goods, rights or services or for concluding such contracts

(xii) Transactions specified in the items of Article 8, paragraph 1 of the Order which are listed as follows:

(a) Transactions with the State or a local public entity as a customer, etc. which are carried out by the officials of the said State or local public entity in charge of the said transaction, based on the authority of the law and in accordance with procedures under the law, and a document by which the said State or local public entity proves that the said officials have the said authority or any other document similar thereto is presented or sent

(b) Transactions carried out by a trustee in bankruptcy or any other person

equivalent thereto based on the authority of the law, and a document by which the court proves the appointment of the person or any other document similar thereto is presented or sent

(2) The transactions specified by an ordinance of the competent ministries as prescribed in Article 10 of the Order shall be the following transactions:

(i) Conclusion of a voluntary guardianship contract prescribed in Article 2, item (i) of the Act on Voluntary Guardianship Contract (Act No. 150 of 1999), which falls under the conclusion of a contract for carrying out agent work, etc. for specified mandated acts prescribed in Article 10, item (i) of the Order

(ii) Transactions listed in item (xii), (a) or (b) of the preceding paragraph, which falls under the conclusion of a contract, with regard to agent work, etc. for specified mandated acts, prescribed in the preceding item

Article 7 (Methods for Verifying Previous Identification of Customer, etc.)

(1) The methods specified by an ordinance of the competent ministries as prescribed in Article 11, paragraph 1 of the Order shall be the methods listed in any of the following items for verifying that the customer, etc. (in the case where the customer, etc. is the State, etc., a deemed-customer, etc. or the said State, etc. (excluding those listed in Article 12, item (iii) of the Order); hereinafter the same shall apply in this Article) is identical to the customer, etc. recorded in the customer identification records (limited to records indicating the residence or the location of the head office or principal office of the customer, etc. or others equivalent thereto; hereinafter the same shall apply in this Article); provided, however, that this shall not apply to the case where the specified business operator (including another specified business operator prescribed in items (iii) and (iv) of Article 11, paragraph 1 of the Order) has a previous acquaintance with the customer, etc. or representative person, etc. or in any other case where it is obvious that the customer, etc. is identical to the customer, etc. recorded in the customer identification records, etc.:

(i) Having the customer, etc. present or send his/her deposit/savings passbook or another document or object that shows that the customer, etc. is identical to the customer, etc. recorded in the customer identification records

(ii) Having the customer, etc. give information about any matters that cannot be known by any person other than the customer, etc. or any other matters that show that the customer, etc. is identical to the customer, etc. recorded in the customer identification records

(2) Previous paragraph does not apply when a transaction partner is suspected of disguising himself/herself as the customer, etc. or representative person, etc. pertaining to the customer identification upon conclusion of a contract, or transactions with a customer, etc. or representative person, etc. who is suspected to have presented false identification data on the occasion of customer identification upon the conclusion of a contract.

Article 8 (Persons Equivalent to the State, etc.)

The person specified by an ordinance of the competent ministries as prescribed in article 12, item (ix) of the Order shall be the following:

- (i) Workers' property accumulation fund
- (ii) Welfare pension fund
- (iii) National pension fund
- (iv) National Pension Fund Association
- (v) Corporate pension fund
- (vi) Employees who conclude a contract prescribed in Article 8, paragraph 1, item (i), (a) or (b) of the Order in which money deducted from salaries, etc. of employees shall be treated as deposits or savings or installment savings, etc. prescribed in (b) of the same item
- (vii) Employees who conclude a trust contract listed in Article 2, item (iv)
- (viii) Employees who conclude a group insurance contract or a contract for mutual aid equivalent thereto
- (ix) Employees who conclude a contract prescribed in (i) of Article 8, paragraph 1, item (i) of the Order in which money deducted from the salaries, etc. of employees shall be treated as the value for the said act
- (x) Employees who conclude a contract prescribed in (n) of Article 8, paragraph 1, item (i) of the Order in which the repayment shall be made with money deducted from the salaries, etc. of employees
- (xi) Companies listed or registered on a market in a foreign countries (limited to the countries or regions designated by the National Public Safety Commission and the Commissioner of the Financial Services Agency) where the buying and selling of securities is carried out

