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**

第７条第３号イ、第３号の２、第３号の３イ、第４号

から第９号まで及び第11号に掲げる事項の変更届出書

Notification of change to particulars as prescribed in Article 7, item (iii), (a), item (iii)-2, item (iii)-3, (a), items (iv) to (ix) and item (xi)

第７条第３号イ、第３号の２、第３号の３イ、第４号から第９号まで及び第11号に掲げる事項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 of change based on Article 31, paragraph (1) of the Financial Instruments and Exchange Act because I / we changed particulars as prescribed in Article 7, item (iii), (a), item (iii)-2, item (iii)-3, (a), items (iv) to (ix) and item (xi) as follows.

記

Details

|  |  |
| --- | --- |
| 変更の内容Contents of change | **Addition (Removal) of XXX business** |
| 変更年月日Date of the change | 年　　　　月　　　　日MM/DD/YYYY |
| 変更の理由Reasons for the change | **Reason for the change is that XXXX.** |

添付書類

１．変更後の登録申請書（第１１面）

２．金融商品取引業等に関する内閣府令第１３条各号に関する書面

Attachments

1. An application of change (page. 11)

2. Document regarding Article 13, each paragraph of the Cabinet Office Order on Financial Instruments Business, etc.

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11面）

(Page. 11)

（別添８：第７条第３号イ、第３号の２、第３号の３イ、第４号から第９号まで及び第11号に掲げる事項）

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

商号、名称又は氏名

Trade name or name of the applicant

（　　年　　月　　日現在）

(As of MM/DD/YYYY)

|  |
| --- |
| 第７条第３号イ、第３号の２、第３号の３イ、第４号から第９号まで及び第11号に掲げる事項Particulars as prescribed in Article 7, item (iii), (a), item (iii)-2, item (iii)-3, (a), and items (iv) to (ix) and item (xi) |
| １　有価証券関連業を行う旨⑴　第一種金融商品取引業のうち電子記録移転権利又は令第１条の12第２号に規定する権利に係るもののみを行う旨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 Order２　電子取引基盤運営業務を行う旨2. Indication of conducting electronic trading platform management services３　商品関連業務を行う旨3. Indication of engaging in commodity-related business４　商品投資関連業務を行う旨4. Indication of engaging in business related to commodities investment⑴　行う商品投資関連業務が令第37条第１項第２号ロに掲げる物品又は農林水産関係商品等のみに係るものである旨(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.⑵　行う商品投資関連業務が令第37条第１項第２号ハからホまでに掲げる物品又は経済産業関係商品等のみに係るものである旨(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 goods⑶　競走用馬投資関連業務を行う旨(3) Indication of engaging in business related to investment in racehorses５　法第194条の６第２項各号に掲げる行為を業として行う旨5. Indication of acts conducted as businesses as prescribed in the items of Article 194-6, paragraph (2) of the FIEA６　不動産信託受益権等売買等業務を行う旨6. Indication of engaging in business of transaction of beneficial interest in real property trust７　不動産関連特定投資運用業を行う旨7. Indication of engaging in specified investment management business related to real property８　特定引受行為を行う旨8. Indication of conducting specific underwriting９　特定有価証券等管理行為を行う旨9. Indication of conducting management of specified securities10　第二種金融商品取引業に係る業務のうち、令第１条の12第２号に掲げる行為に係る業務を行う旨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 |

（注意事項）

該当する番号を○で囲むこと。

(Notes)

Circle applicable numbers.