　　　年　　　月　　　日

**Example**

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.**

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**

**Enter a new trade name or a new name**

商号、名称又は氏名の変更届出書

Notification of change in the trade name or name

　商号（名称又は氏名）を下記のとおり変更しましたので、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 because trade name (or name) was changed as follows based on Article 31 paragraph (1) of the Financial Instruments and Exchange Act.

記

Details

|  |  |
| --- | --- |
| 変更の内容  Particulars of the change  （新商号、旧商号等）  (New trade name, old trade name and so on) | **新商号：××××株式会社**  **New trade name : ×××× Co., Ltd.**  **旧商号：○○○○株式会社**  **Old trade name : ○○○○ Co., Ltd.** |
| 変更年月日  Date of the change | 年　　　　月　　　　日  MM/DD/YYYY |
| 変更の理由  Reasons for the change | **△△△△のため**  **Reason for the change is that XXXX** |

添付書類

Attachments

1. 個人であるときは、住民票の抄本（当該変更に係る事項を記載したもの）又はこれに代わる書面
2. For individuals, the certificate of residence (that indicates the matters relating to the stated change) or other certification document
3. 変更後の登録申請書
4. Written Application for Registration after the change

連絡担当者　　　　所属

Contact person　Department

役職氏名

Title and name

**Enter the contact person**

電話番号

Telephone number

**注意事項**

**Notes**

**変更後の登録申請書(第2 面から第11 面)の右肩の商号を新商号にし、提出すること。**

**Change the name in the upper right section of application for a registration of change (from page 2 to page 11) to a new trade name and submit.**

**変更後の登録申請書(第2 面から第11 面)の右肩の日付は、変更年月日と同一日とすること。**

**The date in the upper right section of application for a registration of change (from page 2 to page 11) should be the same as the changed date.**

(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  **Enter a new trade name or a new name** |
| 2 | Trade name or name | **○○○○　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)  **Japan Investment Advisers Association** | |
| (Name of a certified investor protection organization that is to cover the applicant)  **Not applicable** | |
| 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.

(Page 3)

Exhibit 1: Amount of capital or total contribution and amount of brought-in capital

Trade name or name of the applicant **○○○○　Co., Ltd.**

**Enter a new trade name or a new name**

|  |  |
| --- | --- |
| Amount of capital or total contribution | Date |
| **JPY 10,000,000** | **As of MM/DD/YYYY** |

**The date is same as date of the change.**

|  |  |
| --- | --- |
| Amount of brought-in capital | Date |
| **Not applicable** | **―** |

(Notes)

If the relevant amount is denominated in a currency other than JPY, indicate the amount converted into JPY and the applied conversion rate.

**Please use reference foreign exchange rates and arbitrage foreign exchange rates (Public Notice by the Minister of Finance) when converting into JPY**

[**Please refer to the website of Bank of Japan (only in Japanese).**](https://www.boj.or.jp/about/services/tame/tame_rate/kijun/index.htm/)

(Page 4)

Exhibit 2: Names of officers (for a foreign juridical person, including the representative person in Japan)

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |  |
| --- | --- |
| Name | Title |
| **ZAIMU Taro**  **ZAIMU Jiro**  **ZAIMU Saburo**  **ZAIMU Hanako (OHKURA Hanako)** | **President and CEO**  **Senior Managing Director**  **Director and the head of Tokyo Branch**  **Company Auditor** |

(Notes)

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.

(Page 5)

Exhibit 3: Name of the employee supervising legal compliance in relation to financial instruments business

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |  |
| --- | --- |
| Name | Title |
| **ZAIMU Shiro** | **Head of Compliance** |

(Notes)

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.

(Page 6)

Exhibit 4: Name of the employee supervising the department of investment advisory business or investment management business

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |  |
| --- | --- |
| Name | Title |
| **ZAIMU Hanae** | **Head of Operations** |

(Notes)

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.

