

**Check List for the submission of Notification Form
for Special Business Activities for Qualified Institutional Investors, etc.**

- See Entry examples (PDF) for Notification Form for Special Business Activities for Qualified Institutional Investors, etc. posted on the Kanto Local Finance Bureau's website for more details.

(No.1) (Front Page of the Notification Form)	
<input type="checkbox"/>	1. Date of Notification
<input type="checkbox"/>	2. To: The Director-General of the Kanto Local Finance Bureau
<input type="checkbox"/>	3. Address * Enter the address of the location where your actual business is operated as the Principal Business Office. Be sure to include the building name and floor.
<input type="checkbox"/>	4. Phone
<input type="checkbox"/>	5. Name of Business, Name of Applicant *Enter FURIGANA if the Name of Business and Applicant's name are written in Japanese characters.
(No.2) (Exhibit 1: Status of the person who has submitted an application regarding Specially Permitted Businesses for Qualified Institutional Investors, etc. (SPBQII))	
<input type="checkbox"/>	1. Name of Business/Name of applicant * Make sure to enter Name of Business/Name of applicant. (In case of a juridical person, name of the representative is not required)
<input type="checkbox"/>	2. (As of mm/dd/yyyy) *Enter the same date of Page (No.1)
<input type="checkbox"/>	3. Name and Title of Representative * Enter FURIGANA if the name is written in Japanese characters.
<input type="checkbox"/>	4. Business category *Enter "○" to Private placement and/or Investment management.
<input type="checkbox"/>	5. Principal business office * Be sure to include the building name and floor.
<input type="checkbox"/>	6. URL of website *Enter "Not applicable" if applicant does not have any website.
<input type="checkbox"/>	7. Type of other business to be conducted by person to notify * Enter the businesses other than SPBQII operation in which the Notifier is currently engaged.
<input type="checkbox"/>	8. Amount of capital or total contribution * In the case of a foreign corporation entering an amount in another currency than yen, please be sure to specify the unit of the currency.
(No.3) (Exhibit 2: Status of the rights specified in Article 2(2)(v) or (vi) of the FIEA related to SPBQII)	
<input type="checkbox"/>	1. Name of Business/Name of applicant * Make sure to enter Name of Business/Name of applicant. (In case of a juridical person, name of the representative is not required)
<input type="checkbox"/>	2. (As of mm/dd/yyyy) *Enter the same date of Page (No.1)
<input type="checkbox"/>	3. Name of the Invested Business Equity
<input type="checkbox"/>	4. Type of the Invested Business Equity (In case the notifier is a corporation in a foreign country or a person residing in a foreign country and notifying the funds based on laws and regulations of a foreign state, enter "Rights based on laws and regulations of a foreign state")
<input type="checkbox"/>	5. Details of the Invested Business * Describe the contents according to the instructions on Table 1 of Entry examples (PDF).
<input type="checkbox"/>	6. Type of business
<input type="checkbox"/>	7. Type of the QII * Describe the type and number according to the instructions on Table 2 of Entry examples (PDF).
<input type="checkbox"/>	8. Number of the QII
<input type="checkbox"/>	9. Existence of investors other than QII
<input type="checkbox"/>	10. Existence of persons specified under the items of Article 233-3 *Enter "yes" if the investors include those added under a special clause for venture funds.
<input type="checkbox"/>	11. Name or name of business of the certified public accountant or auditing firm *Enter this section if you entered "yes" to above 10. Otherwise enter only "-".
<input type="checkbox"/>	12. Names of business or names of all QIIs *Enter names of business or names of all QIIs.
(No.4) (Exhibit 3: Status of corporate officers and employees specified under a Cabinet Order, and business offices where SPBQII is operated)	
<input type="checkbox"/>	1. Name of Business/Name of applicant * Make sure to enter Name of Business/Name of applicant. (In case of a juridical person, name of the representative is not required)

<input type="checkbox"/>	2. (As of mm/dd/yyyy) *Enter the same date of Page (No.1)
<input type="checkbox"/>	3. Officers and employees specified under a Cabinet Order *Enter the name of executing person, etc. if the corporate officer is a juridical person.
<input type="checkbox"/>	① Personal or company name * Enter FURIGANA if the name is written in Japanese characters.
<input type="checkbox"/>	② Organizational position
<input type="checkbox"/>	③ Type of the employee specified by a Cabinet Order
<input type="checkbox"/>	4. Status of the sales branch or business office where SPBQII is operated
<input type="checkbox"/>	① Name *Enter also the "Registered address of the head office" if the "Principal business office" is not located at such address.
<input type="checkbox"/>	② Location * Be sure to include the building name and floor.
<input type="checkbox"/>	③ Phone
<input type="checkbox"/>	5. Status of Representative in Japan or Agents in Japan
<input type="checkbox"/>	① Name or name of business *Enter "Not applicable" if the applicant is a Japanese corporation or an individual who has residency in Japan.
<input type="checkbox"/>	② Location or address * Be sure to include the building name and floor.
<input type="checkbox"/>	③ Phone

**List of Attachments for Notification Form
for Special Business Activities for Qualified Institutional Investors, etc.**

(□ Certificates must be less than three months old since the date of issuance)

