

(Provisional English Translation)

**Regulatory Notice on Documents and Eligible Applicants Specified by the Commissioner of Financial Services Agency Based on the provisions of Article 18, Paragraph (1) of the Ordinance on Financial Services Providers' Deposit for Operation**

Regulatory Notice of the Financial Services Agency No. xxx

The documents and eligible applicants specified by the Commissioner of the Financial Services Agency in consideration of their contents and other circumstances based on the provisions of Article 18, paragraphs (1) of the Ordinance on Financial Services Providers' Deposit for Operation (Ordinance of the Cabinet Office and the Ministry of Justice No. 3 of 2007) are established as follows, and this regulatory notice is applied as from the date of promulgation.

Date: January 12, 2021

HIMINO Ryoza, Commissioner of the Financial Services Agency

- (i) The documents specified by the Commissioner of the Financial Services Agency as prescribed in Article 18, paragraph (1) of the Ordinance on Financial Services Providers' Deposit for Operation (hereinafter referred to as the "Ordinance") are to be filed by the person specified in (a) or (b) for the respective category of documents specified in (a) or (b):
  - (a) the documents specified in Article 18, paragraph (1), item (i) of the Ordinance: a Financial Instruments Business Operator (meaning the Financial Instruments Business Operator prescribed in Article 2, paragraph (9) of the Financial Instruments and Exchange Act (Act No. 25 of 1948)) or its successor or a person who has deposited a deposit for operation for that Financial Instruments Business Operator; or
  - (b) the documents specified in Article 18, paragraph (1), item (ii) of the Ordinance: a person who has requested the change in the place of retention under Article 16, paragraph (3) of the Ordinance.
- (ii) The provisions of the preceding paragraph shall not apply to the cases where the documents specified in Article 350, paragraph (1), item (i) and

paragraph (2), item (i) of the Cabinet Office Order on Financial Instruments Business, etc. (Cabinet Office Order No. 52 of 2007) or Article 350, paragraph (1), item (iii) and paragraph (2), item (iv) have not been prepared in English based on Article 350, paragraph (1) or (2) of that Article.