

FY 2020
Tokyo Financial Award
“ESG Investment Category”
Submission Guidelines for Businesses

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.

The Tokyo Financial Award “ESG Investment Category” Submission Guidelines are for financial businesses engaging in ESG investment activities, as well as businesses practicing SDGs management activities as an investment destination for ESG investment.

2. Target Businesses

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

(1) ESG Investment subcategory: Japanese or Foreign Financial Company (including FinTech) engaging in ESG investing activities that are consistent with Environmental, Social, and Governance themes.

SDGs subcategory: Japanese or Foreign Company (including Financial Company) practicing SDGs management activities that are consistent with 17 SDGs goals.

It is possible to apply for both subcategories, but a company will be awarded for

only one of the subcategories.

Businesses that have applied for the Tokyo Financial Award “Financial Innovation Category” 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 unresolved 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 businesses engaging in ESG investing activities consistent with ESG themes and businesses practicing SDGs management activities consistent with SDG goals.

4. Number of Winners

Around three.

5. Award Ceremony

Businesses 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 2021.

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 (August 3 – October 16, 2020)
- (2) Selection and announcement of the financial Businesses whose ESG investing and SDGs management activities are the most outstanding (October to November 2020)
- (3) Award ceremony (announcement of winners) (to be held in early February 2021)

7. Terms of Participation

The businesses selected as a candidate for award must comply with the following (1) and (3). Among them, the businesses selected for the award also comply with (2).

*(1) and (2) may be conducted online (TBA).

- (1) Participation in the final screening session and delivery of a presentation
 - Selected businesses are required to participate in the final screening session to be held in Tokyo (in late November 2020) and to deliver a presentation on the contents of the ESG investment promotion or SDGs management activities.
- (2) Participation in the award ceremony
 - The person responsible for the initiative to promote ESG investments and SDGs management is required to participate.
- (3) 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, Businesses agree to cooperate in providing any necessary information or answers to questions, etc., to ensure that the evaluation process proceeds smoothly.
- The selected Businesses 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 Businesses 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 submission period

Program applicants must agree to the following:

- Personal data submitted in a submission form will only be provided to and used by the Tokyo Metropolitan Government, the Tokyo Financial Award Secretariat for the purposes of the Tokyo Financial Award.
- The applicant must have received permission from the individual whose personal data has been provided in the submission form.
- To provide Japanese businesses 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.

*When using Google Translate to translate portions of data submitted by program applicants, Google will temporarily store the inputted text on their servers in order to send back the requested translation.

*Generally, the stored text will be deleted after a few hours. However, depending on the status of Google's systems, text may be stored for a longer period.

*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 also 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 an adequacy ruling by the European Commission, the personal data of applicants will be securely stored.
- Portions of data submitted by program applicants will be translated into Japanese with the Google Translation tool. In this case, inputted data will be sent to Google and stored temporarily on their servers. Google protects the security of data in accordance with the security measures established for its cloud services (<https://www.google.com/about/datacenters/inside/data-security/index.html?hl=ja>).
- 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, Businesses will, where possible, cooperate with the Tokyo Metropolitan Government in its initiatives to attract foreign businesses to Tokyo.

9. Applying for the Award

Financial Businesses that wish to apply should access the submission form on the Tokyo Financial Award website and fill in the necessary information before the appointed deadline.

(1) Submission procedure:

- Access the Tokyo Financial Award submission form for businesses from the website.

[\(Click here for the Submission form of ESG Investment subcategory\)](#)

[\(Click here for the Submission form of SDGs subcategory\)](#)

- Complete all required fields on a company basis.
 - *Up to 5 activities can be submitted under the ESG Investment subcategory.
 - *Only one activity can be submitted under the SDGs subcategory.
- Confirm all fields are correct and submit.

(2) Deadline for submission:

11:59 p.m., Monday, October 16, 2020 (Japan Standard Time)

(3) Selection Process

Once the deadline for submissions has passed, the judging panel will carefully review all submissions and select the winning Businesses. These winners will be announced at the award ceremony in early February 2021. Please note that the information concerning the selection process will not be disclosed.

For questions concerning the Tokyo Financial Award, contact
“2020 Tokyo Financial Award” Secretariat at
finaward@access2tokyo.com