Article 9 (Methods for Preparing Customer Identification Records)

The method specified by an ordinance of the competent ministries as prescribed in Article 6, paragraph 1 of the Act shall be the following:

(i) Customer identification records (including attached materials prescribed in the following item. The same shall apply to Article 11, paragraph 2.) shall be prepared in the form of a written document, an electromagnetic record (which means a record made in an electronic form, a magnetic form, or any other form not recognizable to human perception, which is used in information processing by computers; the same shall apply hereinafter) or microfilm (limited to electronic form, in case of (b) in the following item); provided, however, that those specified in (b) of the same item shall be prepared in the form of an electromagnetic record.

(ii) What are specified in (a) to (c) below shall be attached materials of the customer identification records, according to categories listed in (a) to (c):

(a) In the case where the identification has been conducted by any of the methods listed in Article 3, paragraph 1, item (i), (c) or item (iii), (b): the said identification document or a copy thereof

(b) In the case where the identification has been conducted by any of the methods listed in Article 3, paragraph 1, item (i), (e) to (g) or item (iii), (c): an electromagnetic record that sufficiently proves that the identification has been conducted by the said method

(c) In the case where the current residence of the customer, etc. or

representative person, etc. or the current location of his/her head office or principal office has been verified by way of receiving the documents listed in the items of Article 3, paragraph 2 or a copy thereof or where the place prescribed in paragraph 3 or paragraph 4 of the same Article has been verified pursuant to either of the said paragraphs: documents used for the said verification or a copy thereof

Article 10 (Matters to be Recorded in Customer Identification Records)

The matters specified by an ordinance of the competent ministries as prescribed in Article 6, paragraph 1 of the Act shall be the following:

(i) The name and other matters sufficient for identifying the person who conducted the customer identification

(ii) The name and other matters sufficient for identifying the person who prepared the customer identification records

(iii) When having had the identification document presented for conducting the identification, the date and time on which it was presented (when having had presented the document and attach the copy thereof in the customer identification records, and have it maintained for 7 years, only the date.)

(iv) When having had the identification document or a copy thereof sent for conducting the identification, the date on which it was sent or received

(v) In the case where the identification has been conducted by any of the methods listed in Article 3, paragraph 1, item (i), (b) to (d) or item (iii), (b), the date on which the specified business operator sent the documents pertaining to the transaction

(vi) In the case where the identification has been conducted pursuant to Article 3, paragraph 5, the date on which the delivery prescribed in the same paragraph was made

(vii) The type of the transaction for which the identification has been conducted

(viii) The method by which the identification has been conducted

(ix) When having had the identification document presented for conducting the identification, the name of the said identification document, the mark or number attached thereto and any other matters sufficient for identifying the said identification document or a copy thereof

(x) In the case where the current residence of the customer, etc. or representative person, etc. or the current location of his/her head office or principal office has been verified pursuant to Article 3, paragraph 2, the name of the document presented for the said verification, the mark or number attached thereto and any other matters sufficient for identifying the said document

(xi) In the case where the identification has been conducted by sending the documents pertaining to the transaction to a place prescribed in Article 3, paragraph 3 or paragraph 4 pursuant to either of the same paragraphs, the name of the business office, its location or other matters sufficient for identifying the said place, the name of the documents presented for the said verification, the mark or number attached thereto and other matters sufficient for identifying the said documents or a copy thereof

(xii) Identification data of the customer, etc. (excluding deemed-customers, etc.)

(xiii) In the case of a transaction carried out by a representative person, etc., the

identification data of the said representative person, etc., and the relationship between the said representative person, etc. and the customer, etc.

