

**List of documents which can be prepared in English
to submit to the FSA by eligible foreign firms
(including attachments)**

- Application for registration (Article 5 of COOFIB¹)
- Notification of change to matters specified in application for registration (Article 20(1) of COOFIB)
- Notification on change of content or method of business (Article 21 of COOFIB)
- Application for a registration of change (Article 22(1) and (2) of COOFIB)
- Notification of deposit for operation (Article 25 (1) and (2) of COOFIB)
- Notification on conclusion of contracts in lieu of deposit for operation (Article 27(1), (2) and (4) of COOFIB)
- Notification of concurrent holding of officers' positions (Article 31 of COOFIB)
- Notification of holding subject voting rights (Article 36 of COOFIB)
- * Including the case where it is applied mutatis mutandis pursuant to Article 39 of COOFIB
- Notification about becoming a specified major shareholder (Article 38-2 of COOFIB)
- Notification about becoming a major shareholder other than a specified major shareholder (Article 38-5 of COOFIB)
- Notification of additional business (Article 69 of COOFIB)
- Application for approval of additional business (Article 70(1) and (2) of COOFIB)
- Application for confirmation of problematic conduct (Article 120 of COOFIB)
- Business Report (Article 182(1) of COOFIB)

¹ Cabinet Office Order on Financial Instruments Business, etc.

- Explanatory Documents (Article 183(1) of COOFIB)
- Application for approval on period before public inspection of explanatory documents (Article 190(1), (2) and (4) of COOFIB)
- Application for approval on due date for submission of Business Report (Article 191(1), (2) and (4) of COOFIB)
- Notification on suspension of business and other matters (Respective items of Article 201 and Article 202 of COOFIB)
- Notification on discontinuance of business (Article 204(1) and (2) of COOFIB)
- Notification of public notice on discontinuance of business (Article 205(3) and (4))
- Notification on specially permitted business for qualified institutional investors (Article 244(1) and (3) of COOFIB)
- Notification of change to notified matters pertaining to specially permitted business for qualified institutional investors (Article 244-2 of COOFIB)
- Notification where the business is no longer specially permitted business for qualified institutional investors (Article 245 of COOFIB)
- Notification on discontinuance of specially permitted business for qualified institutional investors (Article 246 of COOFIB)
- Application for approval of reclaiming of deposit for operation (Article 14(1) of OFSPDO²)
- Notification of change in the place of retention of deposit for operation (Article 16(4) of OFSPDO)

² Ordinance of the Cabinet Office and the Ministry of Justice on Financial Services Providers' Deposit for Operation