

VII Reference 2. List of Documents to be Submitted
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The list below provides examples of standard materials to be requested at the start of an on-site inspection, classified by type of business operator. It should be noted that this is not intended to preclude the possibility of requesting other materials in actual practice or making additional requests as the inspection progresses.

Type I Financial Instruments Business Operators

[General information]

- Company history
- Company brochure
- Organizational chart (including descriptions of each division's function and the number of staff allocated)
- Seating arrangements
- List of branch offices
- Group structure
- List of affiliated companies
- Officers (list, responsible areas, dual positions, etc.)
- A copy of the company's registration certificate
- Articles of incorporation, organizational regulations, and rules on division of responsibilities
- Company regulations
- Management plan (including management issues and measures for such issues)
- Compliance manual/operations manual

[Meeting materials]

- List of meeting and committee materials
- Requests for internal approval
- Materials and minutes of the board of directors
- Materials and minutes of the executive committee
- Materials and minutes of the audit and supervisory board
- Materials and minutes of the general managers' and branch managers' meetings
- Materials and minutes of meetings related to internal control

[Statutory records and books]

- List of statutory records and books
- Order slips
- Customer ledger

- Trading products ledger
- Itemized list of securities under custody
- Daily trial balance sheet

[Internal control]

- Internal control system (placement of internal control supervisory managers and assistant supervisory managers, etc.)
- Information related to accidents when dealing with securities
- Information related to litigation
- Information on the processing of error correction
- Information related to administrative errors
- Information regarding the handling of complaints
- Internal audit (including systems audit)
- External audit (including systems audit)
- Inspection by self-regulatory organization (SRO)
- Advertisement screening
- Internal penalty
- Materials submitted to administrative organs and SROs
- Notification of internal control supervisory managers, etc.
- List of officers, other employees and employees who are securities broker representatives
- List of retired employees and employees on secondment
- Approval of employee trading

[IT system]

- IT systems plan and operational structure
- Overview of IT systems (functions, components and installation)
- IT systems management (planning, development and operation)
- Incident management and emergency response
- Outsourcing

[Financial information]

- Business report
- Account settlement status report
- Business condition for the current fiscal year
- Tax return documents
- Supplementary books for accounting-related matters

Registered Financial Institutions

[General information]

- Company history
- Company brochure
- Organizational chart (including descriptions of each division's function and the number of staff allocated)
- Seating arrangement
- List of branch offices
- Group structure
- Officers (list, responsible areas, dual positions, etc.)
- Articles of incorporation, organizational regulations, and rules on division of responsibilities
- Company regulations
- Management plan (including management issues and measures for those issues)
- Compliance manual/operations manual
- Business report

[Meeting materials]

- List of meeting and committee materials
- Requests for internal approval
- Materials and minutes of the board of directors
- Materials and minutes of the executive committee
- Materials and minutes of the audit and supervisory board
- Materials and minutes of the general managers' and branch managers' meetings
- Materials and minutes of meetings related to internal control

[Statutory records and books]

- Statutory records and books related to the Cabinet Office Order on Securities Business Conducted by Financial Institutions

[Internal control]

- Internal control system (placement of internal control supervisory managers and assistant supervisory managers, etc.)
- Information related to accidents when dealing with securities
- Information related to litigation (in terms of securities business)
- Information on the processing of error correction (related to the securities business)

- Information related to administrative errors (related to the securities business)
- Information on the handling of complaints (related to the securities business)
- Internal audit
- Inspection by self-regulatory organization (SRO)
- Advertisement screening (related to the securities business)
- Internal penalty (related to the securities business)
- Materials submitted to administrative organs and SROs (related to the securities business)
- Notification of internal control supervisory managers, etc.
- List of securities broker representatives
- List of retired employees and employees on secondment

[Sales]

- List of the status of updates for offering circulars and the schedule
- List of commission charged to each client
- Investment trust data classified by portfolio name
- Sales results classified by name of shares/portfolio and branch office

Investment Management Companies (Excluding Investment Corporations)

[General information]

- Company history
- Company brochure
- Organizational chart (including descriptions of each division's function and the number of staff allocated)
- Seating arrangements
- Group structure
- Officers (list, responsible areas, dual positions, etc.)
- A copy of the company registration certificate
- Articles of incorporation, organizational regulations, and rules on division of responsibilities
- Company regulations
- Management plan (including management issues and measures for those issues)
- Compliance manual/operations manual

