　　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:

役員又は重要な使用人等の法令違反等に関する届出書

Notification of a violation of laws and regulations, etc. by an officer or important employee

下記のとおり金融商品取引法第２９条の４第１項第２号ロからリに該当したので、同法第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２号の規定により届出いたします。

We hereby submit a notification because we have a person that falls under one of Article 29-4 paragraph (1) item 2 (b) to (i) 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 2 of the Cabinet Office Order on Financial Instruments Business, etc.

記

Details

|  |  |
| --- | --- |
| 該当者の役職・氏名  Title and name of applicable person |  |
| 該当事由等  Relevant reason, etc. | **金融商品取引法第２９条の４第１項２号○**  **Article 29-4 paragraph (1) item 2 🌕 of the Financial Instruments and Exchange Act** |
| 該当年月日  Relevant date | 年　　　　月　　　　日  MM/DD/YYYY |

添付書類

Attachments

　該当事由における詳細な内容を記載した書面

　Document stating the details of the relevant reason

連絡担当者　　　　所属

Contact person: Department

役職氏名

Title and name

電話番号

Telephone number

**If Article 29-4 paragraph (1) item 2 (c) or (i) and (h) of the Financial Instruments and Exchange Act is applicable, the type of punishment and the reason for dismissal shall be entered.**

**For the relevant date, the date of final and binding judgment, etc. shall be entered according to the reason.**