

Form 20 shall be submitted in Excel format, which is available for download from the website of the Kanto Local Finance Bureau.

Form 20 (Article 236, 239)

Sample entry

(Letter)

(No.1)

Notification Form for Special Business Activities for Qualified Institutional Investors, etc.

To: The Director-General

Be sure to end these addresses with the country names. This rule applies wherever addresses appear on the notification and attachment papers.

Date: mm/dd/yyyy

Applicant: Address:

(Principal Business Office)
XXX, Fifth Avenue, New York, NY
10XXX, USA

*Please use the latest name of business, address and representative that are recorded in the corporate registration, etc.

*If there is no actual sales office at the registered head office address, you need to indicate the address of the location where your actual business is operated as the principal business office.

*Be sure to include the building name, floor and in Care of (c/o) Name.

(Registered Office)
c/o Honest Corporate Services Limited
PO Box XXX, Happy House,
Grand Cayman, KY-11XX, Cayman Islands

Phone: +1-212-555-XXXX

Name of Business: ABCD VI GP LLC

Name of Applicant*: Thomas Brown
Executive Vice President of ABCD Investment Management Limited,
Member of ABCD VI GP LLC

*Name and Title of Representative in the case that applicant legal status is corporation, etc. (including partnership, trust, or other organization)

*If the applicant outsources the submission to a third party, be sure to include the name of the person performing clerical work.
*The Kanto Local Finance Bureau may ask the person bringing the notifications and performing clerical work to present identification documents.

Person performing clerical work
Postal code: 100-XXXX
Address: 1-2-3 Tikikaku-cho, Chuo-ku, Tokyo
Phone: 03-1234-XXXX
Name of business, name of person in charge:
First Tokyo Law Office
Person in charge: Taro Osaka

(Note)

1. If an organization other than a corporation operates a Specially Permitted Business for Qualified Institutional Investors, etc. (SPBQII), the name of the representative or the administrator (limited to a corporation or individual; names of all if more than one individual serves in these roles) must be entered as the notifier along with the name of the relevant group and its applicable statutory provisions.

*If the entity that actually operates the SPBQII (e.g., the operator of a fund) is a partnership such as a Limited Liability Partnership, the names of all of the partners must be notified.

2. A person who has changed his/her surname may quote his/her former name next to the current full name in parentheses in the "Name" section.

Status of the person who has submitted notification regarding Specially Permitted Businesses for Qualified Institutional Investors, etc. (SPBQII)	See Exhibit 1
Status of the rights specified in Article 2(2)(v) or Article 6 of the FIEA related to SPBQII	See Exhibit 2
Status of the corporate officers and employees specified under a Cabinet Order, and the sales branches or business offices where SPBQII is operated	See Exhibit 3

Attachment (Certificates must be less than three months old since the date of issuance)

If you submit Form 20 via the Financial Services Agency Electronic Application and Notification System, attachments may be submitted in PDF format or as image files generated via a scanner. Original affidavits and other attachments are no longer required by postal mail, unless the clarity of the submitted files is deemed insufficient.

■【If the notifier is a juridical person】

- Copy of the corporate registration, etc. (In case of a general corporate judicial person, attach the documents that verify the amount of the fund (balance sheet, underwriting agreement, etc.))
- Articles of incorporation.
- Copy of the residence certificate (one that does not bear Personal ID Number) or the equivalent certifications from foreign competent authorities of the corporate officers and major employees (*Note: If the corporate officer is a corporation, submit the certificate of registered information, etc. of such a corporate officer.)
- Resume of the corporate officers and the major employees (*Note: if the corporate officer is a corporation, attach a document showing the corporate history of such corporate officer.)
- Pledge statement of the notifying corporation
- Pledge statement by the corporate officers and major employees, Personal Identification Certificate issued by municipalities.

<Attachment related to "representative in Japan" for foreign corporations>

- Copy of residence certificate (one that does not bear Personal ID Number) , pledge statement and Personal Identification Certificate issued by municipalities.
- * If the representative in Japan is a corporation, submit the certificate of registered information, etc. of such representative.

