Form 30 (in relation to Article 339 (1))

(Japanese Industrial Standards (JIS) A4)

from mm/dd/yyyy

to mm/dd/yyyy

Business report for the th Term

mm/dd/yyyy date submitted

Trade name or name

Location

Title and name of the representative

(Notes)

1 When submitting a business report in writing, the representative shall affix the seal together with the name and the title of the representative. However, if there are unavoidable circumstances, the representative may sign the form.

2 A person who submitted an application for registration in accordance with Article 66-51, paragraph 1 of the Act or a notification pursuant to the provisions of Article 66-54, paragraph 1 of the Act, stating together with the name before marriage, may state the name together in parentheses in the column of "Title and name of the representative ", or state only the name, until the notification of the change of the name.

1 Status of the business

(1) Registration date and registration number

mm/dd/yyyy ( Local Finance Bureau (HST) No. )

(2) The Financial Instruments Exchange, etc. pertaining to the High-Speed Trading

(3) Outline of the business for the current fiscal year

(4) Summary of resolutions of shareholders meeting

(5) Status of the officers and employees

(i) Total number of officers and employees

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Officers |  | Employees | Total |
| of which are part-time |
| Total |  |  |  |  |

(ii) Status of the officers

|  |  |
| --- | --- |
| Title | Name |
|  |  |

(iii) Status of the representative in Japan or the agent in Japan

|  |  |  |  |
| --- | --- | --- | --- |
| Name or trade name | Title | Address or location | Phone number |
|  |  |  |  |

(6) Status of the principal business office or office

|  |  |  |
| --- | --- | --- |
| Name | Location | Number of officers and employees |
|  |  |  |

(7) Status of the business office or office for services pertaining to High-Speed Trading

|  |  |  |
| --- | --- | --- |
| Name | Location | Number of officers and employees |
|  |  |  |
| Total ( ) offices |  | Total ( ) |

(8) Status of shareholders

|  |  |  |
| --- | --- | --- |
| Name | Address or location | Share |
| Number of the other shareholders ( ) |  | % |
| Total ( ) |  | 100.00% |

(Notes)

1 Status of the business

(2) The Financial Instruments Exchange, etc. pertaining to High-Speed Trading

State the name or trade name of the Financial Instruments Exchange, etc. pertaining to High-Speed Trading used as of the end of the current fiscal year.

If changes occurred during the current fiscal year, note that fact.

(3) Outline of the business for the current fiscal year

State the outline of the business activity, the outline of the business performance and outlines of other important matters affecting operating performance in the current fiscal year.

(4) Summary of resolutions of shareholders meeting

State the dates and summary of resolutions of annual and extraordinary shareholders meetings in the current fiscal year briefly (However, resolutions not related to conducting High-Speed Trading need not be described.).

(5) Status of the officers and employees

(i) Total number of the officers and employees

State the officers (meaning "officers" prescribed in Article 9, item 2, the same in (ii)) and employees as of the end of the current fiscal year. However, for a foreign juridical person, state the representative in Japan in (iii).

(ii) Status of the officers

State the officers as of the end of the current fiscal year and note the officers in charge of the business related to High-Speed Trading.

In addition, a person who submitted an application for registration in accordance with Article 66-51, paragraph 1 of the Act or a notification pursuant to the provisions of Article 66-54, paragraph 1 of the Act, stating together with the name before marriage, may state the name together in parentheses in the column of "Name", or state only the name, until the notification of the change of the name.

(iii) Status of the representative in Japan or the agent in Japan

In the case of a foreign juridical person, state the representative in Japan or the agent in Japan, or in the case of an individual who has an address in a foreign country, state the agent in Japan, and state the fact that it is the representative in Japan or the agent in Japan in the column of “Title”.

In addition, a person who submitted an application for registration in accordance with Article 66-51, paragraph 1 of the Act or a notification pursuant to the provisions of Article 66-54, paragraph 1 of the Act, stating together with the name before marriage, may state the name together in parentheses in the column of "Name or trade name", or state only the name, until the notification of the change of the name.

(6) Status of the principal business office or office

State the principal business office or office (in case of a foreign juridical person or an individual who has an address in a foreign country, the principal business office or office and the principal business office or office in Japan) in the end of the current fiscal year. In addition, if there is a change in the name or location of the principal business office or office in the current fiscal year, note that fact.

(7) Status of the business office or office for services pertaining to High-Speed Trading

State all business offices or office for services pertaining to High-Speed Trading in the end of the current fiscal year. In addition, if there is an establishment or abolition of the business office or office for services pertaining to High-Speed Trading, or if there is a change in the name or location of the business office or office, in the current fiscal year, note that fact.

(8) Status of shareholders

State the top ten shareholders and other shareholders at the end of the current fiscal year. In addition, in the column of “Share”, truncate a number to three decimal places and state to the second decimal places.

In addition, a person who submitted an application for registration in accordance with Article 66-51, paragraph 1 of the Act or a notification pursuant to the provisions of Article 66-54, paragraph 1 of the Act, stating together with the name before marriage, may state the name together in parentheses in the column of "Name", or state only the name, until the notification of the change of the name.

(9) Status of the business

State the status of the purchase and sales of securities and Market Derivatives Transactions related to High-Speed Trading. In addition, if there are numbers less than the display unit, the numbers are to be disregarded.

