

2018 Tokyo Financial Award “ESG Investment Category” Application Guidelines for Companies

1. Program Objectives

In November 2017, the Tokyo Metropolitan Government (TMG) formulated the “Global Financial City: Tokyo” Vision with the aim of making Tokyo an unrivalled global financial center. The policy outlines the form that this city should take, concrete measures to be taken, and the structures needed to make the vision into a reality. TMG will work together with the national government, private sector, and other bodies in carrying out initiatives to revitalize the city’s financial sector.

One of the initiatives of the “Global Financial City: Tokyo” Vision is the Tokyo Financial Award. It will recognize financial businesses who are developing or providing innovative financial products/services that help address the needs of Tokyo residents and resolve issues faced by TMG, or who are working to advance ESG investments that contribute to sustainable urban development. Through the establishment and running of the Tokyo Financial Award, TMG aims to both improve convenience for Tokyo residents and stimulate the financial industry, as well as enhance the presence of Tokyo as a global financial city.

These Application Guidelines are for companies engaged in ESG investing activities that are consistent with the needs and challenges selected by TMG for the Award’s “ESG Investment Category”.

2. Target Companies

The target companies are those that fulfill all the conditions set out hereunder:

- (1) A Japanese or Foreign Financial Company (including FinTech companies) which is engaged in ESG investing activities that are consistent with the needs and challenges selected by TMG. Companies that have applied for the other Tokyo Financial Award category, “Resolution of Tokyo Residents’ Needs” cannot apply for the “ESG Investment Category”.
- (2) The Company must abide by “7. Terms of Participation”, as described in these Guidelines.
- (3) The Company should not have violated any national laws or regulations in its

home country or global laws and regulations outside of its home country, including global trade laws, etc.

- (4) The Company should not be in arrears with the payment of taxes in its home country or any country of operation.
- (5) The Company should not have violated any contract or agreement with a public body in its home country or any country of operation.
- (6) The Company should not be considered a threat to public safety or welfare.
- (7) The Company should not be one whose purpose of business is political, or religious, including electoral activities.
- (8) The Company must not be an Organized Crime Group (an Organized Crime Group as stipulated in item (ii) of Article 2 of the Tokyo Metropolitan Ordinance for Eliminating Organized Crime Groups (Tokyo Metropolitan Government Ordinance No. 54 of 2011; hereinafter referred to as “Organized Crime Elimination Ordinance”)), and must not have an Organized Crime Group Member, etc. (a member of an Organized Crime Group as stipulated in item (iii) of Article 2 of the Organized Crime Elimination Ordinance, or someone related to an Organized Crime Group as stipulated in item (iv) of the same Article) among the representatives, executives, employees, or other members of the corporation.

3. Judging Process

A judging panel will be established to evaluate and select Companies making ESG investments consistent with the needs and challenges of Tokyo residents, as selected by TMG.

4. Number of Winners

Around three.

5. Award Ceremony

Companies selected through the judging process (described above in section 3) will receive their awards from the Tokyo Metropolitan Government at an award ceremony held in early February 2019.

6. Program Schedule

The schedule is as follows. The schedule set out in this document is provisional and may be changed without prior notice.

- (1) Submission of applications (September 14th – November 26th, 2018)
- (2) Selection and announcement of the financial Companies whose ESG investing activities are the most outstanding (January 2019)
- (3) Award ceremony (announcement of winners) (held in early February 2019)

7. Terms of Participation

The selected Companies must comply with the following.

- (1) Participation in the award ceremony
 - The person responsible for the initiative to promote ESG investments is required to participate.
- (2) Other matters to be observed:
 - If a Company is found to have violated any of the items listed above in section 2 (2) – (8), or found to be engaged in activities deemed by the Tokyo Metropolitan Government as inappropriate for a participant of the Award and subsequently, cannot offer the Tokyo Metropolitan Government a valid explanation, their selection as a winner and award may be revoked even after the conclusion of the award ceremony .
 - During evaluation, Companies agree to cooperate in providing any necessary information or answers to questions, etc., to ensure that the evaluation process proceeds smoothly.
 - The selected Companies are required to pay for their own international travel costs, accommodation costs, travel costs within Japan, meal costs and all other related costs (efforts will be made where possible to introduce appropriate accommodation, etc.).
 - The selected Companies agree to have their information (company name, business overview, etc.) made public on the Tokyo Metropolitan Government's website.

8. Points to Keep in Mind when Applying

- (1) Handling of personal data submitted during application

Program applicants must agree to the following:

- Personal data submitted in an application form will only be used within the scope of this program.
- The applicant must have received permission from the individual whose personal data has been provided in the application form.
- To provide Japanese companies with Japanese-language translations, Google's Cloud Translation API will be accessed when using the Google Translation tool to translate portions of data submitted by program applicants.

*Further details on Google's data security measures can be found here:

<https://www.google.com/about/datacenters/inside/data-security/index.html?hl=ja>

(2) Submitting the personal data of individuals residing in the EU

In addition to the conditions above, residents of EU countries must agree to the following terms before applying to the program:

- Upon completion, submitted personal data through will be viewed by the Secretariat within the scope of this program.
- Submitted personal data will be sent and stored in a server located in Japan. While Japan has not yet received adequacy ruling by the European Commission, personal data of the applicant will be securely stored.
- Applicants may request to access, rectify, erase, and restrict processing of their personal data.

*Applicants may contact supervisory authorities in the EEA to file a complaint regarding personal data processing by the Tokyo Metropolitan Government.

*Please do not apply to this program if you do not agree to the above conditions regarding use and transfer of personal data.

- (3) After the program has concluded, Companies will, where possible, cooperate with the Tokyo Metropolitan Government in its initiatives to attract foreign companies to Tokyo.

9. Applying for the Award

Financial Companies that wish to apply should access the application form on the Tokyo Financial Award website and fill in the necessary information before the

appointed deadline.

(1) Application procedure:

- Access the Tokyo Financial Award application form for companies from the website.

[\(Click here for the Application form\)](#)

- Complete all required fields.
- Confirm all fields are correct and submit application.

(2) Deadline for application:

11:59 p.m., Monday, November 26, 2018 (Japan Standard Time)

(3) Selection Process

Once the deadline for submissions has passed, the judging panel will carefully review all applications and select the winning Companies. These winners will be announced at the award ceremony in early February 2019. Please note that the information concerning the selection process will not be disclosed.

For questions concerning the Tokyo Financial Award, contact
“2018 Tokyo Financial Award” Secretariat at
finaward@access2tokyo.com