■【If the notifier is a person】

- Resumes, copies of residence certificates (ones that does not bear Personal ID Number), pledge statements and Personal Identification Certificate issued by municipalities of the notifier and Important Employees

<Attachment related to "agent in Japan" for foreign person>

- Copy of residence certificate (one that does not bear Personal ID Number)
- * If the agent in Japan is a corporation, submit the certificate of registered information, etc. of such agent.

■【Common items】

- Documentation that verifies the "total amount of investment in the Qualified Institutional Investor" and the "total amount of borrowing by the Qualified Institutional Investor" if the Qualified Institutional Investor is only an Investment Limited Partnership.
- Documentation that verifies "total amount of investment" and "the amount of investment by (a)persons who are specified by the Cabinet Office Ordinance on Financial Instruments Business, etc. Article 233-2(1)(ii) (excluding parent company, etc.) to (vi) as being in a close relationship with the notifier and (b)persons specified under the Cabinet Office Ordinance on Financial Instruments Business, etc., Article 233-3 as having expertise and experience in matters related to investment."

(No.2)

(Exhibit 1: Status of the person who has submitted an application regarding Specially Permitted Businesses for Qualified Institutional Investors, etc. (SPBQII))

Make sure to enter name of business or name of applicant.

Name of Business/Name of applicant **ABCD VI GP LLC**

(As of **mm/dd/yyyy**)

Representative		Business category		Principal business office			URL of website	Type of other business to be conducted by person to notify	Amount of capital or total contribution
Name of Applicant	Title	Private placement	Investment management	Name	Address	Phone			
Thomas Brown	Executive Vice President of ABCD Investment Management Limited, Member of ABCD VI GP LLC	○	○	Principal Business Office	XXX Fifth Avenue, New York, NY 10XXX, USA	+1-212-555-XXXX	http://www.xyzz.com	Management consultant, real estate transaction service	USD 1,000,000

*The address of the "Principal business office" must be the actual location where the business is operated.

*Note: Be sure to include the building name and floor.

*In the case of a foreign corporation entering an amount in another currency than yen, please be sure to specify the unit of the currency.

(Note)

1. In the "Business category" section: If the person to notify conducts a business related to acts specified in FIEA Article 63(1)(i) , put a circle ("○") in the "Private placement" column; if the person to notify conducts a business related to acts specified in (ii) of the same Act paragraph, put a circle ("○") in the "Investment management" column.
2. The "Representative" and "Amount of capital or total contribution" columns must be entered if the applicant is a juridical person.
3. A person who has changed his/her surname may quote his/her former name next to the current full name in the parentheses in the "Name of Applicant" section.

*Enter answers that you expect to be true if they are not yet decided. (Make sure to report any changes that subsequently take place to entries provided as expected outcomes.)

Make sure to enter name of business or name of applicant.

(No.3)

(Exhibit 2: Status of the rights specified in Article 2(2)(v) or (vi) of the FIEA related to SPBQII)

Name of Business/Name of applicant ABCD VI GP LLC

(As of mm/dd/yyyy)

Name of the Invested Business Equity	Type of the Invested Business Equity	Details of the Invested Business		Type of business		Type of the QII	Number of the QII	Existence of investors other than QII	Existence of persons specified under the items of Article 233-3	Name or name of business of the certified public accountant or auditing firm	Names of business or names of all QIIs
		(Type of instrument)	(Contents)	Private placement and/or investment management	Type of notification						
EFGH Silent Partnership	Silent partnership contract	Real estate-related fund	*Describe the contents according to the instructions on Table 1.	Investment management	Old Article 63	Individual (1), Business corporation, etc. (1)	2	None	None	-	Michael Green, QRST Co., Ltd.
IJKL Fund No. 1	Investment Limited Partnership contract	Hedge_fund		Investment management	Supplementary Provision Article 48	-					-
MNOP Investment Limited Partnership	Investment Limited Partnership contract	Venture fund		Private placement and investment management	Article 63	Financial instruments business operators, etc. (1)	1	Yes	Yes	UVWX Auditing Corporation	YZAB Securities Co.

*Select and enter from the types of QIIs listed in Table 2.
*Enter between parentheses the number of QIIs individually by type.

*In the left column ("Type of instrument") of the "Details of the Invested Business Equity" column, please specify the instrument types listed in Table 1. In the right column ("Contents"), please describe the contents according to the instructions on Table 1.

