

**Grounds for Refusing Registration, and Relevant Statutes and Regulations
Pertaining to Viewpoints in Registration-Screening**

High speed trader

- Financial Instruments and Exchange Act

Article 66-53 (Refusal of registration)

- Cabinet Office Ordinance on Financial Instruments Business, etc.

Article 332 (Screening Criteria for Staffing)

- Guidelines for Supervision of High Speed Traders

III. Supervisory Evaluation Points and Various Administrative Procedures

III-3 Various Administrative Procedures

III-3-1 Registration

III-3-1-3 Screening Matters