

# **REGULATIONS ON DISPUTE RESOLUTION**

*Formulated on December 30, 2008*

*Amended on January 23, 2009*

*Amended on April 24, 2009*

*Amended on June 28, 2012*

*Amended on March 22, 2018*

*Amended on June 20, 2019*

## **CHAPTER I GENERAL PROVISIONS**

### **§1. Purpose**

The purpose of these Regulations is to prescribe necessary matters in formation and operation of the Dispute Settlement Committee (hereinafter referred to as the “Committee”) and self-resolution procedures of disputes in accordance with [§288] of the Financial Investment Services and Capital Markets Act (hereinafter referred to as the “Act”) and [§49] of the Articles of Association of the Korea Financial Investment Association (hereinafter referred to as the “Association”).

### **§2. Scope of Application**

These Regulations shall apply to the self-resolution of disputes related to the business operations of the Association members (hereinafter referred to as the “member”) except for the matters specified in the Act and the Association’s Articles of Association.

### **§3. Definition**

The terms used in these Regulations are defined as follows:

1. The term “applicant” is defined as a person who applies for the resolution of dispute related to the business operations of a member to the Committee;
2. The term “respondent” is defined as the opposite party of the applicant;
3. The term “party(parties)” is defined as one of the applicant or the respondent or both of them; and
4. The term “disputes” is defined as an argument or disagreement on the obligation and rights or interests that arise in relation to the business operations of members.

**CHAPTER II**  
**FORMATION AND OPERATION OF COMMITTEE**

**§4. Formation of Committee**

(1) The Committee shall consist of 15 persons or less including one person who will serve as the Chairman of the Dispute Resolution Committee (hereinafter referred to as the “Chairman”).

(2) The members of the Committee shall consist of the executive of the Association who is in charge of the dispute resolution affairs and the persons who fall under any of the following items and are appointed by the Chairman of the Self-Regulation Committee (hereinafter referred to as the “Self-Regulation Chairman”), and the executive of the Association who is in charge of the dispute resolution affairs shall be the Chairman:

1. A person with a qualification as a judge, a prosecutor, or a lawyer;
2. A person who majored in studies related to law, business management and other securities and derivatives products and works in a position of assistant professor or higher at an accredited university;
3. An executive or a former executive of a corporation engaged in financial investment business or financial investment-related business, or an employee or a former employee who has worked at the corporation for 10 years or longer with abundant knowledge and experience in financial investment business;
4. A person who has professional knowledge and abundant experience on securities, derivatives products, accounting and computer system, etc.;
5. An executive or a former executive of the Korea Consumer Protection Board under the Consumer Protection Act or other consumer groups; and
6. Other persons who are acknowledged to be appropriate for dispute resolution by the Self-Regulation Chairman.

## **§5. Tenure of Committee Member**

The tenure of the Committee member who is the executive in charge of the dispute resolution affairs at the Association shall be the same period for which he/she serves as such executive at the Association, and the tenure of the other Committee members appointed by the Self-Regulation Chairman shall be two (2) years and may serve consecutive terms.

## **§6. Duty of Chairman**

(1) The Chairman shall represent the Committee, and preside over the meeting of the Committee and supervise the affairs.

(2) In cases where the Chairman is not able to conduct his/her duties due to any unavoidable circumstance, a Committee member designated by the Self-Regulation Chairman may conduct such duties by proxy.

## **§7. Meeting of Committee**

(1) When the Chairman deems necessary, the Chairman shall convene a meeting of the Committee.

(2) A resolution of the Committee shall be adopted by the affirmative vote of the majority of the Committee members present at a meeting where the majority of the registered Committee members are present.

(3) The Committee shall appoint a secretary to handle tasks, such as preparation for the meeting. In such a case, the secretary shall be the director of the department in charge of the dispute resolution affairs at the Association.

