

Notification Form for Special Business Activities for Qualified Institutional Investors

Date:

To the Director-General of the Kanto Local Finance Bureau

Applicant Address/Location

Telephone Number:

Name of Business

Name of Applicant*
(Signature)

*Name and Title of Representative in the case that applicant
legal status is corporation, etc (including partnership, trust, or
other organization)

I hereby notify the information below in accordance with the Financial Instruments and Exchange Law (FIEL), clause 2 of article 63.

<input type="checkbox"/> Individual		<input type="checkbox"/> Corporation, etc
Name of Business		
Name of Applicant		
Amount of capital / Total contribution, in the case of corporations, etc		
Name and title of board members, in the case of corporations, etc	See Exhibit 1	

Name and title of employees who control compliance supervisory activities (or said who have been delegated authority) in relation to Special Business Activities for Qualified Institutional Investors	See Exhibit 2
Name and title of employees who control asset management division (or who make investment decisions based on analysis on values of financial instruments) in relation to Special Business Activities for Qualified Institutional Investors	See Exhibit 3
Business category	See Exhibit 4
Name and address of the Principal Business Office	See Exhibit 5
Business activities other than Special Business Activities	See Exhibit 6
Limited Partnership Agreement for Investment based on Limited Partnership Act for Investment	See Exhibit 7

(Annotation)

Check the box of “Individual” or “Corporation, etc” .

(No.2)

(Exhibit 1: Name and title of board members)

Name of Business / Name of applicant

(Date:)

Name	Title

(No.3)

(Exhibit 2: Name and title of employees who control compliance supervisory activities (or have been delegated said authority) in relation to Special Business Activities for Qualified Institutional Investors

Name of Business / Name of applicant

(Date:)

Name	Title

(No.4)

(Exhibit 3: Name and title of employees who control asset management division (or who make investment decisions based on analysis on values of financial instruments) in relation to Special Business Activities for Qualified Institutional Investors

Name of Business / Name of applicant

(Date:)

Name	Title

(No.5)

(Exhibit 4: Business category)

Name of Business / Name of applicant

(Date:)

Business category	
<input type="checkbox"/>	Business activities in Item 1, Clause 1, Article 63 of FIEL
<input type="checkbox"/>	Business activities in Item 2, Clause 1, Article 63 of FIEL

(Annotation)

Check the box of the business category in which you plan to engage.

(No.6)

(Exhibit 5: Name and Address of the Principal Business Office)

Name of Business / Name of applicant

(Date:)

Name	Address

(No.7)

(Exhibit 6: Business activities other than Special Business Activities)

Name of Business / Name of applicant

(Date:)

Business activities other than Special Business Activities

(No. 8)

(Exhibit 7: Limited Partnership Agreement for Investment based on the Limited Partnership Act for Investment)

Name of Business/Name of applicant

(Date:)

The matters listed in Article 238 (i) of the Cabinet Office Ordinance

(Annotation)

If you are going to begin engaging in matters listed in the items of Article 194-6(3) in the course of trade, indicate so.

	(a) Name of Invested Business Equity	(b) Name of Qualified Institutional Investors
Matters listed in Article 238 (ii) of the Cabinet Office Ordinance		
Matters listed in Article 238 (iii) of the Cabinet Office Ordinance		

(Annotation)

If the matters above are not decided yet, indicate so.