

Application Form for Confirmation Process under Article 16, Paragraph (1), Item (xvii) of the Cabinet Office  
Order on Definitions under Article 2 of the Financial Instruments and Exchange Act

YY / MM / DD

To the Commissioner of the Financial Services Agency

Applicant:

Postal code:

Address or location:

Trade name or name:

Applicant's name:

(For a corporation, title and name of the representative person)

Responsible person of the administrative agent

Postal code:

Address or location:

Telephone number:

Trade name and the responsible person:

I would like to obtain confirmation prescribed in Article 16, paragraph (1), item (xvii) of the Cabinet Office Order on Definitions under Article 2 of the Financial Instruments and Exchange Act, and hereby file an application based on Article 16, paragraph (5) of the same Cabinet Office Order.

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|---|--|
| Trade name or name  |  |
| Locations of the headquarter office or the principal office (in home jurisdiction) and the principal business office or the office in Japan |  |
| Title and name of the representative person   |  |
| Name and contact address of the representative person in Japan  |  |
| Titles and names of the personnel who will conduct the business in Japan based on the confirmation  |  |
| Name of the authority of home jurisdiction  |  |

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|---|---|
| where you conduct the business that you will commence in Japan based on the confirmation (limited to authorities that have signed the IOSCO MMOU), and the details of the permission or another administrative disposition that you have received from the authorities in your jurisdiction |   |
| Outline of the circumstances which have made or are likely to make it difficult to continue your business in your jurisdiction  |   |
| Details of your business in Japan that is based on the confirmation   |   |
| Period of your business in Japan (not longer than 90 days)  | _____ days from the day of confirmation |
| Details of other business in Japan (if any)   |   |

#### Documents to be attached

- Document pledging the following facts (see attachment 2-2):
  - a. The person does not fall under any of Article 29-4, paragraph (1), item (i), (a) to (c) or item (ii) of the Financial Instruments and Exchange Act (the "Act");
  - b. The business that the applicant intends to conduct by obtaining the confirmation does not violate any laws and regulations in a foreign jurisdiction;
  - c. The applicant will not conduct, in Japan, any acts prescribed in the item of Article 2, paragraph (8) of the Act other than the acts that the applicant intends to conduct by obtaining the confirmation;
  - d. The applicant will appropriately establish a system for complying with the laws and regulations in Japan; and
  - e. The personnel in Japan do not fall under any of Article 29-4, paragraph (1), item (ii), (a) to (i) of the Act.
- Document equivalent to a Certificate of Registered Information of the applicant
- Resume of the representative person in Japan
- Document proving that the person had received permission, or another administrative disposition, for the relevant business from the foreign authority referred to in Article 16, paragraph (5), item (vi) of the Cabinet Office Order on Definitions under Article 2 of the Financial Instruments and Exchange Act