

Implementation Procedures for Preparation of Regular Statistics

June 21, 1988

Resolution of the Board of Directors

Partially amended on March 28, 1990	Partially amended on January 22, 2003	Partially amended on March 19, 2008
Partially amended on June 24, 1991	Partially amended on January 28, 2004	Partially amended on June 12, 2009
Partially amended on February 28, 1996	Partially amended on February 23, 2005	Partially amended on March 23, 2011
Partially amended on February 26, 1997	Partially amended on March 22, 2006	Partially amended on June 14, 2013
Partially amended on October 22, 1997	Partially amended on April 26, 2006	Partially amended on April 23, 2014
Partially amended on October 24, 2000	Partially amended on March 28, 2007	Partially amended on December 16, 2015
Partially amended on April 24, 2002	Partially amended on December 19, 2007	

Based upon the Regulations on Statistics, the implementation procedures for statistics to be periodically compiled are hereby set forth as follows:

1. The statistics shall be compiled and published within the scope set forth below:
 - (1) Matters concerning the business entities engaging in the investment management business and the investment advisory and agency business
 - a. Number of officers;
 - b. Number of employees by kind of business operation;
 - c. Number of places of business; and
 - d. In addition to the foregoing, the matters that the Business Committee considers necessary.
 - (2) Matters concerning the business activities of the investment management business and the investment advisory and agency business
 - a. Number of customers;
 - b. Number of contracts;
 - c. Total amount of assets covered by the contracts;
 - d. Financial condition; and
 - e. In addition to the foregoing, the matters that the Business Committee considers necessary.
 - (3) Matters concerning activities of the Association
 - a. Number of complaints, etc. handled; and
 - b. In addition to the foregoing, the matters that the Business Committee considers necessary.
2. In order to compile the statistics as set forth above, a member engaging in the business pertaining to the discretionary investment contract or the fund management business (referring to the business pertaining to the acts mentioned in Article 2, paragraph (8), item (xv) of the Financial Instrument and Exchange Act; hereinafter the same) shall submit the following materials to the secretariat:

Type of statistics	Materials to be submitted	Reference date for filling of the form	Timing of submission
Status of contract asset	Discretionary investment and wrap business: Appended Form 2-b. Real properties/Funds: Appended Form 2. Common: Appended Forms 3. and 4.	Last day of March, June, September and December every year	Within one month from the reference date
Status of human resources	Appended Form 5.	Last day of March every year	Within one month from the reference date
Status of earning and expense	Appended Form 6.	End of the business year	Within three months from the reference date

3. The type of statistics to be published and the timing of compilation shall be basically as set forth below.

Type of statistics	Timing of compilation
Status of contract asset	Around March, June, September and December every year
Status of human resources	Around June every year
Status of earning and expense	Around September every year
Status of complaints and inquiries	Around June and December every year