

Tokyo Financial Award 2021 "ESG Investment Category"
Application Guidelines for the Companies

1. Program Objectives

In November 2017, the Tokyo Metropolitan Government (TMG) formulated the "Global Financial City: Tokyo" Vision, which outlines the image of the city that Tokyo should aspire to, the specific measures that should be implemented in the future, and the framework for realizing the concept in order for Tokyo to shine as a world-class international financial city. In this way, the city is promoting efforts to revitalize the financial sector in cooperation with the government and the private sector.

The Tokyo Financial Award is one of the initiatives of the "Global Financial City: Tokyo" vision, and is awarded to financial companies that develop and provide innovative financial products and services that contribute to solving the needs of the people of Tokyo and the issues facing the city's government, as well as businesses that promote ESG investments that contribute to the development of a sustainable city. By establishing and implementing the Tokyo Financial Award, the Tokyo Metropolitan Government aims to improve the convenience of its citizens and revitalize the financial sector, while at the same time enhancing its presence as an international financial city.

This application guideline is for the Tokyo Financial Award's ESG Investment Category, which is open to financial businesses that promote ESG investment activities and businesses that implement SDG management initiatives.

2. Target Businesses

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

(1) ESG investment subcategory: Domestic and overseas financial businesses (including fintech businesses) that practice ESG investment promotion activities consistent with the themes of the environment, society, and governance.

SDGs subcategory: Domestic and overseas businesses (including financial businesses) that implement SDG management initiatives consistent with the 17 goals of the SDGs. Both categories are acceptable.

Applications for both subcategories are acceptable, but only one of the two subcategories will be selected for the award. Applicants may also apply for the

Financial Innovation Category of the Tokyo Financial Award, for which applications are being accepted separately, but only one of the categories will be awarded.

- (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 as 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 screening committee will be established to screen and select businesses that are promoting ESG investment activities that match the theme and SDG management initiatives that meet the 17 goals of the SDGs. One business that is particularly outstanding in its green finance initiatives will be selected to receive the Green Finance Governor's Special Award.

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 2022.

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 (July 21st – September 28th , 2021)
- (2) First-stage screening (October – November, 2021)
- (3) Final screening (Late November – early December, 2021)
- (4) Award ceremony (announcement of winners) (early February 2022)

7. Terms of Participation

The businesses that passed first-stage screening 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 (Late November – early December, 2021) 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, 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 information entered at the time of application

Please be sure to agree to the following

The personal information entered in the application form will be provided to and used by the Tokyo Metropolitan Government, its commissioned secretariat, and mentors only within the scope of the purpose of this project.

The applicant shall obtain consent for the above use from the person whose personal information is entered in the application form. In addition, by submitting an application for participation in the program, the applicant shall be deemed to have agreed that the entered personal information will be provided to the secretariat and mentor companies within the scope of the above purposes of use.

Some of the information registered in languages other than Japanese at the time of application will be sent to Google for translation into Japanese by the secretariat commissioned by the Tokyo Metropolitan Government using the Google translation tool, and will be temporarily stored.

※To perform Google Translate on part of the registered information and to store the text sent to Google on Google's servers for a short period of time in order to return the translation results.

※The saved text is generally deleted in a few hours, but may be retained longer for system reasons.

※For more information about Google's basic data security measures, please refer to the following

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

(2) When entering the data of individuals residing in the EU

In addition to (1) above, Please be sure to agree to the following conditions.

The personal data you have entered will be transferred to Japan and stored on a server in Japan. Japan has not received a decision on adequate data protection from the European Commission, but will manage the applicant's personal data appropriately.

Some of the information you enter will be sent to and temporarily stored by Google in order to be translated into Japanese by the Google Translate tool. Google protects the security of data in accordance with Google's security measures for cloud services (<https://www.google.com/about/datacenters/inside/data-security/index.html?hl=ja>).

The personal data owner may request access to his or her personal data, correction of inaccurate personal data, and restrictions on data processing of personal data.

9. Application

Businesses wishing to apply should access the application form on the Tokyo Financial Awards website and submit the necessary information and finalize their application by the deadline.

(1) Application Procedure

Access the application form on the Tokyo Financial Awards website.

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

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

Register the necessary information for each company in the entry field of the application form.

※A maximum of two applications can be registered per initiative.

After confirming that the information entered is correct, finalize the application for participation.

(2) Deadline for submission:

11:59 p.m., Tuesday, September 28th, 2021 (Japan Standard Time)

(3) Selection Process

After the application deadline, the screening committee will strictly select the businesses to be awarded, and will make an announcement at the award ceremony in early February 2022. Businesses that pass the initial screening will be notified individually. The selection process will not be disclosed at all.

For inquiries about the Tokyo Financial Award, please contact

Tokyo Financial Award 2021 Secretariat

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