**質問表別紙（第二種金融商品取引業用）**

**Questionnaire Sheet (for Type II Financial Instruments Business)**

※以下の事項について、該当する社内規則に基づいて、当社の対応の概要を記載すること。

なお、該当しない場合は、「該当なし」と記載すること。

\*Provide a summary of your response to the following matters in accordance with your relevant company rules. Put “Not applicable.” for any item that is not applicable to you.

６．投資助言業に係る業務の適切性

6. Appropriateness of business operations related to investment advisory business operators

弊害防止措置（監督指針Ⅶ－２－１－４（1））

Measures to prevent internal collusion (Guidelines for Supervision VII-2-1-4(1))

※第二種業と助言・代理業の新規登録申請を行う場合、又は助言・代理業者が第二種業の変更登録申請を行う場合は記載する。

\*Provide information if applying for Type II Business and Investment Advisory/Agency Business at the same time or if an Investment Advisory/Agency Business Operator is applying for registration of change to add Type II Business.

（１）二以上の種別の業務を行う場合の留意事項について

(1) Points of Attention Regarding Investment Advisory Business Operators Engaging in Two or More Types of Business

①　異なる種別の業務間における弊害防止措置として、業務内容に応じた弊害発生防止に関する社内管理体制を整備するなどの適切な措置が講じられているか。

②　業府令第147条第２号の「非公開情報」について、管理責任者の選任及び管理規則の制定等による情報管理措置等が整備されているとともに、当該情報の利用状況の適正な把握・検証及びその情報管理方法の見直しが行われる等、情報管理の実効性が確保されているか。

(i) Whether the investment advisory business operator has taken appropriate measures to prevent collusion between its different types of business, such as establishing an internal control system and procedures for the prevention of such collusion in a manner suited to the nature of its business.

(ii) Regarding the “non-disclosure information,” as specified under Article 147(ii) of the FIB Cabinet Office Ordinance, whether the investment advisory business operator has put in place information management measures, such as the appointment of a relevant manager and the establishment of management rules, and ensures the effectiveness of information management by, for example, properly identifying and examining the status of the usage of the non-disclosure information and revising the management method as necessary.