*Funds that fall under "Supplementary Provisions Article 48" (SPIMB) are required to enter only the columns from "Name of the Invested Business Equity" to "Type of business."

*Enter "yes" if the investors include those added under a special clause for venture funds. Please also enter the name or name of business of the certified public accountant or auditing corporation that will perform accounting audits.

*Enter names of business or names of all QIIs.

(Note)

1. Enter answers that you expect to be true if they have not yet been decided.
2. Select and enter, in the "Type of the Invested Business Equity" column, from "Partnership contract under the Civil Code," "Silent partnership contract," "Investment Limited Partnership contract," "Limited Liability Partnership contract," "Membership rights of an incorporated association," "Rights based on laws and regulations of a foreign state" and "Other rights." If the business equity to be invested consists of electronically recorded transferable rights or rights specified under Article 1-12 (ii) of Order for Enforcement of the Financial Instruments and Exchange Act, also enter either "electronically recorded transferable rights" or "rights specified under Article 1-12 (ii) of Order for Enforcement of the Financial Instruments and Exchange Act."
3. In the "Details of the Invested Business Equity" column, enter the specific details of the business that will manage the money and other assets being invested or contributed.
4. In the "Private placement and/or investment management" section: **(a)** If you operate a business related to acts specified in FIEA Article 63(1)(i), specify "Private placement"; **(b)** if you operate a business related to acts specified in Item (ii) of the same paragraph of the Act, enter "Investment management"; **(c)** if you operate both, enter "Private placement and investment management."
5. In the "Type of notification" column: Enter **(a)** "Supplementary Provisions Article 48" if the business operating regarding the stated Invested Business Equity is Specially Permitted Investment Management Business (SPIMB) specified under Article 48(1) of the Supplementary Provisions of the Act to Partially Amend the Securities and Exchange Act (Act No. 65 of 2006); **(b)** "Old Article 63" if the business operating is Specially Permitted Businesses for Qualified Institutional Investors (SPBQII) under item (ii) of old Act specified under Article 2(1) of the Supplementary Provisions of the Act for Partial Revision of the Financial Instruments and Exchange Act (Act No. 32 of 2015); or **(c)** "Article 63" if the business to be operated is related to acts specified under Article 63(1)(i) or (ii) of the FIEA revised by the foregoing Act.
6. In the "Type of the Qualified Institutional Investor (QII)" column: Select and enter from among "Financial Instruments Business Operators, etc." "Financial institutions, etc." "Investment Limited Partnership" "Business corporation, etc." "Individual," "Foreign corporations or foreigners, etc." and "Other" that accurately describe **(a)** "the Qualified Institutional Investors to become counterparties to the private placement of the said Invested Business Equity," or **(b)** "the Qualified Institutional Investors to invest or contribute their money or other assets."

The definition of Qualified Institutional Investors is as follows:

(1) "Financial instruments business operators, etc."

Persons specified under Article 10(1)(i) or (ii) of the Cabinet Office Ordinance Regarding the Definitions Specified under Article 2 of the FIEA (Finance Ministry Ordinance No. 14 in 1993) (hereinafter "Cabinet Office Ordinance Regarding Definitions" in 6).

(2) "Financial institutions, etc."

Persons specified under Items (iv), (v), (vii)-(xvii), Item (xix) or Item (xxi) of Article 10(1) of Cabinet Office Ordinance Regarding Definitions; and Specified Succeeding Company of Article 10(1) of Cabinet Office Ordinance Regarding Definitions as applied pursuant to provisions of Article 36 of the Supplementary Provisions of the Ordinance for Enforcement of the Act on Enhancement and Restructuring of Credit Business Conducted by The Norinchukin Bank and Specified Agricultural and Fishery Cooperatives, etc. (Ordinance of the Ministry of Finance and Ministry of Agriculture, Forestry and Fisheries No. 1 of 1997)

(3)"Investment Limited Partnership"

Persons specified under Items (xviii) of Article 10(1) of Cabinet Office Ordinance Regarding Definitions

(4)"Business corporations, etc."