(4) The secretary shall write minutes recording the progress of the meeting, and the minutes shall be signed and sealed (including the signature; the same hereinafter) by the Chairman and the secretary and shall be reported in the next meeting.

## **§8. Exclusion, Recusal and Avoidance of Committee Members, etc.**

(1) A Committee member shall be excluded from the deliberation and resolution

of any dispute brought before the Committee (hereinafter the “Dispute Case”) in cases where the Dispute Case falls under any of the following Subparagraphs:

1. Where the Committee member or his/her spouse or former spouse is the party in the Dispute Case, or is the joint right holder or obligator with regard to the Dispute Case;
2. Where the Committee member is or was in the ties of kinship with the party in the Dispute Case;
3. Where the Committee member is participating or had participated as a proxy of the party in the Dispute Case; or
4. Where the Committee member has testified, provided legal advices, or adjusted losses with regard to the Dispute Case.

(2) In the case where it is difficult to expect fair deliberation and resolution from the Committee member, the party may apply for recusal. In such a case, the Chairman shall decide on whether the Committee member concerned must recuse himself/herself from the Dispute Case without going through the resolution of the Committee.

(3) In the case where the Committee member falls under the reasons of Paragraph 1 and Paragraph 2, the Committee member himself/herself may avoid the deliberation and resolution of the Dispute Case.

## **§9. Application for Recusal**

(1) The party who wishes to apply for recusal in accordance with [§8(2)] shall submit the application for recusal (Form No. 4) to the Chairman within seven (7) days after receiving the notification of the list of the Committee members in accordance with [§15(2)], and the Chairman shall notify such information to the Committee member concerned and may listen to his/her opinion.

(2) The Chairman shall decide on whether or not to recuse the Committee member concerned within seven (7) days after the application for recusal has been submitted, and then notify it to the parties and the Committee member concerned.

**CHAPTER III**  
**APPLICATION OF DISPUTE RESOLUTION, ETC.**

**§10. Application of Dispute Resolution**

(1) The person who would like to apply for dispute resolution shall submit to the Association the application for dispute resolution (Form No. 1; Hereinafter referred to as the “resolution application”) with the following documents attached:

1. Documents that prove the cause of resolution application and fact-finding;
2. A power of attorney in cases where a proxy submits the resolution application (Form No. 2);
3. A letter of consent to provision of financial trading information (Form No. 5);
4. A letter of consent to collection and use of personal information (Form No. 6); and
5. Other documentary evidence or materials needed for the dispute resolution.

(2) Upon submission of the application in accordance with Paragraph 1, the Association shall deliver a copy of the applicant’s resolution application to the respondent.

**§11. Appointment of Representative or Proxy**

(1) The party may appoint a proxy, and in the case where a number of people jointly file the resolution application, they may appoint a representative. In such a case, the appointment shall be proved in writing.

(2) The representative may take any and all actions related to the dispute resolution on behalf of all the applicants, including the application for dispute resolution, submission of documents, attendance, etc. Provided, That with regard

to the withdrawal of the resolution application, any agreement with the respondent, or acceptance or refusal of the decision on dispute resolution, the representative may take any actions only if it is proved in writing that all of the applicants have agreed to it.

## **§12. Fact-Finding, etc.**

(1) In the case where it is acknowledged that it is necessary to investigate the dispute, the Chairman may allow the employees of the Association to investigate in different ways such as visiting the parties, on-site inspection, records search, or calling upon relevant persons, etc., or may request the parties to confirm the facts or submit and supplement the documents. The parties shall confirm the fact or submit the document within fourteen (14) days, and supplement the documents within seven (7) days, after receiving the notification of such requests. In such a case, the parties shall not refuse such a request without justifiable reasons therefor. Provided, That in the case where the party requests for the extension of the period with justifiable reasons, the Chairman may extend the period. [Amended on April 24, 2009]

(2) In the case where it is acknowledged that it is necessary for fact-finding under Paragraph 1, the Chairman may request for the appraisal or inquiry to the relevant institutions.

