

## Business Report Check List

**NOTE:**

In principle, private placements and/or investment management offered by overseas business operators to foreign investors (i.e., so-called "foreign-to-foreign (F-to-F) transactions" or offshore transactions) are not subject to inclusion in this report (however, you do need to include private placement and/or investment management offered to Qualified Institutional Investors located overseas).

1. (12) Status of the fund

Relevant Articles	Excel Columns	Points to Be Checked
<input type="checkbox"/> Funds subject to report	-	Report on all the active funds as of notifier's fiscal year end
<input type="checkbox"/> Names of the Invested Business Equity	B	Copy the contents of the page (No.3), Form 20 For "Private placement and/or investment management" (column G) (1)enter "private placement" if you did businesses relating to acts specified under FIEA Article 63(1)(i); (2)enter "investment management" if you did businesses relating to acts specified under (ii) of the same Paragraph; (3)or enter "private placement and investment management" if you did both, during the reporting period.
<input type="checkbox"/> Details of the Investment Business	C,D	
<input type="checkbox"/> Types of the Invested Business Equity	E	Enter the effective date of the fund
<input type="checkbox"/> Types of Business Operations	G,H	
<input type="checkbox"/> Launch Date	F	Enter the beginning and ending date of private placement ※When private placement is still going on, enter "From: mm/dd/yyyy To: ongoing"
<input type="checkbox"/> Period of Private Placement	I	Japan: Enter "Japan" Outside Japan: Enter city, region, state, country. (ex) U.S.A (New York)
<input type="checkbox"/> Locations of the accounts into which investment money is paid	J	Enter the name of financial institutions and its location with which investment money is deposited. Explain how the invested money is managed and who executes remittances and deposit maintenance.
<input type="checkbox"/> Flow of Funds	K	Enter "mm/dd/yyyy - ongoing" ,or "mm/dd/yyyy - mm/dd/yyyy" The beginning date is the same as the launch date (column F)
<input type="checkbox"/> Duration	L	Check the consistency with "Status of QIIs" (Z~BM) and "Status of investors other than QIIs" (BN~CN)
<input type="checkbox"/> Status of Investors	M~Q	Enter applicable type out of seven attributes, "Central government, Local governments, etc." through "Foreign corporation or foreigners, etc." in the "Table 2". Choose "Other" if none of them applies. Itemize types in percentage size order.
<input type="checkbox"/> Types of Main Investors	R~W	Amount of Investment: Total amount of investment by the QII as of the notifier's fiscal year end. *The contribution by the notifier (GP) shall <b>not be included</b> . Percentage of investment: Invested amount (column X)/Total invested amount (column FQ)
<input type="checkbox"/> Amount of Investment by QIIs and the percentage thereof	X,Y	As for "class", enter applicable item number of Article 10(1) of the Cabinet Office Ordinance in accordance with "Table 2". (e.g. "Item (i)" for security brokerages) Amount specified under Article 234-2(1)(i) is required only if the investor is Investment Limited Partnership alone.
<input type="checkbox"/> Status of QIIs	Z~BM	Enter figures in cells of proper categories of attributes shown in the Table 2. Number: Check the consistency with "Status of Investors". Amount of Investment: Enter the amount of accomplished investment amount by the category. *The contribution by the notifier (GP) shall <b>not be included</b> . Percentage of investment: Invested amount/Total invested amount (column FQ)
<input type="checkbox"/> Status of Investors other than QIIs	BN~CN	Check if the total of each amount matches up with the "Total"(column EC)
<input type="checkbox"/> Asset Make-up of the Fund	CO~EC	Select the proper target out of Table 3
<input type="checkbox"/> Main Invested Assets	EF~EK	Select the area out of Table 4
<input type="checkbox"/> Geographical Areas of Investment	EL	Enter the total amount of "Investment by QIIs (column X)", "Investment by investors other than QIIs (column BN~CN)", and "Investment by the Notifier (GP)"
<input type="checkbox"/> Total Invested Amount	FQ	Enter the amount of total assets (column FU) minus total liabilities on the Balance Sheet of the Fund
<input type="checkbox"/> Net Assets	FS	The total asset of the fund B/S, that matches up with the total (column EC) of Asset Make-up of the Fund
<input type="checkbox"/> Total Assets	FU	Present the information when you declared "Yes" on the box concerning the existence of persons specified under the items of Article 233-3 in the page (No. 3), Form 20
<input type="checkbox"/> Whether persons specified under the items of Article 233-3 are among the counterparties	GF~GJ	

※The Tables 1-4 appear in the entry examples of Business Report in Kanto Local Finance Bureau's English website

Auxiliary

Relevant Items	Points to Be Checked
<input type="checkbox"/> 2. Status of Accounting	<p><b>【When the notifier is a juridical person】</b>  <input type="checkbox"/>Notifier's B/S and P/L are required. They are not B/S, P/S of the fund.</p> <p><b>【When the notifier is an LLP (Limited Liability Partnership) consisting of joint names】</b>  <input type="checkbox"/>B/S, P/S of the LLP as a notifier are required</p> <p><b>【When the notifier is an individual】</b>  <input type="checkbox"/>a copy of income tax return form (chart 1) is required  <input type="checkbox"/>papers of income and expense breakdown are required※                      ※When these papers are not available, a letter to explain its reason is required (arbitrary form letter)</p>
<input type="checkbox"/> Attachments	<p><input type="checkbox"/>When you declared "Yes" on the box concerning the existence of persons specified under the items of Article 233-3 in (12) Status of the fund, financial statements of the fund and a copy of auditor's report are required</p> <p><input type="checkbox"/>When the business report is submitted by mean of paper instead of online system, a letter to explain its reason is required (arbitrary form letter)</p>