Persons specified under Item (xx), Item (xxiii)(a) or Item (xxiii-2) of the same paragraph (the persons set forth in Item (xxiii)(a) are limited to residents (residents specified under the first sentence of Article 6(1)(v) of the Foreign Exchange and Foreign Trade Act (Act 228 of 1949) ; same applies hereafter in 6))

(5)"Individuals"

Persons specified under Article 10(1)(xxiv) of Cabinet Office Ordinance Regarding Definitions (limited to residents)

(6)"Foreign corporations or foreigners, etc."

Persons specified in Items (iii), (vi), (xxii), (xxiii)(a), (xxiii)(b), (xxvi)(a), (xxiv)(b) or Items (xxv)-(xxvii). Provided that **(a)** person specified in Items (xxiii)(a) and (xxvi)(a) are limited to non-residents (non-residents specified in Article 6(1)(vi) of the Foreign Exchange and Foreign Trade Act) and **(b)** person specified in Items (xxiii)(b) and (xxvi)(b) are limited to persons who are operating partners, etc., related to contracts based on foreign laws.

(7)"Other"

Persons who are specified under Cabinet Office Ordinance Regarding Definitions Article 10(1)(xxiii)(b) or (xxiv)(b) (excluding persons who are operating partners related to contractors based on foreign laws)

7. In the "Existence of investors other than Qualified Institutional Investors (QII)" column: Specify "Yes" in the case of **(a)** private placement of the said Invested Business Equity with persons other than Qualified Institutional Investors, or **(b)** management of money and other assets invested or contributed by persons other than Qualified Institutional Investors; otherwise enter "None."
8. In the "Existence of persons specified under the items of Article 233-3" column: Specify "Yes" in the case of **(a)** private placement of the said Invested Business Equity with persons specified under the Paragraphs of Article 233-3, or **(b)** management of money and other assets invested or contributed by persons specified under the Paragraphs of Article 233-3; otherwise enter "None."
9. In the "Name or name of business of the certified public accountant or auditing firm" column: If you entered "Yes" under the "Existence of persons specified under the items of Article 233-3" column, specify the name or name of business of the certified public accountants or auditing firms who will audit profit and loss statements and balance sheets or documents substituting these of the Invested Business related to the stated businesses.
10. In the "Names of business or names of all Qualified Institutional Investors" column: Enter the Names of business or names of **(a)** all Qualified Institutional Investors to become a counterparty in the private placement of the said Invested Business Equity, or **(b)** all Qualified Institutional Investors to invest or contribute money or other assets.

Table 1 【Types of instruments and description】

		Categories	Explanation	Instructions for filling-out the contents form	
1	Hedge fund		Hedge funds aim to expand returns on investments by managing invested assets through leveraged finance, derivatives or long or short positioning, etc.	Choose one of the investment strategies listed below.	
				Multi-strategy	Combination of multiple strategies
				Equity long-short	A strategy combining long positions on groups of stocks with price-rise potential and short positions on those with price-decrease potential
				Equity market neutral	A strategy in which a long position on individual stocks is held as the core portfolio portion, while market-falling risk is hedged by using futures and options, thus seeking to lead the portfolio to beat market indices and maximize absolute gains
				CB arbitrage	A strategy that seeks profit opportunity in price differences between convertible bonds issued by businesses and other securities
				Bond arbitrage	A type of relative-value strategy in which expensive bonds are shorted while a long position is held on cheap bonds to seek profit opportunity in the process of temporary price distortions returning to reasonable levels
				Event-driven	A strategy to seek gains in price changes driven by events such as corporate mergers, organizational/corporate restructure, liquidation, bankruptcy, etc.
				Emerging market	A strategy that mainly targets stocks and bonds in emerging investment markets.
				Global macro	A strategy that seeks gains regardless of which way the market is heading by active investment through spot, futures and derivative transactions, seeking investment opportunities in distorted markets, market dilemmas and market direction in every global market segment including currencies, interest rates, stocks, commodities, etc.

