**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.