

**【 Sample entry 】**

**\* This Sample entry is for "A person who has made the notification for new SPBQII operation" or "An existing operator who has submitted Additional Notification under the Supplementary Provisions of the Act" after the Revised Act took effect in March 1, 2016.**

**Amendment of Notification for Specially Permitted Businesses  
for Qualified Institutional Investors, etc.**

mm/dd/yyyy

To: The Director-General of the Kanto Local Finance Bureau

Notifier: Address:  
Phone:  
Name of Business:  
Name:

(\*Name and Title of Representative in the case that Notifier's legal status is a corporation, etc. )

Person performing clerical work

Postal code:  
Address:  
Phone:  
Name of business,  
name of person in charge:

**When person performing clerical work is a juridical person, etc. in Japan, enter this information in Japanese if available.**

- For the change of Officer, describe the changed matters of (No.4) page in this Form, and make sure to attach updated (No.4) page to this Notification. Also attach necessary documents such as Resume, Pledge Statement, etc. of the Officer in addition to a copy of registration certificate.
- For the change of the address of Principal Business Office, attach the updated (No.2) and (No.4) pages. Also attach the Certificate of Registered Matters.

I/We hereby provide the changes of following notified matters set out below in accordance with the provision of Article 63 (8) of the Financial Instruments and Exchange Act.<sup>i</sup>

	(No. 4)	
	Before change	After change
Contents of change	(No. 4) Change of Officer Thomas Brown, Director	(Retired)  Robert Westwood, Director (Newly appointed)
Date of change	mm/dd/yyyy	
Reason for change	Due to the resolution of .....	

**(Example) Enter (No. 4) for the change of Officers.**

**\* (Attachments) Update the related page(s) of Notification Form for SPBQII with new information and make sure to attach the page(s) to this form.**

<sup>i</sup> The provision of Article 63 (8) of the Act is also applied pursuant to the provisions of Article 2 (2) of the Supplementary Provisions of the Act for Partial Revision of the Financial Instruments and Exchange Act ("the Supplementary Provisions FIEA") (Act No. 32 of 2015) in the case of a person that conducts Specially Permitted Business for Qualified Institutional Investors, etc. (SPBQII) under the Former Act specified under Article 2(1) of the Supplementary Provisions FIEA; or the provision of Article 63 (8) of the Act is also applied pursuant to the provisions of Article 48 (3) or (7) of the Supplementary Provisions of the Act to Partially Amend the Securities and Exchange Act ("the Supplementary Provisions SEA") (Act No. 65 of 2006) in the case of a person that conducts Specially Permitted Investment Management Business (SPIMB) specified under Article 48 (1) of the Supplementary Provisions SEA.