

**Document regarding Personnel and Business Execution Structure (1/2)**

mm/dd/yyyy

Name of Applicant

*Please describe Organization Chart here.*

\* For each department shown in the above box, please describe (i) the name and title of the person responsible for the department, (ii) the number of employees belonging to the department, and (iii) the contents of the business the department is in charge of. The following are examples of the contents of business to be mentioned:

- (i) investment judgment,
- (ii) programming,
- (iii) control and maintenance of electronic information system,
- (iv) handling of aberrant operation or order,
- (v) preparation of trade books and reports,
- (vi) risk management,
- (vii) trading management
- (viii) compliance,
- (ix) internal education and training,
- (x) internal control,
- (xi) management of corporate insider information,
- (xii) internal audit.

\* Contents of business described above should be in line with those described in the Document regarding Business Contents and Method.

\* The department in charge of compliance should be independent from that in charge of investment judgement.

## **Document regarding Personnel and Business Execution Structure (2/2)**

### **1. Sufficiency of management's experience and skill regarding corporate management**

Please fill in the name and title of top management and explain why he/she should be deemed, in light of his/her experience, skill, etc., as having sufficient knowledge and expertise required for the Applicant to perform High Speed Trading (hereinafter referred to as "HST") business in a fair and proper manner.

### **2. Sufficiency of directors' knowledge and expertise regarding legal regulations, corporate management, compliance and risk control**

Please fill in the names and titles of directors described on page 4 of the Registration Application Form and explain why each of them should be deemed (i) as having knowledge and expertise to understand the focus points regarding corporate management, etc., which are shown in the Financial Instruments and Exchange Act and other related regulations and the Supervisory Guidance regarding HST, or (ii) as having sufficient knowledge and expertise regarding compliance or risk control, which is required for the Applicant to perform HST business in a fair and proper manner.

### **3. Person having knowledge and expertise regarding securities trading and any other area relating to HST**

Please fill in the name and title of a person responsible for management of HST business and explain why he/she should be deemed as having sufficient knowledge and expertise regarding securities traded by means of HST and any other area relating to HST.

### **4. Person having knowledge and expertise to act as a compliance officer**

Please fill in the name and title of a person responsible for legal compliance and explain why he/she should be deemed as having sufficient knowledge and expertise on legal regulations, etc., which is expected for a compliance officer to have.

End