(i) Status of purchase and sale of securities (Unit: thousand shares, million yen)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of the transaction strategy |  |  |  |  |
| Category of the transaction strategy |  |  |  |  |
| Share certificates | The numbers of shares | Transactions in Financial Instruments Exchanges | Transactions in trading sessions | ( ) | ( ) | ( ) | ( ) |
| Transactions outside trading sessions | ( ) | ( ) | ( ) | ( ) |
| Transactions outside Financial Instruments Exchanges | Transactions in Proprietary Trading System | ( ) | ( ) | ( ) | ( ) |
| Others | ( ) | ( ) | ( ) | ( ) |
| Total | ( ) | ( ) | ( ) | ( ) |
| Amount of money | Transactions in Financial Instruments Exchanges | Transactions in trading sessions | ( ) | ( ) | ( ) | ( ) |
| Transactions outside trading sessions | ( ) | ( ) | ( ) | ( ) |
| Transactions outside Financial Instruments Exchanges | Transactions in Proprietary Trading System | ( ) | ( ) | ( ) | ( ) |
| Others | ( ) | ( ) | ( ) | ( ) |
| Total | ( ) | ( ) | ( ) | ( ) |
| Bond certificates | National government bonds |  |  |  |  |
| Municipal bonds |  |  |  |  |
| Special bonds |  |  |  |  |
| Corporate bond certificates | ( ) | ( ) | ( ) | ( ) |
| Total |  |  |  |  |
| Beneficiary certificates | ( ) | ( ) | ( ) | ( ) |
|  | of which listed securities investment trust beneficiary certificates | ( ) | ( ) | ( ) | ( ) |
| Other | ( ) | ( ) | ( ) | ( ) |

(Notes)

1 State the number or the amount of the purchases and the sales of securities (excluding those falling under the category of Derivatives Transactions) for each transaction strategy on the basis of the contract criteria, and if there are 5 or more transaction strategies, add columns to a separate sheet and state the status of all transaction strategies.

2 If there is no name of a trading strategy, it is not necessary to fill in the column of "Name of the transaction strategy".

3 State the category of transaction strategy as prescribed in Article 328, item 4 (a) in the column of “Category of the transaction strategy”.

4 State the share certificates and the investment securities (meaning investment securities listed in Article 2, paragraph 1, item 6 of the Act, preferred equity investment certificates listed in that paragraph, item 7, preferred equity securities listed in that paragraph, item 8, and investment securities listed in that paragraph, item 11) in the column of “Share certificates”, state the national government bonds, the municipal bonds, the special bonds (meaning securities listed in that paragraph, item 3) and the corporate bond certificates (meaning corporate bond certificates and other bond certificates) in the column of “Bond certificates”, and state the beneficiary certificates of an investment trust listed in that paragraph, item 10 in the column of “Beneficiary certificates”, and state the securities listed in that paragraph, item 17 according to these.

5 State transactions of trading sessions and outside trading sessions at the Financial Instruments Exchange Market in the column of “Transactions in Financial Instruments Exchanges”, and state the transactions in Proprietary Trading System operated by Financial Instruments Business Operators that have obtained the authorization referred to in Article 30, paragraph 1 of the Act, and others in the column of “Transactions outside Financial Instruments Exchanges”.

6 For foreign securities (meaning securities other than securities that either Japan, a local government or residents (meaning juridical persons out of residents prescribed in Article 6, paragraph 1, item 5 of the Foreign Exchange and Foreign Trade Act) issued in Japan (meaning Japan prescribed in that paragraph, item 1)), add them to those corresponding to share certificates, bond certificates (corporate bond certificates), and beneficiary certificates, etc. and state them as included number in parentheses in the upper row.

7 State the beneficiary certificates of investment trusts listed in Article 12, item 2 of the Order for Enforcement of the Act on Investment Trusts and Investment Corporations in the column of “of which listed securities investment trust beneficiary certificates”.

(ii) Status of Market Derivatives Transactions (Unit: million yen)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of the transaction strategy |  |  |  |  |
| Category of the transaction strategy |  |  |  |  |
| Transactions related to share certificates | Futures transactions |  |  |  |  |
| Option transactions |  |  |  |  |
| Others |  |  |  |  |
| Transactions related to bond certificates | Futures transactions |  |  |  |  |
| Option transactions |  |  |  |  |
| Others |  |  |  |  |
| Others | Futures transactions |  |  |  |  |
| Option transactions |  |  |  |  |
| Others |  |  |  |  |

(Notes)

1 State each transaction strategy, and if there are 5 or more transaction strategies, add columns to a separate sheet, and state the status of all transaction strategies.

2 If there is no name of a trading strategy, it is not necessary to fill in the column of "Name of the transaction strategy".

3 State the category of transaction strategy as prescribed in Article 328, item 4 (a) in the column of “Category of the transaction strategy”.

4 State the contract amount pertaining to the transactions listed in Article 2, paragraph 21, items 1 and 2 of the Act in the column "Futures transactions", and state the contract amount pertaining to the transactions listed in that paragraph, item 3 in a notional principal amount basis in the column “Option Transactions”.

2 Status of accounting

Create and submit balance sheets and profit and loss statements. However, if a High-Speed Trader is a member of a partnership, etc., that does not have a juridical identity, submit balance sheets and profit and loss statement of this partnership, etc.