

**Notification to be submitted when the violation of laws, etc.  
of an individual person, etc.  
falls under disqualifying factors of SPBQII operation**

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:

I hereby submit the notification as I fall under the provision of Article 29-4 (1)(iii) of the Financial Instruments and Exchange Act as described below in accordance with the provisions of Article 63-2 (3)(iii) of the Act and Article 241-2(i) of the Cabinet Office Ordinance concerning financial instrument businesses.

Name of the person concerned	
Facts, etc. that fall under the provision	
Date of the occurrence	mm/dd/yyyy

Attachments:

- Documents that describe the details of the facts that fall under the provision.