**Example**

年　　月　　日

MM/DD/YYYY

**Enter registration number**

金融庁長官　殿

To Commissioner of Financial Services Agency

登録番号　**関東財務局長(金商)第　　　　号**

Registration number　**関東財務局長(金商)第　　　　号**

所在地　**東京都千代田区霞が関3－1－1**

**XXXビルディング　5階**

Location　　　**XXX building Fifth floor, 3-1-1 Kasumigaseki, Chiyoda-ku, Tokyo**

商号又は名称　**財務投資助言代理株式会社**

Trade name or name **Zaimu Investment Advisory and Agency Japan Co, Ltd.**

**Circle or amend the name**

代表者の役職氏名　**代表取締役社長**　**財務　太郎**

Title and name of representative person

**President and CEO　ZAIMU Taro**

（金融商品取引業協会・認定投資者保護団体）の（加入・脱退）届出書

Notification of (joining/withdrawal) regarding a financial instruments firms association/ a certified investor protection organization

（金融商品取引業協会・認定投資者保護団体）の（加入・脱退）について、金融商品取引法第31条第1項に基づき、届出いたします。

　I / We hereby submit a notification regarding (joining /withdrawal from) a financial instruments firms association/ a certified investor protection organization based on Article 31 paragraph (1) of the Financial Instruments and Exchange Act.

記

Details

|  |  |  |  |
| --- | --- | --- | --- |
| 名　　　　称  Name | 加入・脱退 の別  Joining /Withdrawal | 年月日  MM/DD/YYYY | 変更の理由  Reasons for the change |
|  | **加入**  **Joining** | **. .** | **××××××のため**  **（具体的に記載）**  **Reason for the change is XXXXXX**  **（Enter in detail.）** |

添付書類

Attachments

　1．変更後の登録申請書（第２面）

１．Written application for registration after the change (page.2)

連絡担当者　　　　所属

Contact person　Department

役職氏名

**Enter the contact person**

Title and name

電話番号

Telephone number

**(注) 加入又は脱退した年月日がわかる資料を添付してください。**

**(Note) Please attach the document that indicates the date of joining / withdrawal.**

**For type 2 financial instruments business operator, enter “Type II Financial Instruments Firms Association” or “Non-Profit Organization, Financial Instruments Mediation Assistance Center”.**

**For investment advisory business operator, enter “Japan Investment Advisers Association”.**

(Page 2)

