

Give-up Detailed Rules

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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) Members (meaning Members prescribed in Article 6.1 of Market Rules; the same shall apply hereinafter) (limited to proprietary transaction only);
 - (2) The applicant provided for in Article 85 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. Members 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. Members 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 (Application Hours for Give-up)

1. The “time provided for in the Give-up Detailed Rules” referred to in Article 27.1 of Market Rules shall be by 4:45 pm after the close of the day session of the Clearing Period in which said trade was executed (exclude the time from 3:00 am to 8:20 am).

Article 5 (Application Hours for Take-up)

1. The “time provided for in the Give-up Detailed Rules” referred to in Article 28.1 of Market Rules shall be by 5:00 pm after the close of the day session of the Clearing Period in which said trade was executed (exclude the time from 3:00 am to 8:20 am).

Article 6 (Special Provisions for Application Hours for Give-up and Take-up)

1. The “time provided for in the Give-up Detailed Rules” referred to in Article 28-2.1 of the Market Rules shall be by 1:00 pm of the three business day after the Clearing Period in which the trade to apply Give-up Application, etc. (meaning Give-up Application and Take-up Application; the same shall apply hereinafter) was executed.
2. Notwithstanding the provisions of the preceding paragraph, for the current contract month,

the application for Give-up shall be made with the Exchange by 4:45 pm after the close of the day session of the Last Trading Day (exclude the time from 3:00 am to 8:20 am) and the application for Take-up shall be made with the Exchange by 5:00 pm after the close of the day session of the Last Trading Day (exclude the time from 3:00 am to 8:20 am).

Article 7 (Cancellation of Give-up)

1. The “time provided for in the Give-up Detailed Rules” referred to in Article 28-3.1 of the Market Rules shall be by 1:00 pm of the third business day after the Clearing Period in which the trade subject to said application for cancellation of Give-up Application, etc. was executed (exclude the time from 3:00 am to 8:20 am).

Article 8 (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.

Supplementary Provisions

The revisions to Article 2 (Give-up Requirements) shall be in effect as of March 31, 2014.

Supplementary Provisions

Article 1

Newly established Article 4 (Application Hours for Give-up) through Article 7 (Cancellation of Give-up), and the revisions to Article 4 (Revision or Abolition) shall be in effect as of September 20, 2016.

Article 2

Notwithstanding the provisions of Article 1, in the event that there is operational trouble of the electronic trading system or other unavoidable reasons that it is deemed necessary by the Exchange, the effective date of preceding Article will be separately provided by the Exchange.

Supplementary Provisions

The revisions to Article 2 (Give-up Requirements) and Article 3 (Give-up application, etc.) shall be in effect as of October 31, 2016.