**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.