[Meeting materials]

- List of meeting and committee materials
- Requests for internal approval
- Materials and minutes of the board of directors
- Materials and minutes of the executive committee
- Materials and minutes of the audit and supervisory board
- Materials and minutes of general managers' and branch managers' meetings
- Materials and minutes of meetings related to internal control

[Statutory records and books]

- List of statutory records and books
- List of issued statutory documents
- Daily trial balance sheet

[Internal control]

- Information related to accidents
- Information related to litigation
- Information on the processing of error correction
- Information related to administrative errors

- Information regarding the handling of complaints
- Internal audit (including systems audit)
- External audit (including systems audit)
- Internal penalty
- Materials submitted to administrative organs and SROs
- List of investment advisory contracts/discretionary investment management contracts
- List of important employees
- List of officers and other employees
- List of retired employees and employees on secondment

[Funds]

- List of publicly offered/privately placed investment trusts
- List of redemption/extended redemption of publicly offered/privately placed investment trusts
- List of market shares of publicly offered/privately placed investment trusts
- List of trust fees for publicly offered/privately placed investment trusts
- List of discretionary investment management contracts
- List of investment advisory contracts
- Performance of individual discretionary investment management contracts
- List of fund managers responsible for investment trusts/discretionary investment management
- Information on fund-to-fund transactions
- List of stakeholders
- List of transactions with stakeholders
- List of subcontractors
- Brokers' rankings

[IT system]

- IT systems plan and operational structure
- Overview of IT systems (functions, components and installation)
- IT systems management (planning, development and operation)
- Incident management and emergency response
- Outsourcing

[Financial information]

- Business report
- Account settlement status report

- Business condition for the current fiscal year
- Tax return documents
- Supplementary books for accounting-related matters

Investment Management Companies (Investment Corporations)

[General information]

- Company history
- Company brochure
- Organizational chart (including descriptions of each division's function and the number of staff allocated)
- Seating arrangements
- Group structure
- Officers (list, responsible areas, dual positions, etc.)
- Information on shareholders (owners of invested assets)
- Articles of incorporation, organizational regulations, and rules on division of responsibilities
- Company regulations
- Management plan (including management issues and measures for those issues)
- Compliance manual/operations manual

[Meeting materials]

- List of meeting and committee materials
- Requests for internal approval
- Materials and minutes of the board of directors
- Materials and minutes of the executive committee
- Materials and minutes of the audit and supervisory board
- Materials and minutes of meetings related to internal control

[Internal control]

- Information related to accidents
- Information related to litigation
- Information on the processing of error correction
- Information related to administrative errors
- Information regarding the handling of complaints
- Internal audit
- External audit
- Internal penalty
- Materials submitted to administrative organs and SROs
- General information related to management agreements
- Company brochure for stakeholders

- List of purchased properties
- List of buyers/transferees of properties
- List of appraisers
- Changes in property management company/building maintenance company
- Documents regarding important information
- List of officers and other employees
- List of retired employees and employees on secondment

Investment Advisory and Agency Business Operators

[General information]

- Company history
- Company brochure
- Organizational chart (including descriptions of each division's function and the number of staff allocated)
- Seating arrangements
- Officers (list, responsible areas, dual positions, etc.)
- A copy of the company registration certificate
- Articles of incorporation, organizational regulations, and rules on division of responsibilities
- Company regulations
- Management plan (including management issues and measures for those issues)
- Compliance manual/operations manual

[Meeting materials]

- List of meeting and committee materials
- Requests for internal approval
- Materials and minutes of the board of directors
- Materials and minutes of the executive committee
- Materials and minutes of the audit and supervisory board

[Statutory records and books]

- List of statutory records and books
- Record of advice
- Statutory documents
- Customer files
- List of customers classified by member category
- Daily trial balance sheet
- Itemized list of investment advisory fees unpaid for a long time
- Information regarding transactions with large customers

[Internal control]

- Documents presenting application of a cooling-off period and cancellation of contracts
- Information related to accidents
- Information related to litigation

- Information on the processing of error correction
- Information related to administrative errors
- Information regarding the handling of complaints
- Internal audit
- External audit
- List of officers and other employees
- List of retired employees and employees on secondment

[Financial information]

- Business report
- Account settlement status report
- Business condition for the current fiscal year
- Tax return documents
- Supplementary books for accounting-related matters