(xiv) In the case where the identification has been conducted with regard to the deemed-customer, etc., the identification data of the said deemed-customer, etc., the name of the State, etc. and other matters sufficient for identifying the said State, etc., as well as the relationship between the said deemed-customer, etc. and the State, etc.

(xv) In the case where the customer, etc. uses a name that is different from his/her name for the transaction, such different name as well as the reason why the customer, etc. uses the name that is different from his/her name

(xvi) The account number and other matters to be used for the purpose of searching transaction records, etc. (which means the transaction records, etc. prescribed in Article 7, paragraph 3 of the Act; the same shall apply hereinafter)

(xvii) In the case where the period of stay has been verified pursuant to Article 5, paragraph 2, the name, date, and number of the seal of verification for landing, etc. or other matters sufficient for identifying the said seal of verification for landing, etc.

(3) A specified business operator, when attaching reference materials to the customer identification data, or when attaching a copy of the customer identification data in accordance with item (iii) of the previous paragraph, may not record the matters listed in the previous paragraph which are indicated in the said reference materials or the said copy in the customer identification records, notwithstanding the provisions of the same paragraph.

(4) A specified business operator shall, when having become aware of a change or addition to any of the matters listed in paragraph 1, items (xii) to (xvi), attach a supplementary note of the content of the change or addition to the customer identification records, and shall not delete the content already recorded in the customer identification records (excluding the content of any previous change or addition). In this case, the specified business operator may, instead of attaching a supplementary note to the customer identification records, record the content of the change or addition separately and preserve such record together with the customer identification records.

Article 11 (Period for Preserving Customer Identification Records)

(1) The date specified by an ordinance of the competent ministries as prescribed in Article 6, paragraph 2 of the Act shall be the date of the termination of a transaction or the date of the termination of a transaction pertaining to an identified transaction, whichever comes later.

(2) The “date of the termination of a transaction” prescribed in the preceding paragraph shall, according to the following categories of the transactions for which customer identification records have been prepared, be the day specified in the respective items:

(i) Transactions listed in Article 8, paragraph 1, item (i), (a) to (f), (h) to (j), (k) (excluding contracts for acting as an intermediary or agent), (m) (excluding intermediary or agent work), or (n) (excluding intermediary work) or (r) to (u) of the

Order, transactions specified in Article 8, paragraph 1, item (ii)(a), item (iii)(a), item (v) (a) or item (vi) (a) of the Order, or transactions specified in Article 10 of the Order: the day on which a contract pertaining to the said transaction was terminated

(ii) Transactions listed in Article 8, paragraph 1, item (i), (g), (k) (limited to contracts for acting as an intermediary or agent), (l), (m) (limited to intermediary or agent work), (n) (limited to intermediary work), (o) to (q), (v) or (w) of the Order, transactions specified in Article 8, paragraph 1, item (i)(b), item (ii)(b), item (iv), item (v)(b), and item (vi)(b) of the Order, or transactions prescribed in Article 10, item (ii): the day on which the said transaction was carried out

(3) The “the date of the termination of a transaction pertaining to an identified transaction” prescribed in paragraph 1, with regard to a transaction specified in the items of Article 8, paragraph 1 of the Order that falls under the category of a transaction with an identified customer, etc., shall be the day specified in the preceding paragraph in the case where the provisions of the preceding paragraph are applied by replacing the term “transactions for which customer identification records have been prepared” in the same paragraph with “transactions with an identified customer, etc.”

