

FY 2023
Tokyo Financial Award
“ESG Investment Category”
Application Guidelines for Companies

1. Program Objectives

In November 2021, in order to accurately respond to major changes in the environment surrounding international finance and to establish Tokyo's position as a global financial city, the Tokyo Metropolitan Government (TMG) formulated the "Global Financial City: Tokyo" Vision 2.0. The TMG is promoting initiatives for financial revitalization in cooperation with the national government and the private sector.

One of the initiatives of the “Global Financial City: Tokyo” Vision 2.0 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 the TMG, who are working to advance ESG investments that contribute to sustainable urban development including green finance and other environmental initiatives, or who are working to implement SDGs management initiatives. Through the establishment and running of the Tokyo Financial Award, the 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” Application Guidelines is for financial companies engaging in ESG investment promotion activities, as well as companies practicing SDGs management activities.

2. Target Companies

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

- (1) Being a business that meets each of the following categories.

ESG Investment Subcategory	Domestic and foreign financial businesses (including FinTech businesses) that practice ESG investment promotion activities consistent with environmental, social, and governance themes.
SDGs Subcategory	Domestic and foreign businesses (including financial businesses) that practice SDGs management initiatives consistent with the 17 goals of the SDGs.

It is possible to apply for both subcategories, but if the award is given, only one of the subcategories will be awarded.

It is possible to apply for the Tokyo Financial Awards "Financial Innovation Category", which is also open for submissions, but if the award is given, it will be given in one of the categories.

- (2) The companies shall comply with "7. Terms of Participation", as described in these Guidelines.
- (3) There has been no punishment, revocation of permits, etc., payment of money, etc. in violation of laws and regulations, and there is no risk of receiving such punishment at this time in its home country or global laws and regulations outside of its home country, including global trade laws, etc.
- (4) There is no delinquency in taxes levied on the corporation and social insurance premiums payable by the corporation in its home country or any country of operation.
- (5) The companies should not have violated any contract or agreement with a public body (Governments, local governments and those related organizations) in its home country or any country of operation.
- (6) The companies should not and will not be considered a threat to public safety or welfare.
- (7) The companies should not be one whose purpose of business is political, or religious, including electoral activities.
- (8) The companies shall 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. Screening Process

A screening panel will be established to carry out the following.

- (1) First-stage Screening: The judging panel will evaluate and select companies (around ten Japanese and foreign companies) engaging in ESG investing promotion activities consistent with ESG themes and companies practicing SDGs management activities consistent with 17 SDGs goals.
- (2) Final Screening: Among the companies selected in (1), the judging panel will select around three businesses that are implementing especially outstanding measures. Among them, one business that is particularly outstanding in its green finance

initiatives will be selected to receive the "Governor's Special Prize for Green Finance."

4. Number of Winners

Around three businesses

5. Award Ceremony

Companies selected through the screening process (described above in section 3) will receive their awards from the TMG at an award ceremony to be held in after February 2024.

6. Program Schedule, etc.

The following schedule is tentative and subject to change without notice.

- (1) Submission of applications (May 31 – August 31, 2023)
- (2) First-stage screening (September 2023)
- (3) Final screening (Late November to early December 2023)
- (4) Award Ceremony (announcement of winners) (After February 2024)

7. Terms of Participation

The companies passing the first-stage screening shall comply with the following (1) and (3). Additionally, the companies selected for the award are required to comply with (2) as well.

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

(1) Participation in the final screening session and delivery of a presentation

Selected companies are required to participate in the final screening session to be held in Tokyo (Late November to early December 2023) 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 in the ceremony and communicate each content externally.

(3) Others

- If a selected 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 TMG as inappropriate for a participant of the Award and subsequently, cannot offer the TMG a valid explanation, their selection as a winner and award may be revoked even after the award ceremony.
- Selected companies shall agree to cooperate in providing any necessary information for screening or answers to questions, etc., to ensure that the screening process

proceeds smoothly.

- Selected companies shall pay for their own international travel costs, accommodation costs, travel costs within Japan, meal costs and all other related costs.
- Selected Companies shall agree to have their information (company name, business overview, etc.) made public on the TMG's website.

8. Points to Keep in Mind when Applying

(1) Handling of personal data submitted upon application

Program applicants shall agree to the following:

- Personal data submitted in an application form will only be provided to and used by the TMG and the Tokyo Financial Award Secretariat only for the purposes of the Tokyo Financial Award.
- Applicants shall obtain consent for the above use from the individuals whose personal information they have entered in the application form. In addition, the applicants for the program shall be deemed to have agreed that the personal information entered in the application form will be provided to the TMG and the Secretariat within the scope of the above-mentioned purposes of use upon submission of the application for the program.
- Part of the information registered in a language other than Japanese upon application shall be sent to Google and temporarily stored in order to be translated into Japanese by the Secretariat on behalf of the TMG using the Google Translate tool.

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

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

*For details on Google's data security measures, please refer to the following site:

<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 shall also agree to the following terms before applying to the program:

- Submitted personal data will be sent and stored in a server located in Japan. Japan has received an adequacy decision by the European Commission and the personal

data of applicants will be securely stored to the TMG and the Secretariat.

- 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>)
- The data subjects may request access to their personal data, correction of inaccurate personal data, or restrictions on data processing of their personal data.

9. Application for the Award

Companies that wish to apply for the award should access the application form on the Tokyo Financial Award website and fill in the necessary information and confirm application by the application deadline.

(1) Application procedure:

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

(For the ESG Investment Subcategory, please click [here](#).)

(For the SDGs Subcategory, please click [here](#).)

- Complete all required fields in the application form on a company basis.

* Up to 2 activities can be registered in each subcategory.

- Confirm all fields are correct before submission.

(2) Deadline for submission:

11:59 p.m., Thursday, August 31, 2023 (Japan Standard Time)

(3) Selection process, etc.

After the application deadline, the screening panel will strictly select businesses for awards, which will be announced at an awards ceremony in after February 2024.

Businesses that pass the first-stage screening will be notified individually. The selection process will not be made public and no inquiries will be responded to.

For questions concerning the Tokyo Financial Award, contact
“2023 Tokyo Financial Award” Secretariat at
tokyo.financial.award@jp.ey.com