

**Notification to be submitted when the violation of laws, etc.
of Officers or Important Employees of a juridical person
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:

We hereby submit the notification as our Officers or Important Employees fall under the provision of Article 29-4 (1)(ii) (b) to (i) 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(ii) 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.