(3) In the case where it is acknowledged that it is necessary to have advice on specialized and technical matters for the fact-finding, the Chairman may seek advice from experts, etc.

(4) [Deleted on March 22, 2018]

## **§13. Withdrawal of Resolution Application, etc.**

(1) The applicant may withdraw the resolution application by submitting the Notice of Withdrawal of Application for Dispute Resolution (Form No. 3). Provided, That in the case where the dispute resolution procedure cannot be continued due to contact interruption, etc., the notice of withdrawal may be waived if the applicant gives notice to the respondent by content-certified mail and obtains the approval of the Chairman by submitting the result of notification to the respondent.

(2) The party, who filed a suit with regard to the Dispute Case after applying for the dispute resolution or filed a petition for conciliation with the court in accordance with the Judicial Conciliation of Civil Disputes, shall immediately notify the Association of the fact, with a copy of the complaint or the petition for conciliation attached.

(3) The Chairman may conclude the Dispute Case before submitting it to the Committee in cases where it falls under any of the following Subparagraphs:

1. Where it is under investigation by an investigative agency or it is filed as a complaint with the court;
2. Where the petition for conciliation has been already filed with the court or other dispute resolution institutions;
3. Where the resolution application was filed by a person who is not directly interested in the Dispute Case;
4. Where the resolution application was filed again with regard to the same dispute, or it has been found that the name of the applicant in the resolution application is different from the actual applicant;
5. Where any of the parties do not cooperate in fact-finding in accordance with [§12(1)] without justifiable reasons or are out of contact, etc.; and therefore, it is deemed to be difficult to handle the case in a normal way;
6. Where the statements in the application are found to be false in material respects through the fact-finding, etc.;
7. Where the content of the resolution application is deemed not to be acceptable clearly in light of the relevant laws, precedent rulings, or precedent cases of resolution, etc.;
8. Where the content of the resolution application is deemed not to be appropriate for the subject of a dispute resolution;
9. Where it is difficult to clearly determine the factual relationship between

the parties from the fact-finding based on the opinion of the parties or the submission of materials and data, etc.; or

10. Where the applicant withdraws the resolution application.

(4) In the case where the Dispute Case is concluded in accordance with Paragraph 3, the Chairman shall notify the parties in writing by specifying the result and reasons within thirty (30) days from the date of receiving the application. In the case where the Dispute Case has been submitted to the Committee and is pending there, the Chairman shall also notify the same to the Committee. [Amended on April 24, 2009]

#### **§14. Recommendation of Agreement**

(1) In the case where is acknowledged that it is more suitable for the parties to reach an agreement for a peaceful settlement of the dispute, the Chairman may recommend that the parties reach an agreement in writing or verbally.

(2) In the case where an agreement is made between the parties, the Chairman shall deliver the parties one copy of the agreement signed and sealed by them and cause the Association to keep one copy thereof.

(3) The member who is the party shall take actions in accordance with the content of the agreement within twenty (20) days from the day of receiving the agreement in accordance with Paragraph 2, and notify the Association of such result without delay.

### **CHAPTER IV DISPUTE RESOLUTION OF THE COMMITTEE**

#### **§15. Submission to the Committee and Notification**

(1) The Chairman shall submit the Dispute Case to the Committee within thirty (30) days from the day of receiving it. Provided, That in the case where it is acknowledged to be inevitable, the Chairman may defer the submission to the Committee for a period not exceeding thirty (30) days from the date when an event for deferment occurs.

(2) The Chairman shall notify the parties without delay that the Dispute Case has been submitted to the Committee in accordance with Paragraph 1. In such a case, the Chairman shall also notify the parties that they may be required to submit additional materials and documents within a certain period; and that they may file an application for recusal against any of the listed Committee members, providing them with the list of Committee members .

(3) If a party files an application for recusal in accordance with Paragraph 2, the party shall submit the application stating the reason of recusal, together with documents of evidence, in writing.

