

dd/mm/yyyy
/ /**Self-Declaration on Specific Categories**

To the President of the University of Tsukuba:

(Acceptance) Department in University of Tsukuba _____

Name in block letters _____

Signature _____

I understand that when the University of Tsukuba transfers technologies to a resident who falls under category (1) or (2) described below, the University may be required to obtain a license from the Minister of Economy, Trade and Industry, and hereby take a pledge on whether I fall under category (1) or (2) for the sake of the University's compliance with laws and regulations as follows:

I

 fall under category (1) below.

Category (1) is the category of those who have entered into an employment contract or any other contract with a foreign government, corporation, etc. (including foreign universities and research institutes).

Specifically, this category includes

- 1) a person who belongs to the University of Tsukuba and is engaged in research, and also maintains employment in a foreign company *1,
- 2) a person who has the status of student and is involved in the management of a foreign venture company*1, and
- 3) a person who concurrently works at a foreign university, etc. (including the case where he/she works under the cross-appointment system).

*1: Japanese subsidiaries of foreign companies are not included.

 fall under category (2) below.

Category (2) is the category of those who are provided with large*2 economic benefits by a foreign government, etc.

Specifically, this category includes

- 1) a person who is provided with large*2 funds for studying abroad by a foreign government, etc. and
- 2) a person who participates in a science and engineering personnel recruiting program sponsored by a foreign government, etc. and is provided with large*2 funds for research and/or living expenses as an individual.

*2: Refers to money and other benefits that account for 25% or more of the person's annual income.

 do not fall under either of these categories.

If I come to fall under category (1) or (2) in the future, I will notify the University to that effect by submitting the self-declaration on specific categories again.

Note 1: Check all that apply.

Note 2: When your status is changed regarding these categories, please notify the University to that effect by submitting the self-declaration on specific categories again.

Note 3: The contents of this self-declaration form may be shared with those concerned if necessary for export control in the University of Tsukuba.

(Reference: For details about the laws and regulations on which this form is based, refer to the back of the form.)

<Reference>

<Laws and regulations on which this form is based> Excerpt from the notification for partially amending 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" (Notification for Technology Transfer)

Exhibit 1-4 Sample Pledge

Written oath of compliance with Article 25, Paragraphs 1 and 2 of the Foreign Exchange and Foreign Trade Law regarding the applicability of specific categories

To: _____

_____ Year /Month/Day

Address: _____

Name: _____

I understand when [INSERT ENTITY NAME] transfers technology to a resident who falls under the clauses 1(3) ① or ② 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"), [INSERT ENTITY NAME] is likely to be required to obtain a license from the Minister of Economy, Trade, and Industry pursuant to Article 25 (1) and (2) of the Foreign Exchange and Foreign Trade Act, and, for the sake of compliance by [INSERT ENTITY NAME] with the clauses 1(3) ① or ② of the Notification for Technology Transfer, I hereby confirm that I

I

- The following category (1) is applicable.
- The following category (2) is applicable.
- The following categories (1) and (2) are applicable.
- No pledge is required, as none of the following categories apply.

Category 1: Corporations and other organizations established under foreign laws and regulations (hereinafter referred to as "foreign corporations, etc.") (i): A corporation or other organization established in accordance with foreign laws and regulations (hereinafter referred to as "foreign corporation, etc."), or a foreign government, foreign government agency, foreign local government, foreign central bank, foreign political party or other political organization (hereinafter referred to as "foreign government, etc.")

- (a) Where the said person has concluded an employment contract, a power of attorney contract, a contract of engagement or any other contract with a Japanese corporation, and is subject to the direction and orders of the said Japanese corporation or owes a duty of care of a good manager to the said Japanese corporation based on the said contract, and the said Japanese corporation or the said person has concluded a contract with the said foreign corporation, etc. or the said foreign government, etc.
- (b) In the case where the Person has entered into an employment contract, a delegation contract, a service contract, or any other contract with a Japanese corporation and is subject to the direction and order of the Japanese corporation or owes the duty of care of a good manager to the Japanese corporation, according to the contract, the Person has entered into an employment contract, a delegation contract, a service contract or any other contract with a Group Foreign Corporation (a Foreign Corporation that directly or indirectly holds 50% or more of the voting rights of the Japanese corporation or a Foreign Corporation of which 50% or more of the voting rights are held by the Japanese corporation. The same shall apply hereinafter.) and is subject to the direction and order of the Group Foreign Corporation or owes the duty of care a good manager to the Group Foreign Corporation, according to the contract.

Category 2: A person who receives or promises to receive a large amount of money or other material benefits (meaning money or other benefits that account for 25% or more of the person's annual income when converted into money) from a foreign government, etc. (i.e., a person who receives or promises to receive a large amount of money or other significant benefits (meaning money or other benefits that account for 25% or more of the person's annual income in monetary terms) from a foreign government, etc.)

【部局事務取扱担当者記入欄】Official Use Only

担当部局 Department _____

担当者名 Name of person in charge _____

TEL _____