**Example**

**MM/DD/YYYY**

To: **The Director-General of the Kanto Local Finance Bureau**

Location: **(Principal Business Office)**

**8-1 Nihonbashikabutocho, Chuo-ku, Tokyo**

**(Registered address of the head office)**

**555 Waverly St, Houston Texas 770XX USA**

Name of Business: **ABCD Investment Management (Japan) Ltd.**

Title and name of Representative

Taro Kinyu

**Representative in Japan**

Pledge statement

Our company hereby pledges that it does not fall under any of Article 3-3, paragraph (3), item (i)[[1]](#footnote-1) and (ii) (excluding (d)) of the Supplementary Provisions of the Financial Instruments and Exchange Act.

**MM/DD/YYYY**

To: **The Director-General of the Kanto Local Finance Bureau**

Address:　 3-2-1 Kasumigaseki Chiyoda-ku Tokyo

Name:　 Taro Kinyu

Pledge statement

　I hereby pledge that I do not fall under any of Article 29-4, paragraph (1), item (ii) (a) and (c) through (i) of the Financial Instruments and Exchange Act.

1. Need to replace “item (i)” with “item (i) (excluding (a) and (b)),” if the submitter will be a subsidiary of a foreign investment management company based on Article 3-3, paragraph (7) of the Supplementary Provisions of the Financial Instruments and Exchange Act. [↑](#footnote-ref-1)