

## Additional Information

### ➤ Change of contact information of the person in charge

We request you to register your telephone number and email address in order for us to contact you at the time of your registration. In this regard, we request you to submit a notification by each time that the contact person, the telephone number and email address mentioned in your Summary of applicant is changed. This is a gentle reminder.

- Reporting items: Name, telephone number, and email address of the contact person in charge after the change
- Reporting method: Report by e-mail to Financial Market Entry Office  
Email: [marketentry@fsa.go.jp](mailto:marketentry@fsa.go.jp)  
Subject of e-mail: Change of contact information of the person in charge  
+ Name of financial instruments business operator

➤ Acquisition of Financial Instruments Business Operators

Financial Instruments Business can only be conducted by a person who is registered, and a person who wishes to be registered must submit an application for registration, and the authorities must refuse registration if the registration applicant meets the conditions for refusing registration. Therefore, the authorities conduct the verification of registration and confirm that the registration applicant does not meet the conditions for refusing registration (see Article 29-4 of the Financial Instruments and Exchange Act).

However, in order to avoid such registration procedures, there seem to be cases in which a person who intends to enter the Financial Instruments Business by acquiring an existing Financial Instruments Business Operator (for example, a business operator that is suspended, or a business operator that is planning to close down) for the purpose of obtaining only the "registration" of a Financial Instruments Business Operator. In the case of such acquisition, there is a very high possibility that the financial instruments business will be conducted in the state that meets the conditions for refusing registration, not succeeding to the business descriptions, personnel structure and internal control systems in order to properly execute the business from the existing Financial Instruments Business Operator.

We believe that such kind of acquisition, which is considered to be an act of circumvention of laws and regulations, does not comply with the purpose of the registration system and is unacceptable. Therefore, if you are considering an acquisition, etc., please take appropriate action after reconfirming the purpose of the registration system.

Even if an acquisition is not for the sole purpose of obtaining the "registration" of a Financial Instruments Business Operator as described above, if a material change occurs or is likely to occur in the composition of officers or important employees, business contents, management policies, or business decision methods, etc. of a Financial Instruments Business Operator or a holding

company of which a subsidiary is a Financial Instruments Business Operator as a result of an acquisition, please pay attention to the fact that verification in the same manner as that in the registration for such viewpoints below is required

- It is necessary to grasp whether there are any changes in the business contents and business execution systems, etc., and to verify whether the personnel structure and internal control systems for properly executing business are maintained or not.
- Whether the business plan, etc. is prepared based on reasonable factors, etc. (For details, please refer to III-3-2-(4) of the Comprehensive Guidelines for Supervision of Financial Instruments Business Operators, etc.)

Also, if such an acquisition is planned, please provide information such as the background of the plan to the authorities in advance.