Common attachments for all notifiers				
1. Documentation that verifies the amount, etc.			<u>Grounds laws and ordinances</u>	
□	(Submit when all of the Qualified Institutional Investors are Investment Limited Partnerships (LPSs)) Document to be Submitted when All of the Qualified Institutional Investors are Investment Limited Partnerships (LPSs) *Attach any documents which would serve as evidence of the relevant amount		COOFIB: 238-2(1)(iii)(a); (iv)(a)	
□	(Submit this document even though the applicant does not have the contributions below.) Document Verifying the Total Amount of Money contributed by Closely Related Persons and/or Persons Equipped with Expertise and Experience *Attach any documents which would serve as evidence of the relevant amount		COOFIB: 238-2(1)(iii)(b); (iv)(b)	
Required for specific notifiers				
2. When the notifier is a corporation (corporation in Japan and corporation in a foreign country)			<u>Grounds laws and ordinances</u>	
□	Certificate of Registered Matters (of the corporation) * Certificate of All Historical Matters (In case of a General Incorporated Association, attach the documents that verify the amount of the fund (balance sheet, underwriting agreement, etc.))		FIEA: 63(3)(i)	
□	Articles of incorporation (of the corporation)			
□	Pledge statement (of the corporation)			
*Documents required for Officers and Important Employees				
When officer is a corporation				
□	□	Resume (of the officers and employees) (If the corporate officer is a corporation, attach a document showing the corporate history of such officer.)	COOFIB: 238-2(1)(i)	a
□	□	The abstract of residence certification (of the officers and employees) (If the corporate officer is a corporation, submit the certificate of registered information, etc. of such officer.)		b
□	-	<u>For Japanese National:</u> Personal Identification Certificate (of the officers and employees) (Document showing that a person is not bankrupt.) *Issued by municipalities of a person's permanent domicile <u>For Foreign National residing in Japan and abroad:</u> Affidavit (of the officers and employees) (Certifying document that the person does not fall under the following category) ▪ Any person who has been adjudicated as bankrupt and whose rights have not yet been restored under the applicable foreign laws and regulations.	COOFIB: 238-2(1)(i)	c,d
□	-	Pledge statement (of the officers and employees)		e
3. When the notifier is a corporation in a foreign country				
*Following items are required in addition to above listed in 2.				
* Documents required for the Representative in Japan				
□	<u>For Japanese National and Foreign National residing in Japan:</u> The abstract of residence certification (of the Representative in Japan) *Without Personal Identification Number ("My Number") (If the Representative in Japan is a corporation, submit the certificate of registered information, etc. of such representative.)		(Or a notarized document in lieu thereof)	b
□	<u>For Japanese National:</u> Personal Identification Certificate (of the Representative in Japan) (Document showing that a person is not bankrupt.) *Issued by municipalities of a person's permanent domicile			c,d

<input type="checkbox"/>	<u>For Foreign National residing in Japan:</u> Affidavit (of the Representative in Japan) (Certifying document that the person does not fall under the following category) ▪ Any person who has been adjudicated as bankrupt and whose rights have not yet been restored under the applicable foreign laws and regulations.			
<input type="checkbox"/>	Pledge statement (of the Representative in Japan)			e
4. When the notifier is a person (resident in Japan and person residing in a foreign country)				
<input type="checkbox"/>	Pledge statement (of the individual)	FIEA: 63(3)(ii)		
<input type="checkbox"/>	Resume (of the individual and employees)			a
<input type="checkbox"/>	The abstract of residence certification (of the individual and employees)			b
<input type="checkbox"/>	<u>For Japanese National:</u> Personal Identification Certificate (of the individual and employees) (Document showing that a person is not bankrupt.) *Issued by municipalities of a person's permanent domicile <u>For Foreign National residing in Japan:</u> Affidavit (of the individual and employees) (Certifying document that the person does not fall under the following category) ▪ Any person who has been adjudicated as bankrupt and whose rights have not yet been restored under the applicable foreign laws and regulations. <u>For Foreign National residing in abroad:</u> Affidavit (of the individual and employees) (Certifying document that the person does not fall under the following category) ▪ Any person who has been adjudicated as bankrupt and whose rights have not yet been restored under the applicable foreign laws and regulations.	COOFIB: 238-2(1)(ii) FIEA: 63(3)(ii)		c,d
<input type="checkbox"/>	Pledge statement (of the individual and employees)			e
5. When the notifier is a person residing in a foreign country. *Following item is required in addition to above listed in 4.				
* Documents required for the Agent in Japan				
<input type="checkbox"/>	<u>For the Agent (both Japanese National and Foreign National residing in Japan):</u> The abstract of residence certification (of the agent) *Without Personal Identification Number ("My Number") (If the Agent in Japan is a corporation, submit the certificate of registered information, etc. of such agent.)	COOFIB: 238-2(1)(ii)(b)		
6. In case when a person enter his/her former name next to the current full name in parentheses in the "Name" section of the notification				
<input type="checkbox"/>	Document to prove the former name (of the person concerned)	COOFIB: 238-2(1)(i)(c); (ii)(c)		
Others (Reference Materials)				
*Our Authority may request the notifier to submit the following documents on a voluntary basis when deemed necessary and appropriate.		<u>Grounds laws and ordinances</u>		
<input type="checkbox"/>	In case when the Qualified Institutional Investor is only an Investment Limited Partnership, Certificate of Registered Matters of the Investment Limited Partnership (*Hard copy of the Certificate is acceptable)	Guidelines: IX-1-2-(1)-(i) IX-2-1-(1)-(v)		
<input type="checkbox"/>	Reference materials such as Fund scheme flow chart, etc.	Guidelines: IX~		
<input type="checkbox"/>	If notified business office, etc. is a leased office, relevant documents of such leased office (copy of lease contract, sketch to show the site of the leased room, etc.)	Guidelines: IX-2-1-(1)-(viii)		

<Abbreviations>

FIEA = Financial Instruments and Exchange Act (金融商品取引法)

COOFIB=The Cabinet Office Ordinance regarding Financial Instruments Business, etc. (金融商品取引業等に関する内閣府令)

Guidelines = Comprehensive Guidelines for Supervision of Financial Instruments Business Operators, etc. (金融商品取引業者等向けの総合的な監督指針)