年　　　月　　　日

**Example**

MM/DD/YYYY

金融庁長官　殿

**Enter registration number**

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**

役員又は政令で定める使用人の変更届出書

Notification of change of officer or employee specified by a Cabinet Order

　役員（又は政令で定める使用人）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 officer (or employee specified by a Cabinet Order) was changed as follows based on Article 31 paragraph (1) of the Financial Instruments and Exchange Act.

記

Details

１．変更の内容及び変更年月日

１．Details and date of the change

**If newly appointed and retired**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 氏　　名Name | 役　名Title | 代表権の有無Representative or not | 常勤／非常勤Full-time orPart-time | 就任（退任）年月日Date of appointment/retirement |
| 新任 New appointment |
| **○○　○○** | **Director** | **No** | **Full-time** | **MM/DD/YYYY** |
| 退任 Retirement |
| **×× ××** | **Director** | **No** |  | **MM/DD/YYYY** |

**In case of change to name of title**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 氏　　名Name | 役　名Title | 代表権の有無Representative or not | 常勤／非常勤Full-time orPart-time | 就任（退任）年月日Date of appointment/retirement |
| 新任 New appointment |
| **□□ □□** | **Company auditor** | **No** | **Full-time** | **MM/DD/YYYY** |
| 退任 Retirement |
| **□□ □□** | **Director** | **No** |  | **MM/DD/YYYY** |

**Please enter reason for the change in detail (e.g., enhancing personnel due to the strengthening governance, a change due to the expiration of his or her term, retiring due to personal reasons, etc.)**

２．変更の理由

２．Reason for the change

|  |
| --- |
| **Please attach (a) a document stating the systems for business execution, such as the personnel structure and the organization pertaining to the business, (b) the following documents in relation to a person who has newly assumed the position of officer or major employee: (1) the resumes, (2) the extracts of the certificates of residence, (3) the personal identification (issued by the municipality), (4) pledge statement, and (c) pledge statement prepared by a financial instrument business operator (one each)** |

添付書類
Attachments

１．金融商品取引業等に関する内閣府令第２０条第１項第３号に掲げる書類

１. Documents prescribed in Article 20 paragraph (1) item (iii) of Cabinet Office Order on Financial Instruments Business, etc.

２．変更後の登録申請書（第４、５、６面）

２. Written application for registration after the change (page.4, 5, 6)

**Please circle and submit the changed page.**

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

　　（第４面）

（Page.4）

（別添２：役員（外国法人にあっては、国内における代表者を含む。）の氏名又は名称）

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

商号、名称又は氏名**財務投資助言代理株式会社**

**Same as the date of appointment and retirement**

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

　　　　　　　　　　　　　　　　　　　　　　　　　　　（〇〇年〇〇月〇〇日現在）

（As of MM/DD/YYYY）

|  |  |
| --- | --- |
| （ふ　り　が　な）氏名又は名称Name | 役　　　職　　　名Title |
| **ZAIMU Taro****ZAIMU Jiro****ZAIMU Saburo****ZAIMU Hanako　(OHKURA Hanako)** | **President and CEO****Senior Managing Director****Director and Head of Branch, Tokyo****Company Auditor** |

（注意事項）

（Notes）

氏を改めた者においては、旧氏及び名を「氏名又は名称」欄に（　）書きで併せて記載することができる。

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

**Please enter all directors in the registration, including directors, accounting advisors, company auditors and executive directors, or other directors equivalent to the same.**

**【Name】**

**Please enter along with name in certificates of residence**

**【Title】**

**Please enter the title used for external, and the title in here is described in the “Title and Position” column of Resume. (Same in the page 5 and 6)**

　　（第５面）

（Page 5）

（別添３：金融商品取引業に関し、法令等を遵守させるための指導に関する業務を統括する使用人の氏名）

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

商号、名称又は氏名**財務投資助言代理株式会社**

**Same as the date of appointment and retirement**

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

　　　　　　　　　　　　　　　　　　　　　　　　　　　（〇〇年〇〇月〇〇日現在）

（As of MM/DD/YYYY）

|  |  |
| --- | --- |
| （ふ　り　が　な）氏　　　　　　名Name | 役　　　職　　　名Title |
| **ZAIMU Shiro****ZAIMU Goro** | **Head of Compliance****Compliance, Deputy Director** |

（注意事項）

（Notes）

氏を改めた者においては、旧氏及び名を「氏名」欄に（　）書きで併せて記載することができる。

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

**Please enter the name of the person who supervises the function of providing guidance to ensure that laws and regulations. are observed with regard to a Financial Instruments Business (Article 15-4 item (i) of Order for Enforcement of the Financial Instruments and Exchange Act) and a person who holds a position whereby the person may exercise authority on behalf of a supervisor of the operation as prescribed in that item, such as a general manager, vice-chief, section manager or any other person, irrespective of the job title (Article 6 item (i) of Cabinet Office Order on Financial Instruments Business, etc.).**

**Please enter the name of the employee even if the director also serves as an employee.**

　　（第６面）

（Page 6）

（別添４：投資助言業務又は投資運用業に関し、助言又は運用を行う部門を統括する使用人の氏名）

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

商号、名称又は氏名**財務投資助言代理株式会社**

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

　　　　　　　　　　　　　　　　　　　　　　　　　　　（〇〇年〇〇月〇〇日現在）

（As of MM/DD/YYYY）

**Same as the date of appointment and retirement**

|  |  |
| --- | --- |
| （ふ　り　が　な）氏　　　　　　名Name | 役　　　職　　　名Title |
| **ZAIMU Hanae****ZAIMU Rokuro** | **Head of Operations****Operations, Vice President** |

（注意事項）

（Notes）

氏を改めた者においては、旧氏及び名を「氏名」欄に（　）書きで併せて記載することができる。

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