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**Enter a new trade name or a new name**

Exhibit 5: Business category

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |
| --- |
| Business category |
| 1. A business operation relevant to the acts listed in Article 28, paragraph (1), item (i) of the FIEA (date: MM/DD/YYYY)  2. A business operation relevant to the acts listed in Article 28, paragraph (1), item (i)-2 of the FIEA (date: MM/DD/YYYY)  3. A business operation relevant to the acts listed in Article 28, paragraph (1), item (ii) of the FIEA (date: MM/DD/YYYY)  4. A business operation relevant to the acts listed in Article 28, paragraph (1), item (iii), (a) of the FIEA (date: MM/DD/YYYY)  5. A business operation relevant to the acts listed in Article 28, paragraph (1), item (iii), (b) of the FIEA (date: MM/DD/YYYY)  6. A business operation relevant to the acts listed in Article 28, paragraph (1), item (iii), (c) of the FIEA (date: MM/DD/YYYY)  7. A business operation relevant to the acts listed in Article 28, paragraph (1), item (iv) of the FIEA (date: MM/DD/YYYY)  8. Securities management business (date: MM/DD/YYYY)  9. Type-II financial instruments business (date: MM/DD/YYYY)  10. Investment advisory and agency business (date: MM/DD/YYYY)  11. Investment management business (date: MM/DD/YYYY) |

(Notes)

1. Circle the numbers of businesses that the applicant intends to engage in.

2. For each business category, enter the date of registration or the date of registration of change.

3. When the applicant intends to engage in investment management business for qualified investors, the applicant should replace “11. Investment management business” with “11. Investment management business (investment management business for qualified investors)”.

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Exhibit 6: 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)

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |  |
| --- | --- |
| Name | Location |
| **Head Office**  **Tokyo Branch**  **Chiba Branch** | **XXX building Fifth floor, 3-1-1 Kasumigaseki, Chiyoda-ku, Tokyo**  **4-chome 6-ban 15-go, Yushima, Bunkyo-ku, Tokyo**  **5-chome 6-ban 1-go, Tsubakimori, Chuo-ku, Chiba-shi, Chiba** |

(Notes)

1. Enter information on the head office first (if the applicant is a foreign juridical person, enter information on the head office first, followed by information on the principal business office or office).

2. Information on unmanned business offices or offices among other business offices or offices shall be entered in Exhibit 6-2.

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Exhibit 6-2: Situation of unmanned business offices or offices among other business offices or offices

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

|  |  |  |  |
| --- | --- | --- | --- |
| Name of the Local Finance (Branch) Bureau | The head office or other business offices or offices supervising unmanned business offices or offices | | Number of unmanned business offices or offices  **The date is same as date of the change.** |
| Name | Location |
|  | **Not applicable** |  |  |
|  |  |  | Total: |

(Notes)

Enter the number of unmanned business offices or offices separately for the jurisdiction of each competent Local Finance Bureau (meaning Local Finance Bureaus or the Fukuoka Local Finance Branch Bureau).

(Page 10)

Exhibit 7: Types of other business conducted by the applicant other than businesses listed in Exhibit 5

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |
| --- |
| Types of other businesses conducted by the applicant other than businesses listed in Exhibit 5 |
| **Business related to information providing services**  **Specially Permitted Services for Qualified Institutional Investors, etc.** |

(Page 11)

Exhibit 8: Particulars as prescribed in Article 7, item (iii), (a), item (iii)-2, item (iii)-3, (a), items (iv) to (ix) and (xi)

**Enter a new trade name or a new name**

Trade name or name of the applicant **○○○○　Co., Ltd.**

**As of MM/DD/YYYY**

**The date is same as date of the change.**

|  |
| --- |
| Particulars as prescribed in Article 7, item (iii), (a), item (iii)-2, item (iii)-3, (a), items (iv) to (ix) and item (xi) |
| 1. Indication of conducting securities-related services  (1) Indication of conducting only type-I financial instruments business regarding electronically recorded transferable rights or rights prescribed in Article 1-12, item (ii) of the Order  2. Indication of conducting electronic trading platform management services  3. Indication of engaging in commodity-related business  4. Indication of engaging in business related to commodities investment  (1) Indication of the following:  The business related to commodities investment that the applicant intends to engage in pertains to only the goods as prescribed in Article 37, paragraph (1), item (ii), (b) of the Order or the agriculture, forestry and fisheries goods.  (2) Indication of the following:  The business related to commodities investment that the applicant intends to engage in pertains to only the goods as prescribed in Article 37, paragraph (1), item (ii), (c) to (e) of the Order or the economy, trade and industry goods  (3) Indication of engaging in business related to a investment in racehorses  5. Indication of acts conducted as businesses as prescribed in the items of Article 194-6, paragraph (2) of the FIEA  6. Indication of engaging in a business of transaction of beneficial interest in real property trust  7. Indication of engaging in a specified investment management business related to real property  8. Indication of conducting specific underwriting  9. Indication of conducting act of management of specified securities  10. Indication of conducting the act listed in Article 1-12, item (ii) of the Order as a business within the type-II financial instruments business |

(Notes)

Circle applicable numbers.

**Not applicable**