			Managed futures	A strategy in which investment is made in futures markets in various countries (including stocks, interest rates, commodities and currencies) and transactions are conducted systematically based on price and technical indicators, etc.
			Funds of hedge funds	A strategy to diversify investment by investing in multiple hedge funds
			Other (specify details of the investment strategy)	A strategy that does not fall under any of above
2	Activist fund	Activist funds mainly acquire a few percent to a few tens percent of the outstanding shares of listed companies in the secondary market, utilize their rights as shareholders to increase dividend payouts or corporate value, thereby increasing the share price, and capturing capital gain.	Describe the basic investment policy and strategy, including such details as the industry sectors of key investee companies and regional characteristics.	
3	Mezzanine fund	In a tranching corporate financing deal, mezzanine funds focus on investing in mezzanine debt ranked between a senior tranche funded via a bank loan, etc., and an equity portion by PE funds, etc.	Describe the investment policy and strategy, including such details as the industry sectors of key investee companies and types of assets targeted for investment (e.g., class shares, subordinated loans, subordinated bonds, etc.).	
4	Fund of funds	Instead of direct investment in shares, bonds, etc., funds of funds invest in funds that invest in shares, bonds, etc.	Describe the basic investment policy and strategy, including such details as the types, risk characteristics, and regional characteristics of the key investee funds.	

5	Content fund	Content funds obtain assets from investors who do not engage in content businesses including movies, games and animation, invest the assets in such businesses and aim to gain from profits generated by the businesses through the acquisition of copyrights, etc.	Describe the basic investment policy and strategy, including such details as the types (e.g., film, game, anime, etc.) and regional characteristics of the key contents targeted for investment.
6	Commodity fund	Funds in which a fund-structuring operator collects funds from investors, manages the funds thus collected by investing mainly in commodities, and distributes the proceeds obtained through such investment to investors	Describe the basic investment policy and strategy, including such details as the types of key products targeted for investment (including whether they are cash or derivative investments), the geographical areas targeted for investment, etc.
7	Asset specific fund (including enterprise fund)	Includes funds that invest in specific asset classes such as racehorses, pop idols, and wine and enterprise funds that invest in hotel, restaurant and retail businesses.	Outline the basic investment policy and strategy, including such details as the types of investment targets (e.g., racehorses, pop idols, wines, etc.), business areas (e.g., hotel management, operation of restaurants/retail shops, etc.), geographical areas of investment, etc.

8	Buyout funds	“Buyout funds” generally refers to those investing in more than 50% of the shares of unlisted companies, participate in management for a considerable time (three to five years) to increase the enterprise value of the invested companies through restructuring, improvement of efficiency of business operations and changes in management strategies, and ultimately realize capital gains through IPO or share sales.	Outline the basic investment policy and strategy (e.g., the buyout investment method), including such details as the industry sectors of the key investee companies, geographical areas of investment, etc.
9	Turnaround investment fund	Turnaround investment funds invest in companies with a deteriorating financial condition and on the verge of bankruptcy, and gain profits by helping these companies' turnaround their businesses.	Outline the basic investment policy and strategy, including such details as the industry sectors of key investee companies and businesses, regional characteristics, etc.
10	Real estate - related fund	Funds that acquire or develop real estate assets (or real estate trust beneficiary rights) and seek to profit by receiving rents and other forms of revenues from such real estate assets (or real estate trust beneficiary rights)	Describe the basic investment policy and strategy, including such details as the types of real estate assets targeted for investment (e.g., commercial facilities, offices, residential properties, hotels, logistics facilities, etc.), geographical areas of investment, etc.
11	SRI fund	SRI funds invest in companies that are actively involved in activities related to environmental measures and social contribution.	Describe the basic investment policy and strategy, including such details as the industry sectors of the key investee companies, the types of assets targeted for investment (e.g., environmental protection, overview of social contribution activities), etc.