Article 12 (Transactions Excluded from the Scope of Transactions Subject to Obligation to Prepare and Preserve Transaction Records)

The transactions specified by an ordinance of the competent ministries as prescribed in Article 13, paragraph 1, item (iv) of the Order shall be the following:

(i) Transactions carried out between a customer, etc. and another specified business operator via an automated teller machine or any other machine equivalent thereto (excluding the refund of deposits or savings without cash payments for exchange transactions carried out by the said other specified business operator)

(ii) Transactions for receiving periodically a fixed amount of insurance premiums or mutual aid premiums under an insurance contract or a contract for mutual aid

(iii) The selling of a lottery voucher prescribed in Article 2, paragraph 1 of the Lottery Voucher Act (Act No. 144 of 1948) or a sports promotion voting ticket prescribed in Article 2 of the Act on Implementation, etc. of the Sports Promotion Voting (Act No. 63 of 1998) and the provision of the prize money or goods for the lottery voucher or the refund for the sports promotion voting ticket which amounts to not more than two million yen

(iv) The buying and selling of precious metals, etc. prescribed in Article 2, paragraph 2, item (xxxvii) of the Act which amounts to more than two million yen and for which the payment is made through methods other than by cash

(v) Transactions pertaining to the business affairs prescribed in Article 2, paragraph 2, item (xxxvii) of the Act which pertain to those other than a business of receiving and delivering postal items with regard to cash

(2) What are specified by an ordinance of the competent ministries as prescribed in Article 13, paragraph 2, item (ii) of the Order shall be the agent work, etc. for specified mandated acts (which means the agent work, etc. for specified mandated acts prescribed in the table of Article 4, paragraph 1 of the Act; the same shall apply hereinafter) carried out as the affairs to be carried out by a voluntary guardian

prescribed in Article 2, item (iv) of the Act on voluntary Guardianship Contract

Article 13 (Method for Preparing Transaction Records, etc.)

The method specified by an ordinance of the competent ministries as prescribed in Article 7, paragraph 1 and paragraph 2 of the Act shall be to prepare records in the form of a written document, electromagnetic record or microfilm.

Article 14 (Matters to be Recorded in Transaction Records, etc.)

The matters specified by an ordinance of the competent ministries as prescribed in Article 7, paragraph 1 and paragraph 2 of the Act shall be the following:

(i) The account number and other matters to be used for the purpose of searching customer identification records, etc. of the customer, etc. (in the case where there are no customer identification records, the name or other matters sufficient for identifying the customer, etc., the transaction, or the agent work, etc. for specified mandated acts)

(ii) The date of the transaction or the agent work, etc. for specified mandated acts

(iii) The type of the transaction or the agent work, etc. for specified mandated acts

(iv) The value of the property pertaining to the transaction or the agent work, etc. for specified mandated acts

(v) In the case of transactions or the agent work, etc. for specified mandated acts which accompany the transfer of property, matters sufficient for identifying the said transactions, and matters sufficient for identifying the original possessor or the destination such as the original possessor or destination (in the case where the said specified business operator carries out only a part of the transaction, acts, or procedures pertaining to the transfer of the property, the first possessor or the last destination within the limits of his/her knowledge obtained through such procedures; the same shall apply hereinafter).

(vi) In addition to what is listed in the preceding items, in the case where an exchange transaction (excluding those pertaining to the payment from Japan to a foreign country or the payment from a foreign country to Japan) carried out with a customer, etc. accompanies a funds settlement between the specified business operator engaged in the said transaction (limited to specified business operators listed in Article 2, paragraph 2, items (i) to (xv) of the Act; hereinafter the same shall apply in this item and the following item) and the specified business operator pertaining to the original possessor or the destination of the property (hereinafter referred to as “another specified business operator” in this item) and the information pertaining to the said transaction is exchanged between the specified business operator pertaining to the customer engaged in the said transaction and the said other specified business operator by using an electromagnetic method (which means the method using an electronic data processing system or other types of information processing technology), the matters sufficient for conducting any of the acts specified in (a) or (b) below according to the categories listed respectively in (a) or (b) below:

(a) In the case of transactions accompanying the payment of funds to another specified business operator: when another specified business operator requests the verification of a customer pertaining to the transaction based on the transaction

records, etc. preserved by the said other specified business operator, the act of identifying the said transaction and searching the customer identification records of the said customer within three business days from the day of the said request (in the case where there are no customer identification records, the act of identifying the said transactions and identifying the name and other matters concerning the said customer within three business days from the day of the said request)

