　　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:

訴訟又は調停の当事者に関する届出書

Notification of the parties to a lawsuit or conciliation

下記のとおり訴訟若しくは調停の当事者となりましたので、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９号の規定により届出いたします。

We hereby submit a notification because we have become a party to a lawsuit or conciliation 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 9 of the Cabinet Office Order on Financial Instruments Business, etc.

記

Details

|  |  |
| --- | --- |
| 訴 訟 又 は 調 停 の  当 事 者 の 商 号 等  Trade name, etc. of parties to the lawsuit or conciliation | 原告の氏名・住所・原告代理人  Name, address and representative of plaintiff |
| 被告の氏名・住所・被告代理人  Name, address and representative of defendant |
| 訴訟等提起年月日  Date of filing the lawsuit, etc. | 年　　　　月　　　　日  MM/DD/YYYY |
| 管轄裁判所名  Name of the court with jurisdiction |  |
| 事件の内容  Particulars of the case |  |

連絡担当者　　　　所属

Contact person: Department

役職氏名

Title and name

電話番号

Telephone number

**Notes**

**Please attach a document including details (complaint, etc.) for reference.**

**It should be noted that when this notification is submitted, lawsuits or conciliation related to businesses other than financial instruments business or those incidental thereto are limited to those which may have serious effects on the business administration or assets of the financial instruments business operator.**