(4) In the case where the Dispute Case is submitted to the Committee, the secretary shall send all the materials related to the meeting agenda to all of the Committee members.

#### **§16. Request for Investigation, etc.**

In the case where it is necessary for the dispute resolution, the Committee shall conduct fact-finding or collect relevant data with regard to the Dispute Case. In such a case, the regulations of [§12] shall apply *mutatis mutandis* to the fact-finding and data collection.

#### **§17. Hearing for Listening to the Opinion of the Parties, etc.**

(1) In the case where it is acknowledged necessary to hear the opinions of the parties and other interested parties, appraiser and testifier, etc., the Committee may request them to attend a meeting of the Committee to state their opinion. In such a case, unless there is a reason of urgency, the time and venue shall be notified to the parties, etc. by no later than three (3) days before the meeting.

(2) The interested parties other than the parties may state their opinion at a meeting of the Committee with the approval of the Committee.

#### **§18. Decision**

(1) The Committee shall deliberate and make a decision on the Dispute Case within thirty (30) days from the date of submission to the Committee. Provided,

That in the case where it is decided that the deliberation and the decision cannot be made within the same period due to any unavoidable circumstance, the Chairman may extend the period for a term not exceeding fifteen (15) days. In such a case, the Chairman shall give notice specifying the reason for extension and the period to the parties.

(2) The Committee may dismiss the Dispute Case, if it decides that it is not useful to resolve the Dispute Case, or if the Dispute Case falls under any of the Subparagraphs of [§13(3)].

(3) When the Committee makes a decision in accordance with Paragraph 1 and Paragraph 2, it shall draw up a decision of resolution or a decision of dismissal in writing, which shall be signed and sealed by all of the Committee members present at the meeting of the Committee.

(4) The decision of resolution or the decision of dismissal under Paragraph 3 shall include the matters of the following Subparagraphs:

1. The name or title and address of the parties;
2. Matters decided on the resolution or dismissal of the Dispute Case;
3. Reason for the decision on resolution or dismissal; and
4. Date of the decision.

**§19. Notification of RESOLUTION Decision, etc.**

(1) When the Committee makes a decision, the Association shall notify such fact to the parties without delay.

(2) When notifying the decision on resolution, the matters of the following Subparagraphs shall be notified:

1. The parties shall determine whether to accept the decision on resolution within twenty (20) days from the day of receiving the notification of decision on resolution; otherwise, the resolution will fail; and

2. If the parties accept the decision on resolution, they shall sign the letter of acceptance of the decision and deliver it to the Association.

## **§20. Conclusion of Resolution, etc.**

(1) The resolution shall be concluded when the parties deliver the letter of acceptance of the decision signed by them to the Association within twenty (20) days from the day of receiving the notification of the decision. In such a case, the regulation of [§14(2)] shall apply *mutatis mutandis*.

(2) In the case where the resolution is not concluded, the Association shall notify the parties by specifying the fact that the resolution has not been concluded and the reason for failure to resolve the Dispute Case.

(3) In the case where the party who is a member of the Association does not accept the proposed resolution, the party shall submit the reason for not accepting the proposed resolution in writing to the Association within twenty (20) days after the notification in accordance with [§19(1)].

## **§21. Notification of Result**

In the case where the resolution is concluded in accordance with [§20], the member who is the party shall take actions according to the resolution within twenty (20) days and notify the Association of the result without delay.

## **§22. Application for Reexamination**

(1) In the case of the following Subparagraphs, the party may apply for a reexamination on the Committee's resolution decision. Provided, That in the case where the party had already claimed the fact when submitting the resolution application, or did not claim the fact even though it was aware of the fact, this provision does not apply:

1. Where there is a new fact that may have a significant effect on the result of the resolution, which was not submitted during the process of the resolution;
2. Where the materials used as evidence of the resolution, including the document, testimony of witness, statement of testifier, etc. have been

found to be forged or counterfeited;

3. Where there is a change in the law, ruling, etc. upon which the resolution is based;
4. Where the Committee did not rule on an important matter that may have an effect on the result of the resolution; and
5. Where the member who should have been excluded from the deliberation and decision participated in the resolution.