12	Venture fund	Venture funds acquire few percent to 50 percent of the outstanding shares of unlisted venture companies with high growth potential, increase these companies' enterprise value via hands-on support during the start-up phase, and gain benefit from the sale of shares upon IPO.	Describe the basic investment policy and strategy, including such details as the industry sectors of the key investee companies, growth stages of investee companies (e.g., seed, early, middle, late), etc.
13	Social investment fund	Social investment funds invest in public infrastructure and areas which are essential economic activities of society, including roads, bridges, power transmission wires and schools.	Describe the basic investment policy and strategy, including such details as the types and development methods of businesses and infrastructure development projects targeted for investment (e.g., roads, bridges, power grids, schools, etc.), geographical areas of investment, etc.
14	Secondary fund	Secondary funds purchase unlisted shares of investment targets of other funds and receive a transfer of other funds' rights in their investments.	Describe the basic investment policy and strategy, including such details as the industry sectors, characteristics and transaction methods of investee funds and companies, etc.
15	Other	Funds not applicable to any of 1-14 above	Describe the basic investment policy and strategy of funds that do not fall under any of the above categories, including such details as the key investment targets, risk characteristics, geographical areas of investment, etc.

Note:

* For a mother fund under a double-layered fund structure, please choose the same category as baby funds.

Table 2 【Type of the Qualified Institutional Investor】

Type	Relevant provisions, etc.
Financial Instruments Business Operator, etc.	Securities brokerage/investment management business 【Cabinet Office Ordinance Regarding Definitions (hereinafter abbreviated as "COORD" in this table) Article 10(1) Item (i)】 Investment corporation 【COORD Item (ii)】
Financial institutions, etc.	Banks 【COORD Item (iv)】
	Insurance companies 【COORD Item (v)】
	Shinkin banks, Federation of Shinkin Banks, labor banks, federations of labor banks 【COORD Item (vii)】
	Norinchukin Bank, Shoko Chukin Bank 【COORD Item (viii)】
	Credit cooperatives <notified>, federations of credit cooperatives, federations of agricultural cooperatives (that are permitted to handle deposits), etc. 【COORD Item (ix)】
	Regional Economy Vitalization Corporation 【COORD Item (x)】
	Organization for Supporting the Turnaround of Businesses Damaged by the Great East Japan Earthquake 【COORD Item (x)-2】
	Persons engaged in the management and investment of fiscal loan funds 【COORD Item (xi)】
	Government Pension Investment Fund 【COORD Item (xii)】
	Japan Bank for International Cooperation and Okinawa Development Finance Corporation 【COORD Item (xiii)】
	Development Bank of Japan, Inc. 【COORD Item (xiv)】
	Federations of agricultural and fisheries cooperatives that are able to accept deposits or savings as a part of business 【COORD Item (xv)】
	Call loan brokers 【COORD Item (xvi)】
	Stock companies engaged in the business activities listed in Article 17-3, paragraph (2), item (xii) of the Ordinance for the Enforcement of the Banking Act (capital of five hundred million yen or more) <notified> 【COORD Item (xvii)】
	Pension funds <notified>, pension fund associations 【COORD Item (xix)】
	Trust companies <notified> 【COORD Item (xxi)】
Investment Limited Partnership	Investment limited partnerships 【COORD Item (xviii)】
Business corporations, etc.	Organization for Promoting Urban Development 【COORD Item (xx)】
	Domestic corporations (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiii)(a)】
	Specific purpose companies <notified> 【COORD Item (xxiii)-2】
Individuals	Domestic individuals (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiv)(a)】

Foreign corporations or foreigners, etc.	Foreign investment corporations 【COORD Item (iii)】
	Foreign insurance companies, etc. 【COORD Item (vi)】
	Foreign trust companies <notified> 【COORD Item (xxii)】
	Foreign corporations (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiii)(a)】
	【Corporate GPs of foreign partnerships】 Operating partners of foreign partnerships, etc. (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiii)(b)】
	Foreign individuals (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiv)(a)】
	【Individual GPs of foreign partnerships】 Operating partners of foreign partnerships, etc. (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiv)(b)】
	Foreign financial institutions, etc. <notified> 【COORD Item (xxv)】
	Foreign country governments, etc. <notified> 【COORD Item (xxvi)】
	Foreign pension funds (with net assets totaling 10 billion yen or more) <notified> 【COORD Item (xxvii)】
Other	【Corporate GPs of domestic partnerships】 Partnerships, silent partnerships, limited liability partnerships (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiii)(b)】
	【Individual GPs of domestic partnerships】 Partnerships, silent partnerships, limited liability partnerships (with the balance of the securities held is 1 billion yen or more) <notified> 【COORD Item (xxiv)(b)】

(Exhibit 3: Status of corporate officers and employees specified under a Cabinet Order, and business offices where SPBQII is operated)

Make sure to enter name of business or name of applicant.

