　　　年　　　月　　　日

**Example**

MM/DD/YYYY

金融庁長官　殿

**Enter registration number**

To Commissioner of Financial Services Agency

登録番号　**関東財務局長(金商)第　　　　号**

Registration number **関東財務局長(金商)第　　　　号**

所在地　**東京都千代田区霞が関3－1－1**

**XXXビルディング　5階**

Location　　　**XXX building Fifth floor, 3-1-1 Kasumigaseki, Chiyoda-ku, Tokyo**

商号又は名称 **財務投資助言代理株式会社**

Trade name or name **Zaimu Investment Advisory and Agency Japan Co, Ltd.**

代表者の役職氏名　**代表取締役社長**　**財務　太郎**

Title and name of representative person　

**President and CEO　ZAIMU Taro**

役員又は政令で定める使用人等の変更届出書

Notification of change of officer or employee specified by a Cabinet Order, etc.

　役員（又は政令で定める使用人等）を下記のとおり変更しましたので、金融商品取引法第３１条第１項に基づき、届出いたします。

I / We hereby submit a notification because officer (or employee specified by a Cabinet Order, etc.) was changed as follows based on Article 31 paragraph (1) of the Financial Instruments and Exchange Act.

記

Details

１．変更の内容及び変更年月日

１．Details and date of the change

**If newly appointed and retired**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 氏　　名  Name | 役　名  Title | 代表権の有無  Representative or not | 常勤／非常勤  Full-time or  Part-time | 就任（退任）年月日  Date of appointment/retirement |
| 新任 New appointment | | | | |
| **○○　○○** | **Director** | **No** | **Full-time** | **MM/DD/YYYY** |
| 退任 Retirement | | | | |
| **×× ××** | **Director** | **No** |  | **MM/DD/YYYY** |

**In case of change to name of title**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 氏　　名  Name | 役　名  Title | 代表権の有無  Representative or not | 常勤／非常勤  Full-time or  Part-time | 就任（退任）年月日  Date of appointment/retirement |
| 新任 New appointment | | | | |
| **□□ □□** | **Company auditor** | **No** | **Full-time** | **MM/DD/YYYY** |
| 退任 Retirement | | | | |
| **□□ □□** | **Director** | **No** |  | **MM/DD/YYYY** |

**Please enter reason for the change in detail (e.g., enhancing personnel due to the strengthening governance, a change due to the expiration of his or her term, retiring due to personal reasons, etc.)**

２．変更の理由

２．Reason for the change

|  |
| --- |
| **Please attach (a) a document stating the systems for business execution, such as the personnel structure and the organization pertaining to the business, (b) the following documents in relation to a person who has newly assumed the position of officer or major employee: (1) the resumes, (2) the extracts of the certificates of residence, (3) the personal identification (issued by the municipality), (4) pledge statement, and (c) pledge statement prepared by a financial instrument business operator (one each)** |

**Please attach the following documents in relation to a person who has newly assumed the position (1) the resumes, (2) the extracts of the certificates of residence (one each)**

添付書類  
Attachments

１．金融商品取引業等に関する内閣府令第２０条第１項第３号に掲げる書類又は同項第５号ロに掲げる書類

１. Documents prescribed in Article 20, paragraph (1), item (iii) or item (v), (b) of Cabinet Office Order on Financial Instruments Business, etc.

２．変更後の登録申請書（第４、５、６、１１面）

２. Written application for registration after the change (page.4, 5, 6, 11)

**Please circle and submit the changed page.**

連絡担当者　　　　所属

Contact person　Department

役職氏名

Title and name

**Enter the contact person**

電話番号

Telephone number

　　（第４面）

（Page.4）

（別添２：役員（外国法人にあっては、国内における代表者を含む。）の氏名又は名称）

（Exhibit 2: Names of directors (for a foreign juridical person, including the representative person in Japan)

商号、名称又は氏名**財務投資助言代理株式会社**

**Same as the date of appointment and retirement**

Trade name or name　**Zaimu Investment Advisory and Agency Japan Co., Ltd.**

　　　　　　　　　　　　　　　　　　　　　　　　　　　（〇〇年〇〇月〇〇日現在）

（As of MM/DD/YYYY）

|  |  |
| --- | --- |
| （ふ　り　が　な）  氏名又は名称  Name | 役　　　職　　　名  Title |
| **ZAIMU Taro**  **ZAIMU Jiro**  **ZAIMU Saburo**  **ZAIMU Hanako　(OHKURA Hanako)** | **President and CEO**  **Senior Managing Director**  **Director and Head of Branch, Tokyo**  **Company Auditor** |

（注意事項）

（Notes）

氏を改めた者においては、旧氏及び名を「氏名又は名称」欄に（　）書きで併せて記載することができる。

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.

