　　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:

**Circle the applicable item or alter the description**

事故等の届出書

Notification of problematic conduct, etc.

当社において役職員に法令等に違反する行為がありましたので、金融商品取引法第５０条第１項第８号、金融商品取引業等に関する内閣府令第１９９条〔事故等があったことを知った場合：第７号、事故等の詳細が判明した場合：第８号、若しくは、両方の場合：第７号及び第８号〕の規定により届出します。

We hereby submit a notification because an officer or employee in our company has committed an act in violation of laws and regulations, etc. in accordance with the provisions of Article 50 paragraph (1) item 8 of the Financial Instruments and Exchange Act and Article 199 [item 7 where the business operator has become aware of any problematic conduct, etc.; item 8 where the details of the problematic conduct, etc. were revealed; or item 7 and item 8 in the case of both] of the Cabinet Office Order on Financial Instruments Business, etc.

１．事実関係

1. Facts

(1) 事故等が発生した営業所又は事務所の名称

(1) Name of the business office or other office where the problematic conduct, etc. occurred

**○○営業所**

**🌕🌕 Office**

(2) 事故等を惹起した役職員の氏名又は名称及び役職名

(2) Name and title of the officer or employee who caused the problematic conduct, etc.

**○○部長 ○○ ○○**

**🌕🌕 Division Manager 🌕🌕🌕🌕**

(3) 事故等の概要・詳細

(3) Outline and details of the problematic conduct, etc.

**××××××**

**Describe the facts such as the details of the occurrence and the beginning of the discovery in chronological detail. (When notifying the occurrence of the problematic conduct, etc., it is acceptable to enter the facts to the extent that they are known.) For violations of laws and regulations, specify the laws and regulations as well as provisions violated.**

２．発生原因分析

2. Analysis of the cause of occurrence

**××××××**

**Enter the cause of the problematic conduct, etc. and the person who is responsible (manager).**

３．対応策・改善策

3. Countermeasures and improvement measures

**××××××**

**Describe countermeasures and improvement measures (including internal actions) based on the cause of occurrence in item 2 above. In addition to the specific countermeasures and improvement measures, the person responsible for implementing the countermeasures and improvement measures and the time of implementation shall be indicated.**

**In the case of issuance of internal notices, implementation of training, establishment of forms, etc., the date of issuance, etc. shall be clearly indicated. (Materials shall be attached as necessary.)**

連絡担当者　　　　所属

Contact person: Department

役職氏名

Title and name

電話番号

Telephone number

**Notes**

**1. A notification of problematic conduct, etc. shall be submitted promptly upon becoming aware of the occurrence of the problematic conduct, etc. In such a case, it is acceptable to describe only the details revealed in the 1. Facts column.**

**After the details of the problematic conduct, etc., have been identified, a notification shall be prepared and submitted that includes additional facts to 1. Facts, 2. Analysis of the cause of occurrence, and 3. Countermeasures and improvement measures.**

**If countermeasures or improvement measures are being formulated and it takes time to consider them, a notification stating to that effect shall be prepared and submitted as a progress report.**

**2. The outline and details of the problematic conduct, etc. as well as countermeasures and improvement measures shall be accompanied by supplementary materials as appropriate.**

**3. When submitting this notification, whether or not the matters included in the Attachment of the Comprehensive Guidelines for Supervision of Financial Instruments Business Operators, etc. III-2-2, have been implemented and its specific details shall be included in the above notification.**

**Comprehensive Guidelines for Supervision of Financial Instruments Business Operators, etc. III-2-2**

**(i) Initial Notification of Problematic Conduct in Financial Instruments Business, etc.**

**Supervisors shall check the following points upon the receipt of an initial notification of problematic conduct in a financial instruments business, etc., at a Financial Instruments Business Operator. It should be noted that cases in which a written report is submitted without an initial notification shall be handled likewise.**

**A. Whether the Financial Instruments Business Operator has promptly reported to the internal control and internal audit section as well as to the board of directors, etc., in accordance with compliance rules.**

**B. In cases where the conduct could constitute a criminal offense, whether the Financial Instruments Business Operator has reported to the police and other relevant organizations.**

**C. Whether a division independent of the division involved in the conduct (e.g., the internal audit section) investigates the conduct.**

**(ii) Examination of Appropriateness of Business Operations**

**Supervisors shall examine the appropriateness of a Financial Instruments Business Operator’s business operations in relation to problematic conduct in a financial instruments business, etc., based on the following viewpoints:**

**A. Whether an executive has been involved in the conduct and whether there has been an institutional involvement.**

**B. What impacts the conduct is expected to have on the management of the Financial Instruments Business Operator and on customers and the financial instruments market.**

**C. Whether the internal checks and balances function is properly functioning.**

**D. Whether the Financial Instruments Business Operator has formulated improvement measures intended to prevent the recurrence of the conduct, is equipped with a sufficient self-purification**

**function and has clarified the allocation of responsibilities. For example, whether it has analyzed**

**the cause of occurrence of the problematic conduct in financial instruments business, etc. and has**

**formulated measures to prevent the recurrence with active involvement of the management team and**

**has communicated the measures to the sales division, etc.**

**E. Whether the Financial Instruments Business Operator acted appropriately immediately after the conduct**

**came to light.**

**F. In cases where the Financial Instruments Business Operator provides profits from its assets in order to**

**compensate for the losses caused by the conduct, whether the business operator compiles records on the**

**provided profits and the basis of the compensation calculation. In addition, whether the Financial**

**Instruments Business Operator has established arrangements and procedures for enabling a division**

**independent from the sales division, such as the internal control division, to check the status of the**

**compilation of the said records.**