Name of Business/Name of applicant **ABCD VI GP LLC**

1. Officers and employees specified under a Cabinet Order

(As of mm/dd/yyyy)

*When entering corporate officers, enter the names of all persons who are deemed to have power equal to or greater than that of directors or executive officers to the corporation, regardless of the actual position name given to such people, such as "adviser" or "counselor," in addition to those included in the corporate registration.

*If you have important employees specified by a Cabinet Order (see note 2 below), enter the name of the persons. (If none, this does not need to be entered.)

*When the person engaging in Businesses Specially Permitted for Qualified Institutional Investors is an organization without judicial personality, describe a judicial person who is a member of such organization for the officer's information. As for the important employees specified by a Cabinet Order, enter such employees when the organization and/or the judicial person who is a member of the organization have appointed such positions.

Personal or company name:	Organizational position	Type of the employee specified by a Cabinet Order
Peter Smith	President & CEO	_____
James Miller	Corporate officer (In charge of law compliance)	Person who overheads operations related to providing guidance on compliance with laws
John Anderson	Corporate officer (In charge of investment management)	Person who heads the division that performs investment management
Matthew Tanaka	General manager of legal affairs	Person in a position to represent the authority of another that overheads law compliance operations
Maria Adams (Rodrigues)	General manager of investment management	Person who makes investment decisions based on analysis of the value of financial products, etc.
ABCD Investment Management Limited Thomas Brown, Executive	Representative employee	*Enter names down to the executing person row if the corporate officer is a judicial person.

(Note)

1. In the case of a foreign corporation, it is not necessary to enter the name of the representative in Japan (i.e., the person specified under FIEA Article 63(7)(i)(d); the same applies hereafter in this form) in above list; instead, provide the name entered in "3. Status of the representatives in Japan or agents in Japan."
2. In the "Type of the employee specified by a Cabinet Order" column: If the person is an "employee who oversees operations regarding provision of guidance to have employees comply with laws, etc., or other individuals with similar responsibility" or an "employee who oversees the division that performs investment management or other individuals with similar responsibility," enter the type in this column.
3. A person who has changed his/her surname may quote his/her former name next to the current full name in parentheses in the "Personal or company name" section.

*Make sure to include all of the business offices that perform SPBQII.

*Make sure to include the building name and floor.

2. Status of the sales branch or business office where SPBQII is operated

Name	Location	Phone
Principal business office	XXX Fifth Avenue, New York, NY 10XXX, USA	+1-212-555-XXXX
Singapore Branch	XX Warm Road, Singapore, 189XXX, Singapore	+65-633XXXXX
Registered office	c/o Honest Corporate Services Limited PO Box XXX, Happy House, Grand Cayman, KY-11XX, Cayman Islands	+345-1234XXXXX (c/o Honest Corporate Services Limited)

(Note)

Please enter the details of this section by the individual business offices.

*Enter also the "Registered address of the head office" if the "Principal business office" is not located at such address.

*If the notifier does not have a telephone in the office, fill in the number of other phone (including outsourcing company's phone) which is actually used for the communication to execute Specially Permitted Business for Qualified Institutional Investors, etc. (SPBQII) and the name of the holder of the phone line.

*Enter this section only if the applicant is a foreign corporation or an individual who has residency in a foreign country.
(Enter "not applicable" if the applicant is a Japanese corporation or an individual who has residency in Japan.)

*Be sure to include the building name and floor.

3. Status of representatives in Japan or agents in Japan

Name or name of business	Location or address	Phone
TOKUREI Advisors Co., Ltd. Takashi Suzuki	48th floor, SHOUKEN Tower 7-7-7 Tokurei-cho, Chuo-ku, Tokyo	03 -1234 - XXXX

(Note)

1. Enter the name of the representative in Japan if the applicant is a foreign corporation; the agent in Japan (i.e., a person specified under FIEA Article 63(7)(ii)(d)) if the applicant is an individual who has residency in a foreign country; otherwise leave it blank.
2. A person who has changed his/her surname may quote his/her former name next to the current full name in parentheses in the "Name or name of business" section.