(2) The application for reexamination shall be made within thirty (30) days from the day that the parties received the notification of the decision of resolution or the decision of dismissal, and in the case where such period lapses, the Chairman shall dismiss the case unless there is an inevitable reason.

(3) With regard to the procedure of the application for reexamination, the provisions regarding the resolution procedure in this Chapter shall apply *mutatis mutandis*, and unless there is a special reason, the application for reexamination shall, as a matter of principle, be sent to the Committee directly without going through the procedures of recommendation of agreement, fact-finding, etc.

## **CHAPTER V SUPPLEMENTARY PROVISIONS**

### **§23. Public Announcement of Dispute Resolution**

If deemed necessary to protect the public interest and establish a fair trading order, the Association may make a public announcement of the content of the dispute resolution. In such a case, the Association shall obtain consent from the parties if their real names are to be mentioned.

### **§24. Maintenance and Keeping of Records**

The secretary shall maintain and keep the records on the receipt of the application for dispute resolution, supplementation, fact-finding and the processing results.

## **§25. Allowances, etc.**

The Association may pay the allowances or expenses in the cases that fall under the following Subparagraphs:

1. Cases where the Committee member attends the meeting in accordance with [§7];
2. Cases where the Committee member goes on a business trip locally or abroad to resolve the Dispute Case;
3. Cases where the expert, appraiser or testifier, etc. attends the meeting of the Committee and states their opinion in accordance with [§12(3)] and [§17(1)]; or
4. Other cases where the Committee member paid expenses, etc. to resolve the Dispute Case.

## **§26. Non-disclosure and Confidentiality of Dispute Resolution**

- (1) The dispute resolution shall not be made public as a matter of principle.
- (2) The members of the Committee and the relevant executives and employees of the dispute resolution affairs shall maintain confidentiality on all matters, including the content, progress and result of the dispute resolution.

## **§27. Litigation Support**

- (1) In the case where the Association deems necessary to protect the investors and establish a fair trading order with regard to a dispute case in which the member who is the respondent did not accept the Committee's resolution decision without justifiable reasons and the applicant applied for litigation support, the Association may support the litigation by appointing a lawyer as a legal counsel for the applicant. Provided, That in the case where the amount of litigation for the case does not exceed 20 million Korean won, the Association may provide consulting service to the applicant on carrying out the lawsuit.
- (2) In the case where the Association supports the litigation in accordance with

Paragraph 1, the legal expenses excluding the lawyer's fee, such as the stamp duty, etc. shall be paid by the applicant.

(3) In the case where the applicant requests for the litigation support in accordance with Paragraph 1, the Association shall decide on whether to provide the litigation support for the dispute case and notify the result to the applicant.

(4) The period of litigation support shall be until a final ruling on the dispute case is issued, but if it falls under any of the following Subparagraphs, the Association may suspend the litigation support:

1. Cases where the applicant appeals the case even though a ruling more favorable to the applicant than the resolution decision of the Committee has been issued. Provided, That the case where the applicant files an appeal to defend the appeal of the respondent is excluded;
2. Cases where the applicant has been issued a ruling that is more unfavorable than the resolution decision of the Committee and the Self-Regulation Chairman of the Association recognizes that the litigation support is inappropriate;
3. Cases where the applicant requests for suspension of the litigation support; and
4. Other cases where the applicant does not fully fulfill the obligation to provide the necessary cooperation to carry out the lawsuit.

(5) Other necessary matters related to the litigation support may be separately decided by Self-Regulation Chairman of the Association. [Amended on June 20, 2019]

## **§28. Notice of Illegal Practices, etc.**

In the case where an executive or employee of the respondent has been found to have committed illegal and unfair practices during the process of the Dispute Case, the Chairman may notify such fact to the respondent.