**Please enter all directors in the registration, including directors, accounting advisors, company auditors and executive directors, or other directors equivalent to the same.**

**【Name】**

**Please enter along with name in certificates of residence**

**【Title】**

**Please enter the title used for external, and the title in here is described in the “Title and Position” column of Resume. (Same in the page 5, 6 and 11)**

　　（第５面）

（Page 5）

（別添３：金融商品取引業に関し、法令等を遵守させるための指導に関する業務を統括する使用人の氏名）

（Exhibit 3: Name of the employee supervising legal compliance in relation to financial instruments business）

商号、名称又は氏名**財務投資助言代理株式会社**

**Same as the date of appointment and retirement**

Trade name or name　**Zaimu Investment Advisory and Agency Japan Co., Ltd.**

　　　　　　　　　　　　　　　　　　　　　　　　　　　（〇〇年〇〇月〇〇日現在）

（As of MM/DD/YYYY）

|  |  |
| --- | --- |
| （ふ　り　が　な）  氏　　　　　　名  Name | 役　　　職　　　名  Title |
| **ZAIMU Shiro**  **ZAIMU Goro** | **Head of Compliance**  **Compliance, Deputy Director** |

（注意事項）

（Notes）

氏を改めた者においては、旧氏及び名を「氏名」欄に（　）書きで併せて記載することができる。

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.

**Please enter the name of the person who supervises the function of providing guidance to ensure that laws and regulations. are observed with regard to a Financial Instruments Business (Article 15-4 item (i) of Order for Enforcement of the Financial Instruments and Exchange Act) and a person who holds a position whereby the person may exercise authority on behalf of a supervisor of the operation as prescribed in that item, such as a general manager, vice-chief, section manager or any other person, irrespective of the job title (Article 6 item (i) of Cabinet Office Order on Financial Instruments Business, etc.).**

**Please enter the name of the employee even if the director also serves as an employee.**

　　（第６面）

（Page 6）

（別添４：投資助言業務又は投資運用業に関し、助言又は運用を行う部門を統括する使用人の氏名）

（Exhibit 4: Name of the employee supervising the department of investment advisory business or investment management business）

商号、名称又は氏名**財務投資助言代理株式会社**

**Same as the date of appointment and retirement**

Trade name or name **Zaimu Investment Advisory and Agency Japan Co., Ltd.**

　　　　　　　　　　　　　　　　　　　　　　　　　　　（〇〇年〇〇月〇〇日現在）

（As of MM/DD/YYYY）

|  |  |
| --- | --- |
| （ふ　り　が　な）  氏　　　　　　名  Name | 役　　　職　　　名  Title |
| **ZAIMU Hanae**  **ZAIMU Rokuro** | **Head of Operations**  **Operations, Vice President** |

（注意事項）

（Notes）

氏を改めた者においては、旧氏及び名を「氏名」欄に（　）書きで併せて記載することができる。

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.

（第11面）

(Page 11)

（別添８：投資運用関係業務を投資運用関係業務受託業者に委託する場合において、法第29条の４第１項第１号の２ただし書に定めるその業務の監督を適切に行う能力を有する役員又は使用人を確保するときは、その旨及び当該役員又は使用人の氏名又は名称）

Exhibit 8: In case where the applicant outsources its investment management-related service to the investment management-related service entrusted business operator and where the applicant secures an officer or employee capable of properly supervising the service outsourced as prescribed in the proviso of Article 29-4, paragraph 1, item(i)-2 of the FIEA, indication to that effect and the name of such officer or employee

商号、名称又は氏名**財務投資運用株式会社**

Trade name or name **Zaimu Investment Management Japan Co., Ltd.**

**Same as the date of appointment and retirement**

（○○年○○月○○日現在）

（As of MM/DD/YYYY）

|  |
| --- |
| 投資運用関係業務を投資運用関係業務受託業者に委託する場合において、法第29条の４第１項第１号の２ただし書に定めるその業務の監督を適切に行う能力を有する役員又は使用人を確保する旨  Indication to the effect that the applicant secures an officer or employee capable of properly supervising the service outsourced as prescribed in the proviso of Article 29-4, paragraph 1, item (i)-2 of the FIEA in case where the applicant outsources its investment management-related service to the investment management-related service entrusted business operator |
| **We secure employees capable of properly supervising the service outsourced as prescribed in the proviso of Article 29-4, paragraph 1, item (i)-2 of the FIEA.** |

|  |  |  |
| --- | --- | --- |
| 法第29条の４第１項第１号の２ただし書に定めるその業務の監督を適切に行う能力を有する役員又は使用人の氏名又は名称  Name of the officer or employee capable of properly supervising the service outsourced as prescribed in the proviso of Article 29-4, paragraph 1, item (i)-2 of the FIEA | | |
| （ふりがな）  氏　名　又　は　名　称  Name | 役　　　　職　　　　名  Title | 監督する投資運用関係業務の内容  Details of the investment management-related service to be supervised |
| **ZAIMU Hanayo** | **Head of Operations** | * **Evaluation of the investment trust asset and verification thereof** * **Evaluation of the property subject to investment (excluding the investment trust asset) and verification thereof** |
| **ZAIMU Shichiro** | **Senior Managing Director** | * **Regular compliance monitoring of business operations, identification and resolution of issues and other relevant services** |

（注意事項）

(Notes)

氏を改めた者においては、旧氏及び名を「氏名又は名称」欄に（　）書きで併せて記載することができる。

A person who has changed his/her family name is able to state the original name in brackets in the part of “Name”.