

Points to Note regarding Submission of Notification of Change

[Form for the Notification of Change]

- If you are submitting the form using Electronic Application and Notification System, please convert it to PDF format before submitting it in principle.

[Notification of Change in Name and Location of Head Office, Other Business Office or Office]

- Change Registration Form (Pages 2 and 8)
 - When you submit the notification of change in trade name, corporate name, or name (Page 2) and the notification of change in head office (in the case of a foreign corporation, the location of the principal business office or office or any other business office or office in Japan) (Page 8), please report the new trade name and the location of the new head office written in Japanese along with the submission of the notification.
 - Regarding the document for reporting, a reference form, "English/Japanese Notation" is attached below. However, if you have any existing materials, you could submit them instead of this form. We will reflect the reported information in "List of licensed (registered) Financial Instrument Business Operators" on the FSA website.
 - For location, enter the building name and hierarchy regardless of the contents entered in the certificate of registered matters.

[Notification of Change of Officers or Important Employees]

- Change Registration Form (Pages 4, 5, and 6)
 - The date in the upper right is the same as the date of the change (the appointment/resignation date*).
 - *Check that the appointment/resignation date on the certificate of registered matters matches.
- Change Registration Form (Page 5)
 - Enter "Not applicable" when an officer conducts the supervision himself / herself as a duty of the officer.
 - If an employee concurrently serves as a director, enter the employee's name and title without entering "Not applicable" (for example, if an employee is a Director and the Head of the Compliance Department, enter "Director and the Head of the Compliance Department").
- Change Registration Form (Page 6)
 - Enter not only when there is a "person who supervises the division that provides advice," but also when there is a "person who makes investment

decisions."

(Article 15-4, Item 2 of the Order for Enforcement of the Financial Instruments and Exchange Act, Article 6, Paragraph 2 of the Cabinet Office Ordinance on Financial Instruments Business, etc.)

- Enter "Not applicable" when an officer conducts the supervision himself / herself as a duty of the officer.
- If an employee concurrently serves as a director, enter the employee's name and title without entering "Not applicable" (for example, if an employee is a Director and the Head of the Sales Department, enter "Director and the Head of the Sales Department").

○ Attachments

- "Documents stating the registration applicant's business execution system, such as its personnel structure and the organizational structure pertaining to the business"
The date shall be the same as the appointment/resignation date.
- "Resumé"
Enter all job experiences, including those not related to financial instruments business, and the date of appointment regarding the change.
(Enter all the leave of absence or unemployed time, etc., so that there is no blank period.)
Enter the date, and type in or sign your name in the bottom column.
- "Pledge Statement of Officers and Important Employees"
Type in or sign your current address and name.

(As of Date)

English/Japanese Notation

In English

Address:

Name or Trade name:

In Japanese

Address:

Name or Trade name:

※Please write down your company name in English/Japanese as written in the Article of incorporation etc., in case it is stipulated.

※For location, enter the building name and hierarchy regardless of the contents entered in the certificate of registered matters.

<Example>

In English

Address: Xth Floor, XXXX Building, 3-1-1 Kasumigaseki, Chiyoda-ku
Tokyo 100-0013

Name or Trade Name: Kinyucho Asset Management Co., Ltd.

In Japanese

Address: 〒100-0013 東京都千代田区霞ヶ関3-1-1 XXXXビル X階

Name or Trade Name: 金融庁アセットマネジメント株式会社