|  |  |  |  |
| --- | --- | --- | --- |
| \*Registration number | | **関東財務局長**（金商）第　　号（　年　月　日） | |
| \* Authorization under Article 30, paragraph (1) of the FIEA | | Authorized or Unauthorized | Date of authorization |
| **(Blank)** | **(Blank)** |
| 1 | Legal form | Juridical person | Individual |
| 2 | Trade name or name | **Zaimu Investment Advisory and Agency Japan Co., Ltd.** | |
| 3 | Name | **(Blank in case of juridical person)** | |
| 4 | Amount of capital or total contribution (for a foreign juridical person intending to engage in type-I financial instruments business, amount of capital or total contribution and amount of brought-in capital) | As stated in Exhibit 1 | |
| 5 | Names of officers (for a foreign juridical person, including the representative person in Japan) | As stated in Exhibit 2 | |
| 6 | Name of the employee supervising legal compliance in relation to financial instruments business (including the person prescribed in Article 6, paragraph (1)) | As stated in Exhibit 3 | |
| 7 | Name of the employee supervising the department of investment advisory business or investment management business (including the person prescribed in Article 6, paragraph (2)) | As stated in Exhibit 4 | |
| 8 | Business category | As stated in Exhibit 5 | |
| 9 | Indication of engaging in electronic public offering services, as applicable | (Indication of engaging in electronic public offering services)  **Not applicable** | |
| (Types of securities to be dealt)  **Not applicable** | |
| 10 | Indication of engaging in only type-I small amount electronic public offering services among type-I financial instruments business, as applicable | (Indication of engaging in only type-I small amount electronic public offering services among type-I financial instruments business)  **Not applicable** | |
| (Types of securities to be dealt)  **Not applicable** | |
| 11 | Indication of engaging in only type-II small amount electronic public offering services among type-II financial instruments business, as applicable | (Indication of engaging in only type-II small amount electronic public offering services among type-II financial instruments business)  **Not applicable** | |
| (Types of securities to be dealt)  **Not applicable** | |
| 12 | Indication of engaging in electronic-based application type electronic public offering services prescribed in Article 70-2, paragraph (3), as applicable | (Indication of engaging in electronic-based application type electronic public offering services prescribed in Article 70-2, paragraph (3))  **Not applicable** | |
| 13 | Indication of conducting high-speed trading as type-I financial instruments business, type-II financial instruments business, or investment management business (excluding the case referred to in 14), as applicable | (Indication of conducting high-speed trading as type-I financial instruments business, type-II financial instruments business, or investment management business)  **Not applicable** | |
| 14 | Indication of conducting high-speed trading as type-II financial instruments business without engaging in type-I financial instruments business and investment management business, as applicable | (Indication of conducting high-speed trading as type-II financial instruments business without engaging in type-I financial instruments business and investment management business)  **Not applicable** | |
| 15 | Indication of conducting high-speed trading in cases other than 13 or 14, as applicable | (Indication of conducting high-speed trading in cases other than 13 or 14)  **Not applicable** | |
| 16 | Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), items (i) to (x) of the FIEA regarding rights deemed to be securities (limited to the rights prescribed in Article 6-3; the same applies hereinafter) | (Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (i) to (x) of the FIEA regarding rights deemed to be securities)  **Not applicable** | |
| 17 | Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), items (i) to (v) of the FIEA regarding derivatives transactions in relation to the rights deemed to be securities or financial indicator (limited to the price and interest rate of the rights and numerical values calculated based on them) | (Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (i) to (v) of the FIEA regarding derivatives transactions in relation to the rights deemed to be securities or financial indicator (limited to the price of the rights, interest rate, and numerical values calculated based on them))  **Not applicable** | |
| 18 | Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (xii), (xiv), or (xv) of the FIEA regarding derivatives transactions in relation to the rights deemed to be securities or financial indicator (limited to the price and interest rate of the rights and numerical values calculated based on them) | (Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (xii), (xiv), or (xv) of the FIEA as businesses regarding derivatives transactions in relation to the rights deemed to be securities or financial indicator (limited to the price and interest rate of the rights and numerical values calculated based on them))  **Not applicable** | |
| 19 | Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), items (i) to (v) of the FIEA regarding derivatives transactions underlying crypto-and other assets or financial indicator (limited to the price and interest rate of the crypto-and other assets and numerical value calculated based on them) | (Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (i) to (v) of the FIEA regarding derivatives transactions underlying crypto-and other assets or financial indicator (limited to the price and interest rate of the crypto-and other assets and numerical value calculated based on them))  **Not applicable** | |
| 20 | Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (xii), (xiv),or (xv) of the FIEA regarding derivatives transactions underlying crypto-and other assets or financial indicator (limited to the price and interest rate of the crypto-and other assets and numerical value calculated based on them) | (Indication of acts conducted as businesses as prescribed in Article 2, paragraph (8), item (xii), (xiv), or (xv) of the FIEA regarding derivatives transactions underlying crypto-and other assets or financial indicator (limited to the price and interest rate of the crypto-and other assets and numerical value calculated based on them))  **Not applicable** | |
| 21 | Names and locations of the head office and other business offices or offices (for a foreign juridical person, names and locations of the head office, and the principal business office or office in Japan, or other business offices or offices) | As stated in Exhibit 6 | |
| 22 | Types of other business conducted by the applicant other than businesses listed in Exhibit 5 | As stated in Exhibit 7 | |
| 23 | Trade name or name of a designated dispute resolution organization that is the counterparty to the basic contract for the implementation of dispute resolution procedures,  name of a financial instruments firms association that the applicant joins as a member, and  name of a certified investor protection organization that is to cover the applicant | (Trade name or name of a designated dispute resolution organization that is the counterparty to the basic contract for the implementation of dispute resolution procedures)  **Not applicable** | |
| (Name of a financial instruments firms association that the applicant joins as a member)  **Enter the updated information** | |
| (Name of a certified investor protection organization that is to cover the applicant)  **Enter the updated information** | |
| 24 | Name or trade name of the financial instruments exchange of which the applicant becomes a member | **Not applicable** | |
| 25 | Particulars as prescribed in Article 7, item (iii), (a), item (iii)-2, item (iii)-3, (a), items (iv) to (ix) and item (xi) | As stated in Exhibit 8 | |
| 26 | Name of the investor protection fund that the applicant joins as a member (excluding the fund that has articles of incorporation prescribed in Article 79-49, paragraph (4) of the FIEA), where the applicant engages in type-I financial instruments business (excluding the case of engaging in only the business regarding electronically recorded transferable rights or rights prescribed in Article 1-12, item (ii) of the Order for Enforcement of the FIEA (the “Order”) or the case of engaging in only type-I small amount electronic public offering services without joining an investor protection fund as a member) | **Not applicable** | |
| 27 | Name of the investor protection fund (excluding the fund that has articles of incorporation prescribed in Article 79-49, paragraph (2) of the FIEA) that the applicant joins as a member, where the applicant engages in commodity derivatives transaction-related business | **Not applicable** | |
| 28 | Name or trade name of the domestic agent, when the applicant conducts high-speed trading as financial instruments business and is an individual domiciled in a foreign jurisdiction | (Name or trade name of the domestic agent)  **Not applicable** | |

(Notes)

1. Leave blank the parts of “\* Registration number” and “\*Authorization under Article 30, paragraph (1) of the FIEA”.

2. Circle either “Juridical person” or “Individual” in the part of “1 Legal form”.

3. In the parts of “2 Trade name or name” and “3 Name”,

(1) A juridical person shall enter the trade name or name in the part of “2 Trade name or name”. An Individual shall enter the name in the part of “3 Name”.

(2) In the part of “2 Trade name or name”, an individual may enter the trade name if the trade name is registered, or may enter the business name if the trade name is not registered.

(3) The common name listed on the certificate of residence or other certification documents of a foreign national may be entered together in parentheses in the part of “3 Name” (the same applies for the part of “28 Name or trade name of the domestic agent, when the applicant conducts high-speed trading as financial instruments business and is an individual domiciled in a foreign jurisdiction”)

(4) An applicant who has changed his/her family name is able to state the original name in brackets in the part of “3 Name” (the same applies for the part of “28 Name or trade name of the domestic agent, when the applicant conducts high-speed trading as financial instruments business and is an individual domiciled in a foreign jurisdiction”).

4. In the parts of “(Types of securities to be dealt)” for the parts of “9 Indication of engaging in electronic public offering services, as applicable”, “10 Indication of engaging in only type-I small amount electronic public offering services among type-I financial instruments business, as applicable”, and “11 Indication of engaging in only type-II small amount electronic public offering services among type-II financial instruments business, as applicable”, types of securities (meaning securities prescribed in Article 2, paragraph (1) of the FIEA and rights deemed as securities under Article 2, paragraph (2) of the FIEA) shall be entered.