

[CAUTION] Please read the “Explanatory Materials for Export Control Form 2” carefully before completing this form.

**Declaration concerning the applicability of “Specific Categories”
For compliance with Article 25, Paragraphs 1 and 2
of the Foreign Exchange and Foreign Trade Act (FEFTA)**

TO: National Institute of Advanced Industrial Science and Technology (AIST)

NAME: _____

ADDRESS: _____

Declaration

I understand that, when the National Institute of Advanced Industrial Science and Technology (hereinafter referred to as “AIST”) transfers technology to a resident who falls under clauses 1(3)サ①, ② or③ of the "Notification for Transactions or Acts of Transferring Technology Requiring Permission pursuant to Article 25 (1) of the Foreign Exchange and Foreign Trade Act, and Article 17 (2) of the Foreign Exchange Order" (Document No. 492 of the Trade Bureau published on December 21, 1992; hereinafter referred to as the "Notification for Technology Transfer"), AIST may be required to obtain authorization from the Minister of Economy, Trade and Industry pursuant to Article 25 (1) and (2) of the Foreign Exchange and Foreign Trade Act. Assuming my application for employment at AIST is accepted, and in line with AIST’s own compliance with the laws and regulations, I hereby confirm as follows whether or not I fall under Specific Categories (1), (2) and/or (3)¹ of the Notification for Technology Transfer at the time of the commencement of my employment.

- I fall under the following Specific Categories at the time of the commencement of my employment.
 Category (1) / Category (2) / Category (3) *Select all applicable categories.

(Name of the foreign corporation or foreign government, and reasons for Specific Category applicability)

- I do not fall under any of the Specific Categories at the time of the commencement of my employment. Should my situation change, and I come to fall under any of the Specific Categories in the future, I will submit an amended declaration form.

DATE (MM/DD/YYYY): _____ / _____ / _____

SIGNATURE _____

¹ See next page for details concerning each Specific Category

Specific Categories

- Category (1) Individuals who are under an employment contract, a delegation contract, a service contract, or any other contract with a corporation or organization established in accordance with foreign laws and regulations (except its branch offices in Japan. Hereinafter referred to as a "Foreign Corporation"), or a foreign government, a foreign governmental agency, a foreign local government, a foreign central bank, a foreign political party or any other political organization (hereinafter referred to as a "Foreign Government") and according to the contract is subject to the directions and orders of the Foreign Corporation or Government, or owes a duty of care to the Foreign Corporation or Government.
- Category (2) Individuals who receive, or is guaranteed to receive, a large sum of money or other significant profit (i.e. non-monetary profit that accounts for 25% or more of the individual's annual income when converted into money) from a Foreign Government.
- Category (3) Individuals who receive instructions or requests from a foreign government, etc. concerning their actions in Japan.

Handling of Personal Information

Personal information obtained from the completed declaration forms shall be used solely for the following purposes., in order to properly implement security export controls in accordance with the Foreign Exchange and Foreign Trade Act (hereinafter referred to as "FEFTA"),

- The screening pursuant to FEFTA of individuals deemed to fall under Specific Categories (1), (2) and/or (3) of the Notification for Technology Transfer (hereinafter referred to as "applicable individuals").
- Managing the provision of technology to applicable individuals. In this case, the applicability status of individuals shall be shared with those responsible for managing the provision of technologies to applicable individuals. Those responsible for managing the provision of technologies to applicable individuals include persons outside of AIST (including collaborating partners of counterpart organizations). In case application to the Ministry of Economy, Trade and Industry (hereinafter referred to as "METI") for authorization under FEFTA is necessary, the applicability status of applicable individuals shall be shared with METI.
- Responses necessary for proper execution of operational activities within AIST. In particular, the legal determination of an individual's specific category applicability, confirmation of consistency with an individual's dual employment application, and the measures for cases wherein deemed export control is considered difficult. In such cases, the applicable individual's personal information may be disclosed to the relevant department(s) within AIST.
- The declaration forms submitted shall not be returned. Declaration forms for rejected applicants shall be disposed of in accordance with AIST's rules and regulations.