

(Provisional English Translation)

Cabinet Office Order on Financial Instruments Business, etc. (Cabinet Office Order No. 52 of 2007)

(Special Provisions Concerning Preparation of Documents to be Submitted in English)

Article 350 (1) From among the documents set forth in the following items, those specified by the Commissioner of the Financial Services Agency by taking into consideration the contents and other circumstances concerned may be prepared in English in accordance with the Appended Forms specified respectively in those items:

- (i) the written application for registration under Article 5: Appended Form 1;
- (ii) the documents under Article 20, paragraph (1): Appended Form 1;
- (iii) the written application for a registration of change under Article 22, paragraph (1): Appended Form 1;
- (iv) the written notification of deposit under Article 25, paragraph (1): Appended Form 2;
- (v) the written notification of the conclusion of a guarantee contract under Article 27, paragraph (1): Appended Form 3;
- (vi) the written application for approval of change of guarantee contract under Article 27, paragraph (2): Appended Form 4;
- (vii) the written application for approval of cancellation of guarantee contract under Article 27, paragraph (2): Appended Form 5;
- (viii) the written notification of a change of guarantee contract under Article 27, paragraph (4): Appended Form 6;
- (ix) the written notification of the cancellation of a guarantee contract under Article 27, paragraph (4): Appended Form 7;
- (x) the notification of holding Subject Voting Rights under Article 36 (including cases where it is applied *mutatis mutandis* pursuant to Article 39; the same applies in item (viii) of the following paragraph): Appended Form 8;
- (xi) the notification under Article 38-2: Appended Form 8-2;
- (xii) the notification under Article 38-5: Appended Form 8-3;
- (xiii) the business report under Article 182, paragraph (1): Appended

- Form 12;
 - (xiv) the explanatory documents under Article 183, paragraph (1): Appended Form 15-2;
 - (xv) the notification under Article 244, paragraph (1): Appended Form 21; and
 - (xvi) the document under Article 244-2: Appended Form 21.
- (2) From among the following documents, those specified by the Commissioner of the Financial Services Agency by taking into consideration the contents and other circumstances concerned may be prepared in English:
- (i) the documents to be attached to a written application for registration under Article 5;
 - (ii) the written notification under Article 20, paragraph (1) and the documents specified in the items of that paragraph;
 - (iii) the written notification and documents under Article 21;
 - (iv) the document under Article 22, paragraph (2) and the documents set forth in the items of that paragraph;
 - (v) the written notification under Article 25, paragraph (2);
 - (vi) the written notification of the conclusion of a guarantee contract under Article 27, paragraph (1) and the documents to be attached to the written notification of a change of guarantee contract and written notification of the cancellation of a guarantee contact under paragraph (4) of that Article;
 - (vii) the written notifications under the paragraphs of Article 31;
 - (viii) the documents to be attached to the notification of holding Subject Voting Rights under Article 36;
 - (ix) the written notification under Article 69 and the documents specified in in the items of that Article;
 - (x) the written application for approval under Article 70, paragraph (1) and the document under paragraph (2) of that Article;
 - (xi) the written application and the documents attached thereto under Article 120;
 - (xii) the written application for approval under Article 190, paragraph (1), the documents set forth in the items of paragraph (2) of that Article, and the documents under paragraph (4) of that Article;
 - (xiii) the written application for approval under Article 191, paragraph

- (1), the documents set forth in the items of paragraph (2) of that Article, and the documents under paragraph (4) of that Article;
 - (xiv) the written notification under Article 201 and the documents specified in the items of Article 202;
 - (xv) the written notification under Article 204, paragraph (1) and the documents specified in the items of paragraph (2) of that Article;
 - (xvi) the written notification under Article 205, paragraph (3) and the document under paragraph (4) of that Article;
 - (xvii) the documents set forth in the items of Article 244, paragraph (3);
 - (xviii) the written notification under Article 244-2;
 - (xix) the written notification under Article 245; and
 - (xx) the written notification under Article 246.
- (3) With regard to the application of the provisions of Article 2, Article 239-2, paragraphs (8) and (9), Article 246-3, paragraph (2), Article 246-4, paragraph (5), Article 246-5, paragraph (2), and Article 246-6, paragraph (5) in cases where the provisions of paragraph (1) (limited to the part pertaining to item (xv)) are applicable, the term "Specially Permitted Business Notifying Person" in these provisions is deemed to be replaced with "Specially Permitted Business Notifying Person and a person subject to the provisions of Article 350, paragraph (1) (limited to the part pertaining to item (xv))."
- (4) The provisions of Article 2 shall not apply to documents subject to the provisions of paragraph (1) or (2).
- (5) The provisions of paragraphs (1) and (2) shall not apply to a person who engages or intends to engage in Type I Financial Instruments Business or Registered Financial Institution Business.
- (6) In cases specified in paragraphs (1) to (3), when the Commissioner of the Financial Services Agency or Other Official finds it necessary and appropriate for the public interest or protection of investors, the Commissioner or Official may request a person subject to these provisions to attach a Japanese translation of the outline of all or part of the documents subject to those provisions.