(b) In the case of transactions accompanying the receipt of funds from another specified business operator: the act of searching information pertaining to the transaction exchanged with another specified business operator

(vii) In addition to what is listed in items (i) to (v), in the case listed in (a) to (c) below, the matters specified respectively in (a) to (c) below:

(a) In the case where the specified business operator makes a notification to another specified business operator or an exchange dealer residing in a foreign country (which means an exchange dealer residing in a foreign country prescribed in Article 10, paragraph 1 of the Act; the same shall apply hereinafter) pursuant to the same paragraph: the matters on which the specified business operator has made the said notification

(b) In the case where the specified business operator has received a notification from an exchange dealer residing in a foreign country pursuant to the provisions of foreign laws and regulations equivalent to those of Article 10 of the Act, and has accepted the entrustment or re-entrustment of a payment from a foreign country to Japan and will not re-entrust the said payment to another specified business operator or an exchange dealer residing in a foreign country: the matters on which the specified business operator has received the said notification

(c) In the case where the specified business operator has received a notification from another specified business operator pursuant to Article 10, paragraph 3 or paragraph 4 of the Act, and has accepted the entrustment or re-entrustment of a payment from a foreign country to Japan and will not re-entrust the said payment to another specified business operator or an exchange dealer residing in a foreign country: the matters on which the specified business operator has received the said notification

Article 15 (Forms, etc. for Reports)

(1) A specified business operator who intends to make a report pursuant to Article 14, paragraph 1 of the Order shall submit written reports in appended forms 1 to 3 to the administrative agency.

(2) The written reports set forth in the preceding paragraph may be submitted in the form of a flexible disk recording matters to be indicated in the said written reports along with a flexible disk submission card in appended form 4.

Article 16 (Methods for Foreign Exchange Transactions Not Subject to the Obligation of Notification)

The methods specified by an ordinance of the competent ministries as prescribed in Article 15 of the Order shall be through the use of ordinary postal money orders, calling postal money orders, and disbursed postal money orders prescribed in

Article 2, paragraph 1 of the International Postal Money Order Rule (Ordinance of the Ministry of Internal Affairs and Communications No. 10 of 2003) prior to the repeal under Article 2, of the Supplementary Provisions of the Ordinance for Partial Revision of the Public Office Election Postal Rules (Ordinance of the Ministry of Internal Affairs and Communications No. 113 of 2007) which are deemed to remain effective under Article 5, paragraph 3 of the Supplementary Provisions of the same Ordinance.

Article 17 (Matters to be Notified by a Specified Business Operator)

(1) The matters specified by an ordinance of the competent ministries as prescribed in Article 10, paragraph 1 of the Act shall, according to the categories listed in the following items, be the matters specified in the respective items; provided, however, that this shall not apply to a notification to another specified business operator or an exchange dealer residing in a foreign country who assists with funds settlement between the specified business operator and the principal exchange dealer residing in a foreign country:

(i) A natural person: the following matters:

(a) His/her name

(b) His/her address or the matters listed in Article 10, paragraph 1, item (ix) or his/her customer identification number (which means the mark or number which is managed by the specified business operator who carries out exchange transactions pertaining to the payment with the customer and which is sufficient for identifying the said customer; the same shall apply in (b) of the following item)

(c) The matters specified in 1. or 2. below, according to the categories listed in 1. or 2. below:

1. When deposit/savings accounts are used: the number of the said account

2. When deposit/savings accounts are not used: the transaction reference number (which means the mark or number which is sufficient for the specified business operator who carries out exchange transactions pertaining to the payment with the customer to identify the said transaction)

(ii) A legal person: the following matters:

(a) The name

(b) The location of the head office or principal office or the customer identification number

(c) The matters listed in (c) of the preceding item

(2) The matters specified by an ordinance of the competent ministries as prescribed in Article 10, paragraphs 3 and 4 of the Act shall be the matters equivalent to those prescribed in the preceding paragraph.

