年　　月　　日

**Example**

**Submit this form without delay**

MM/DD/YYYY

**Enter registration number**

金融庁長官　殿

To Commissioner of Financial Services Agency

登録番号　○○財務局長(金商)第　　　　号

Registration number: ○○財務局長(金商)第　　　　号

所在地

Location:

商号又は名称

Trade name or name:

代表者の役職氏名

Title and name of representative person:

金融商品取引業者の法令違反に関する届出書

Notification of a violation of laws and regulations by a financial instruments business operator

下記のとおり法令違反に該当したので、金融商品取引法第５０条第１項第８号、並びに金融商品取引業等に関する内閣府令第１９９条第１号の規定により届出いたします。

We hereby submit a notification of a violation of laws and regulations as follows in accordance with the provisions of Article 50 paragraph (1) item 8 of the Financial Instruments and Exchange Act and Article 199 item 1 of the Cabinet Office Order on Financial Instruments Business, etc.

記

Details

|  |  |
| --- | --- |
| 違反した法令の規定Provision of laws and regulations violated |  |
| 刑の確定年月日Date when the punishment became final and binding | 年　　　　月　　　　日MM/DD/YYYY |
| 罰金額Amount of fine |  |

添付書類

Attachments

　確定判決の判決書の写し又は確定判決の内容を記載した書面

　Copy of the document of the final and binding judgment or the document stating the

details of the final and binding judgment

連絡担当者　　　　所属

Contact person: Department

役職氏名

Title and name

電話番号

Telephone number