## **§29. The Period Excluded from the Period Required to handle the Affairs of Dispute Resolution**

The period that falls into one of the subparagraphs is not included in the period required to handle the affairs of dispute resolution: [Newly Inserted on March 22, 2018]

1. The period that takes to supplement a dispute resolution (including the day the application is sent to the applicant to supplement the resolution and the day of arrival of the supplemented resolution);
2. The period that takes inevitably for fact-finding and records search about the case; or
3. Holidays and Saturdays.

## **ADDENDA (2008. .)**

### **§1. Effective Date**

These Regulations shall become effective on February 4, 2009.

### **§2. Repeal of Previous Regulations**

The Regulations on the Securities Dispute Resolution formulated by the previous Korea Securities Dealers Association shall be repealed as of the effective date of these Regulations.

### **§3. Interim Measures**

The actions carried out in accordance with the previous Regulations on the Securities Dispute Resolution before the effective date of these Regulations shall be deemed to have been carried out pursuant to these Regulations.

**ADDENDA (April 24, 2009)**

These Regulations shall become effective on April 24, 2009.

**ADDENDA (June 28, 2012)**

**§1. Effective Date**

These Regulations shall become effective on June 28, 2012.

**ADDENDA (March 22, 2018)**

**§1. Effective Date**

These Regulations shall become effective on March 22, 2018.

**ADDENDA (June 20, 2019)**

These Regulations shall become effective on June 20, 2019.

<Form No. 1>

### Application for Dispute Resolution

Applicant	Principal	Name (Name of company)		Resident registration number (Business registration number)	
		Address			
		Phone number (Mobile phone)			
	Proxy	Name (Name of company)		Resident registration number (Business registration number)	
Address and contact number					
Respondent	Name (Name of company)				
	Address and contact number				
<p><b>[Whether or not to agree to providing personal information]</b></p> <ul style="list-style-type: none"> <li>o The Association may provide or transfer the content of the civil complaint and your personal information to the respondent to confirm the facts of the civil complaint that you have submitted in accordance with the Regulations on Dispute Resolution.</li> <li>o Please indicate whether or not you agree to provision of the whole or part of the content of your civil appeal and personal information to the respondent and the respondent providing your financial trading information to the Association.</li> </ul> <p><b>[Agree ( ), Disagree ( )]</b></p> <ul style="list-style-type: none"> <li>o In the case where the fact cannot be confirmed because you did not agree to the Association's civil complaint procedure, please be informed that the civil complaint may not be concluded.</li> </ul>					

Content of application	
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I apply for dispute resolution on the above matter in accordance with [§10(1)] of the Regulations on Dispute Resolution.

Attachment:

YY MM DD

Applicant (Signature)(Stamp)

**To Chairman of Korea Financial Investment Association**

<Form No. 2>

### **Power of Attorney**

I hereby delegate the following matters related to the dispute resolution to my proxy as follows:

1. Name of proxy:

Resident registration number:

Address:

Contact number:

Firm/Company:

Title:

2. Scope of delegation (Please mark 'o' where it applies)

- ① Power and authority related to conventional dispute resolution, including submission of data and materials, statement of opinion, etc. ( )
- ② Power and authority to accept the resolution proposal ( )
- ③ Power and authority to withdraw the application for dispute resolution ( )
- ④ Others:

3. Name of client:

(Signature)

Resident Registration Number:

Address:

Contact Number:

\* Attached document: One copy of the certificate of seal-impression of the client

YY MM DD

**To Chairman of Korea Financial Investment Association**

<Form No. 3>

### Notice of Withdrawal of Application for Dispute Resolution

Applicant	Principal	Name (Name of company)	Resident registration number (Business registration number)
		Address and Contact Number	
	Proxy	Name (Name of company)	Resident Registration Number (Business registration number)
		Address and contact number	
Respondent	Name (Name of company)		
	Address and contact number		
Content of case			
Reason of withdrawal			

I hereby withdraw the application for dispute resolution as shown above in accordance with [§13(1)] of the Regulations on Dispute Resolution.