Article 18 (Forms, etc. for Certificate of Identification)

(1) The certificate of identification to be carried by an official who conducts an on-site inspection pursuant to Article 14, paragraph 1 or Article 17, paragraph 3 of the Act (hereinafter such certificate shall be referred to as a “certificate of identification”) shall use appended form 5; provided, however, that this shall not apply to the following:

(i) A certificate to be carried by officials of the Financial Services Agency, Securities and Exchange Surveillance Commission, Local Finance Bureau, or Fukuoka Local Finance Branch Bureau on conducting an on-site inspection (excluding inspections under the authority of the Minister of Finance)

(ii) A certificate to be carried by officials of the Ministry of Agriculture, Forestry, and Fisheries on conducting an on-site inspection with regard to any of the specified business operators listed in Article 2, paragraph 2, items (viii) to (xiv) or item (xix) of the Act

(2) The issuer of certificates of identification shall be the competent agencies prescribed in paragraphs 1 to 4 of the Article 20 of the Act, the Ministry of Internal Affairs and Communications, the Ministry of Justice, the Ministry of Finance, the Minister of Health, Labour and Welfare, the Ministry of Agriculture, Forestry, and Fisheries, the Ministry of Economy, Trade and Industry, the Director-General of an internal subdivision (limited to subdivision charged with the affairs of the said on-site inspection prescribed in Article 14, paragraph 1 of the Act) of the Ministry of Land, Infrastructure and Transport, the Director-General of an external subdivision or the Director of a regional bureau to which the authority of the said on-site inspection has been delegated, the prefectural governor, the Superintendent-General or the Commissioner of the Prefectural Police Headquarters .

Article 19 (Consultation Concerning On-site Inspections)

(1) A request for consultation (which means a consultation prescribed in Article 17, paragraph 5 of the Act; hereinafter the same shall apply in this Article) shall be made within two weeks from the National Public Safety Commission issuing a notification set forth in Article 17, paragraph 4 of the Act.

(2) In the case where the administrative agency is the prefectural governor, the matters pertaining to the request for consultation shall also be notified to the competent minister in writing or by way of telecommunications using a facsimile device.

(3) The National Public Safety Commission and the administrative agency shall conduct the following matters on the occasion of the consultation:

(i) Information, materials or opinions shall be exchanged mutually

(ii) When exercising the authority for on-site inspections and when requested to conduct the inspection jointly by a partner of the consultation, the request shall be accepted and arrangements shall be made with regard to the date and methods of inspection

(iii) In addition to what is listed in the preceding two items, arrangements shall be made with regard to matters necessary for reducing the burdens of the specified business operator, collecting materials for verifying the fact on a timely basis, and implementing the on-site inspection in an efficient manner

(4) The National Public Safety Commission and the administrative agency shall make arrangements within one month from the consultation being requested, except in unavoidable cases.

Article 20 (Conversion Rates for Transactions in Foreign Currency)

The conversion between Japanese currency and a foreign currency or between different foreign currencies under the Act, the Order and this Ordinance shall be made at the basic exchange rate or the arbitrated exchange rate prescribed in Article 7, paragraph 1 of the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) as of the day on which the transaction or agent work, etc. for specified mandated acts requiring such conversion of the amount under the relevant provision is carried out, except for the following categories of transactions in which the respective rates shall apply.

(i) Transactions pertaining to business affairs specified by a Cabinet Order as prescribed in the row of persons listed in Article 2, paragraph 2, items (i) to (xxxiii) in the table of Article 4, paragraph 1 of the Act which accompany trading between Japanese currency and a foreign currency: the real exchange rate applied to said trading between Japanese currency and the foreign currency

(ii) Currency exchange for trading Japanese currency and a foreign currency: the real exchange rate applied to said trading between Japanese currency and the foreign currency