

Frequently Occurring Mistakes in Business Report

Item	Item name	Mistakes	Notes
- (Note 1)	Name of financial institution	① Not entered ② The name of the depository financial institution with which you are transacting was entered.	Do not forget to enter the "Trade Name" of the submitter from the system.
- (Note 2)	Filing date	① Not entered ② The date is before the shareholders meeting.	Do not forget to enter the date to be submitted via the system, which is after the shareholders meeting.
1 (5)	Outline of the business for the current period	Actual results of financial instruments business (or by type of business) are not entered.	Do not forget to state the actual results of financial instruments business (in the case of multiple business registrations, such as Type II Business and Advisory Business, the actual results for each business type). Even if there is no actual result, it is necessary to state so.
1 (5-2)	Explanatory documents (Documents for public inspection)	Not selected.	If you select cell 1 or 2, you can add "○", so be sure to select either (If a copy of the business report is used, it corresponds to "2").
1 (6)	Summaries of the matters resolved at shareholders meetings	The summary has not been updated from the previous fiscal year.	Need to update the date on which the outline of the business in the business report is reported and the date on which the financial statements are approved.
1 (8)	Status of the business offices	The "total" column is not filled in.	In particular, please note that there are some omissions in the "total" column in the case of the head office only.
1 (15) ⑥ 1 (16) ④	List of the deemed securities	The "total" column is not filled in.	Enter the amount newly invested or contributed during the period of the fund in the parentheses at the bottom.
1 (24) ④ 1 (25) ④	Status of the internal management	Not entered (in the case of an advisory and agency business)	Explain in (24) if you are engaged in investment advisory business, or in (25) if you are engaged in agency/intermediation business.
2 (1) 2 (2) 2 (3)	Financial information	① The year end date is not entered or the financial information has not been updated from the previous year end date. ② Error in the unit (such as one yen). ③ Not matched at subtotal and total. ④ The amounts are not matched among financial statements. ⑤ The statement of changes in shareholders' equity, etc. is not entered.	① Do not forget to enter the current year-end date. ② Financial statements should be entered in thousands of yen. ③ There are many discrepancies in assets and liabilities of the balance sheet (B/S). Please submit it after verification. ④ Please submit it after verification of net assets of B/S, net profit of the profit and loss (P/L) and amounts of each account of statement of changes in shareholders' equity, etc. ⑤ Please note that there are some omissions due to the separate sheet within the same Excel file.

(Note 1) When using the FSA Integrated Operation Support System, there is a description in the upper left part of each file (there is no corresponding item when submitting in paper format).

(Note 2) There is a description in the upper right of the first page of the Business Report.