

**Notification of Violation of Laws, etc. (Accident, etc.)
of Officers and Employees of the Notifier of
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:

We hereby submit the notification as our Officers and Employees committed a violation of laws, etc. (hereafter “Accident, etc.”) in accordance with the provisions of Article 63-2 (3)(iii) of the Financial Instruments and Exchange Act and Article 241-2(iv)(v) [when the notifier knew about the Accident, etc. (iv); when detail of the Accident, etc. became clear to the notifier (v); or when both of them apply (iv) and (v)] of the Cabinet Office Ordinance concerning financial instrument businesses.

1. Facts about the Accident, etc.

- (1) Name of business office or office where the Accident, etc. occurred.
- (2) Name and title of Officers and Employees who caused the Accident, etc.
- (3) Outline and the detailed explanation of the Accident, etc.

2. Analysis of the cause of the Accident, etc.

3. Countermeasures and remedial measures.