YY MM DD

Applicant \_\_\_\_\_(Signature)(Stamp)  
**To Chairman of Korea Financial Investment Association**

<Form No. 4>

### **Application for Recusal**

I apply for the recusal of the Committee member as stated below, from the list of the members of the Dispute Settlement Committee of the Korea Financial Investment Association which was sent to me on [date].

Name of member:
Reason of recusal:

YY MM DD

Address:

Phone Number:

Applicant:

(Signature) (Stamp)

**To Chairman of Korea Financial Investment Association**

<Form No. 5>

## Letter of Consent to Provision of Financial Trading Information

[Personal Data]

- Name: (Stamp)
- Resident Registration Number:
- Address:
- Phone Number:

With regard to the application for dispute resolution submitted to the Korea Financial Investment Association, I, \_\_\_\_\_, agree to the provision of the content in the dispute resolution application and the whole or part of the financial trading information to the respondent and the respondent providing my financial trading information to the Association.

YY MM DD

Address:

Phone Number (mobile phone):

Applicant: (Signature) (Stamp)

**To Chairman of Korea Financial Investment Association**

## Letter of Consent to Collection and Use of Personal Information

### 1 Consent to Collection and Use of Personal Information

○ Purpose of collecting and using personal information

Your personal identifiable information is collected and used in accordance with the Personal Information Protection Act to handle the affairs of dispute resolution based on the Financial Investment Services & Capital Markets Act and the Regulations on Dispute Resolution.

○ Items of personal information to be collected

Name of applicant, personal identifiable information (resident registration number, alien registration number, etc.), contact number/ address (mobile phone number, home phone number, fax number, address, email address, etc.), etc.

○ Period of possession and use of personal information

The personal information that the Association collected regarding dispute resolution shall be recorded and retained, and then, destroyed when the record and retention period expires, in accordance with relevant regulations and laws.

Please indicate below whether or not you agree to the collection and use of your personal identifiable information (resident registration number, alien registration number, etc.).

**Agree**     **Disagree**

Please indicate below whether or not you agree to the collection and use of your personal information, including your name, address and contact number.

**Agree**     **Disagree**

※ You may disagree to the collection and use of personal information, including your personal identifiable information, but if you disagree, the process for dispute resolution will not proceed and your civil complaint may come to an end without being dealt with.

YY MM DD      Applicant      (stamp)

YY MM DD      Proxy      (stamp)

② Consent to provision of personal information to a third party (financial company)

- The party receiving personal information

The financial company concerned that is subject to the dispute resolution.

- Purpose of use for the party receiving personal information

To confirm the validity of the financial transactions provided for dispute resolution and submit relevant data to the Association.

- Items of personal information to be provided

Name, personal identifiable information (resident registration number, alien registration number, etc.), contact number/ address (mobile phone number, home phone number, fax number, address, email address, etc.) and details of dispute resolution application that the applicant submitted to the Association.

- Period of the recipient party's possession and use of personal information

The financial company concerned may not use the personal information for the purpose other than to handle the affairs of dispute resolution. It shall record and retain, and then destroy the personal information when the record and retention period expires, in accordance with relevant regulations and laws.

Please indicate below whether or not you agree to the provision of your personal identifiable information (resident registration number, alien registration number, etc.) to the financial company concerned.

**Agree**     **Disagree**

Please indicate below whether or not you agree to the provision of your personal information and dispute resolution application, including your name, address and contact number, to the financial company concerned.

**Agree**     **Disagree**

※ You may disagree to the provision of personal information and details of dispute resolution, including your personal identifiable information, but if you disagree, the validity of the information cannot be confirmed and your civil complaint may come to an end without being dealt with.

