

Compliance Research Office



Fifth Regional Seminar on Good Governance
8th December 2011

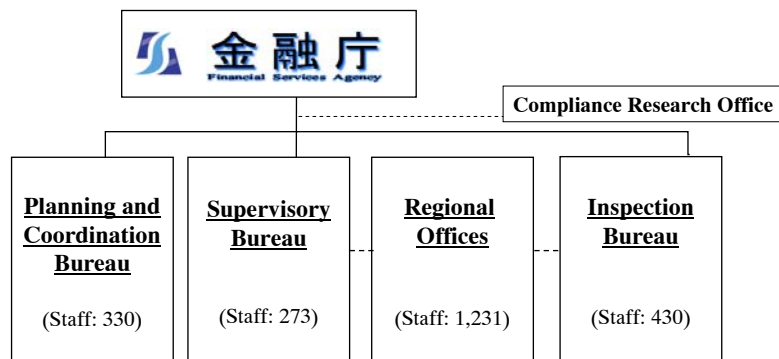
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Financial Services Agency

(Views expressed in this presentation are those of author and do not necessarily reflect views of the FSA Japan.)

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Organizational Structure of the FSA



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Compliance Research Office

- Established: April 2006
- Based on the spirit of Whistleblower Protection Act
 - Article 1 (Purpose)

The Purpose of this Act is to protect Whistleblowers, to provide for nullity, etc. of dismissal of Whistleblower on the grounds of Whistleblowing and the measures that the business operator and Administrative Organ shall take concerning Whistleblowing, and to promote compliance with the laws and regulations concerning the protection of life, body, property.....

<http://www.cas.go.jp/jp/seisaku/hourei/data/WPA.pdf>

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Contents

- Scope of business
 - Compliance with laws and regulations regarding the FSA's conduct (including acts of employees)
 - Whistleblowing to an Administrative Organ with the authority to impose Disposition or Recommendation, etc.;
- Organization

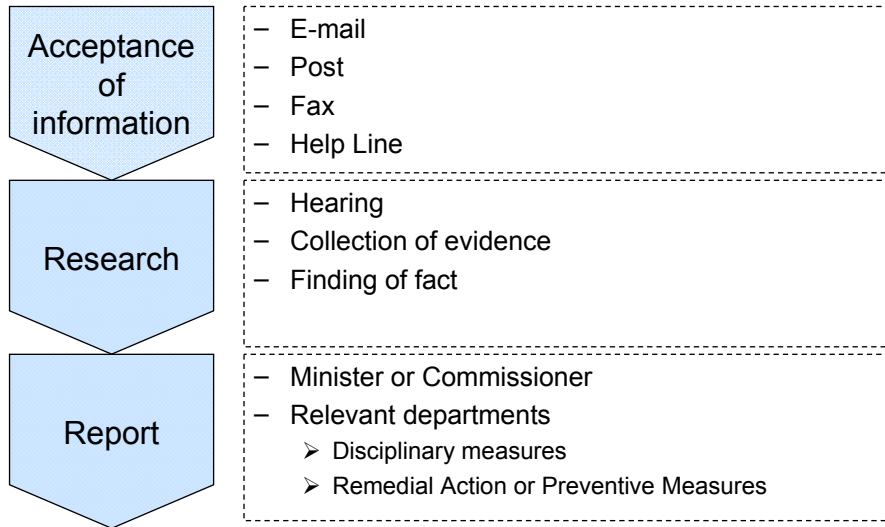
All members are lawyers

 - Chief (1)・・・Professor and attorney
 - Members (8)
 - Administrative Law judge (1)
 - Public prosecutor (1)
 - Attorney (6)

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From Beginning to End...



Points

- Information
 - Variety of means to obtain information
- Independence
 - Organizations do not belong to any Bureaus
 - Composed of legal experts
- Confidentiality
 - Protection of personal information
 - Prevention of Conflict of Interest

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Thank you very much!



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