

Give-up Detailed Rules

DISCLAIMER:

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Article 1 (Purpose)

1. These Rules shall, based on the provisions of Article 3.4 of the Market Rules, prescribe matters necessary for the handling of give-up.

Article 2 (Give-up Requirements)

1. The requirements prescribed by the Give-up Detailed Rules referred to in Article 26.3 of the Market Rules shall be as follows:
 - (1) Trade Members, etc. provided for in Article 6.1 of the Market Rules (limited to proprietary transaction only);
 - (2) The applicant provided for in Article 85 of the Market Rules except Trade Members, etc. provided for in Article 6.1 of the Market Rules;
 - (3) The applicant provided for in Article 2 of the Requirements for Investment Fund, etc.;
 - (4) The Limited Partnership for Investment provided for in Article 2.2 of the Limited Partnership Act for Investment (Act No. 90 of 1998.) or the foreign applicant who is equivalent thereto;
 - (5) Government Pension Investment Fund;
 - (6) The Trust Company provided for in Article 2.2, the Foreign Trust Business Operator provided for in Article 2.5, and the Foreign Trust Company provided for in Article 2.6 of the Trust Business Act (Act No. 154 of 2004);
 - (7) The Foreign Securities Broker provided for in Article 58 of the Financial Instruments and Exchange Act (Act No.25 of 1948); and
 - (8) Where it is otherwise deemed particularly necessary by the Exchange.

Article 3 (Give-up Application, etc.)

1. Trade Members, etc. who intend to obtain prior approval of the Exchange to do Give-up as provided for in Article 26.3 of Market Rules shall submit the Application Form to the Exchange.
2. Trade Members, etc who got approval prescribed by preceding paragraph shall notify the Exchange in writing without delay in the case a Give-up agreement prescribed by Article 26.3 of Market Rules or Article 40.4 of Brokerage Rules has been waived or changed.

Article 4 (Revision or Abolition)

1. Revision or abolition to these Rules shall be approved by the President & CEO.

Supplementary Provisions

These Rules shall be in effect as of December 1, 2008.

Supplementary Provisions

Revisions in Article 2 (Give-up Requirements) and Article 3 (Revision or Abolition) as well as new provisions in Article 1 (Purpose) shall be in effect as of May 7, 2009.

Supplementary Provisions

The revisions to Article 2 (Give-up Requirements) shall be in effect as of July 1, 2010.

Supplementary Provisions

The revisions to Article 2 (Give-up Requirements) shall be in effect as of August 9, 2010.

Supplementary Provisions

The revisions to Article 2 (Give-up Requirements) shall be in effect as of May 23, 2011.

Supplementary Provisions

The revisions to Article 2 (Give-up Requirements) shall be in effect as of December 19, 2011.

Supplementary Provisions

The newly established Article 3 (Give-up Application, etc.) and revisions to the provisions of Article 2 (Give-up Requirements) and Article 4 (Revision or Abolition) shall be in effect as of January 4, 2012.