

## Administrative Action in the Financial Sector (Old/New Comparison Table)

Old	New
<p>Criteria for Administrative Action</p> <p>1. Prior to taking administrative action, the FSA, as a first step, considers the following aspects, so as to identify the appropriate measures to take.</p> <p style="padding-left: 40px;">i • ii (Omission)</p> <p style="padding-left: 40px;">iii Mitigating Factors</p> <p style="padding-left: 80px;">In addition to the above, whether there are any mitigating factors, such as, whether the financial institution is itself making necessary efforts to protect customers in a voluntary fashion prior to administrative responses.</p> <p>2. (Omission)</p>	<p>Criteria for Administrative Action</p> <p>1. Prior to taking administrative action, the FSA, as a first step, considers the following aspects, so as to identify the appropriate measures to take.</p> <p style="padding-left: 40px;">i • ii (Omission)</p> <p style="padding-left: 40px;">iii Mitigating Factors</p> <p style="padding-left: 80px;">In addition to the above, whether there are any mitigating factors, such as, whether the financial institution is itself making necessary efforts to protect customers in a voluntary fashion prior to administrative responses.</p> <p style="padding-left: 80px;"><u>In particular, in cases where the financial institution is making voluntary efforts in an appropriate manner based on the principles that have been shared with the authorities, this fact will be taken into consideration as a mitigating factor.</u></p> <p>2. (Omission)</p>