

Company name

Location

Postal code:

Telephone:

Facsimile:

Website:

Representative:

Financial instruments business  
operator registration number:Date of  
registration:

Association Membership no.:

Month and year of  
commencement of business:Amount of  
capital:

100 million yen

Division that filled  
the form:

Telephone:

Company overview

## 1. Type of business:

Investment management business	1. Business pertaining to Article 2, paragraph (8), item (xii), (a) of FIEA	2. Business pertaining to Article 2, paragraph (8), item (xii), (b) of FIEA
	3. Business pertaining to Article 2, paragraph (8), item (xiv) of FIEA	4. Business pertaining to Article 2, paragraph (8), item (xv) of FIEA
Investment advisory and agency business	1. Business pertaining to Article 2, paragraph (8), item (xi) of FIEA	2. Business pertaining to Article 2, paragraph (8), item (xiii) of FIEA
Type-I business/ Type-II business	1. Business pertaining to Article 28, paragraph (1) of FIEA	2. Business pertaining to Article 28, paragraph (2) of FIEA

## 2. Major places of business, subsidiary corporations, etc. and affiliated companies

Classification	Name	Location

## 3. Major shareholders

Names of shareholders	Holding ratio of voting rights
	%
	%
	%
	%
	%
	%

Names of shareholders	Holding ratio of voting rights
	%
	%
	%
	%
	%
	%

## 4. Financial status (during the latest three business years)

(Unit: Million yen)

Fiscal period	Earnings of investment advisory division	Total earnings	Ordinary profit and loss	Net profit or loss for the current period	Net assets
Period ended					
Period ended					
Period ended					

## 5. Organization (if engaging in securities business or trust business, enter the virtual numbers of persons serving for the investment advisory division in a. through c.)

a. Total number of officers and employees \_\_\_\_\_ persons

b. Number of persons serving for the investment management business \_\_\_\_\_ persons

• Of which, fund managers: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

Of which, in the case of a company concurrently engaging in the investment trust business, number of full-time staff of the investment advisory division: \_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

Number of staff concurrently working for investment advisory division and investment trust division: \_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

Of which, number of researchers: \_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

c. Number of Certificate-holder Member of the Securities Analysts Association of Japan: \_\_\_\_\_ persons  
Number of Chartered Financial Analyst \_\_\_\_\_ persons

&lt;Organization chart&gt;

Company name

○ Status of the financial instruments transactions involving assets pertaining to the investment management contracts (during the latest business year)

1. Period Covered: From \_\_\_\_\_ to \_\_\_\_\_

2. Ratio of transactions pertaining to the financial instruments transactions:

	Trade name of the other party	Ratio of transaction amount	Remarks
Transactions to which the member itself was the other party of the customer		. %	
① Transactions with corporations that come under a. below		. %	
		. %	
		. %	
② Transactions with corporations that come under b. below		. %	
		. %	
		. %	
		. %	
		. %	
③ Transactions with corporations that come under c. below		. %	
		. %	
		. %	

- a. Corporation that was the other party to the financial instrument transaction conducted for a customer and is a parent corporation or subsidiary corporation set forth in Article 15-16 of Order for Enforcement of the Financial Instruments and Exchange Act.
- b. Corporation that was the other party to the financial instrument transaction conducted for a customer and is a corporation whose transaction amount accounts for 10% or more of the total annual amount of the transactions in the financial instruments conducted for the customers.
- c. Corporation that was the other party to the financial instrument transaction conducted for a customer and is a Related Foreign Juridical Person, etc set forth in Article 126, item (iii) of Cabinet Office Order on Financial Instruments Business, etc.

(Points in attention concerning preparation of form)

1. For “Trade name of the other party,” enter the registered name of the company (excluding “Kabushiki Kaisha (Co., Ltd.)”) If the member owes the duty of confidentiality or has any other reasonable ground, the disclosure in this field and in “ratio of transaction amount” is not necessary.
2. For “Ratio of transaction amount,” enter the figure calculated to the second decimal place and round it off to the nearest first decimal place.
3. The basis of calculation of the figure to be entered in “Ratio of transaction amount” shall be as follows:
  - Transaction amount of securities...on the basis of the contract price as of the date of contract in principle.
  - Transaction amount of the transactions in derivative instruments...Basically the nominal principal amount of the date of contract. If the derivative contract is dominated in a foreign currency, the amount is calculated into yen amount using the exchange rate on the date of contract.
  - Basis for foreign currency translation...the yen amounts are to be used in principle if the amounts in a foreign currency is translated from time to time for management of the fund; otherwise, the amounts shall be translated into yen in principle using the exchange rate as of the last day of the period subject to the disclosure.
4. Please enter in the field of “Remarks” such matters that may be considered necessary in connection with the disclosure above.

If the member engages in businesses other than discretionary investment business (specified investment management business related to real properties, fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 2-a. Discretionary investment business)

Disclosure materials

Company name \_\_\_\_\_  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

1. Status of contract asset (Unit of amount: Million yen)

			Discretinary Assets		Assets Under Advice	
			contoracts	Amount	contoracts	Amount
Domestic	Corporations	Public pensions				
		Private pensions				
		Other				
		Total				
	Individuals					
	Domestic - Total					

Overseas	Corporations	Pensions				
		Other				
		Total				
	Individuals					
	Overseas - Total					

Combined total				
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Breakdown of overseas pensions (management + advisory)

U.S.A.	eontracts
	Million yen
Europe	contracts
	Million yen
Asia	contracts
	Million yen
Other	contracts
	Million yen

Note: In the field of investment advisory contracts, enter the figure that only relates to the contracts concluded on the premise of the amount of Customer Assets. Total number of cases of the investment advisory contracts was \_\_\_\_.

If the member engages in businesses other than discretionary investment business (specified investment management business related to real properties, fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.  
(Appended Form 2-b. Discretionary investment business)

1. Status of contract assets, as classified by type of customer

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

(Unit of amount: Million yen)

				Discretinary Assets		Assets Under Advice	
				Number of conotract	Amount	Number of conotract	Amount
Domestic	Corporations	Public pensions	Mutual Aid Associations				
			Other				
		Private pensions	Employees' Pensions				
			National Pension				
			Entrepreneur-type				
			Fund-type				
			Other				
			Investment trusts				
		Financial institutions					
		Non-financial corporations					
		Other types of corporations					
		Entrustment (acceptance of entrustment)					
		Total					
	Individuals						
Overs eas	Corporations	Pensions	U.S.A.				
			Europe				
			Asia				
			Other				
		Other types of corporations					
		Entrustment (acceptance of entrustment)					
		Total					
		Individuals					

Entrustment

Domestic investment management institutions
contracts
Million yen
Overseas investment management institutions
contracts
Million yen

Investment advisory (receiving)

Domestic investment management institutions
contracts
Million yen
Overseas investment management institutions
contracts
Million yen

If the member engages in businesses other than discretionary investment business (specified investment management business related to real properties, fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.  
(Appended Form 3. Discretionary investment business)

**Company name**  
\_\_\_\_\_ (as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

Disclosure materials

2. Status of investment management, as classified by type of investment targets

(Unit of amount: Million yen)									
	Specialized in domestic stocks	Specialized in domestic bonds	Other domestic investment targets	Specialized in overseas stocks	Specialized in overseas bonds	Other overseas investment targets	Specialized in global stocks	Specialized in global bonds	Other global investment targets
Number of contracts									
Amount									

3. Status of distribution by contract amount

(Unit of amount: Million yen)						
	Less than one billion yen	One billion yen or more but less than five billion yen	Five billion yen or more but less than 10 billion yen	10 billion yen or more but less than 50 billion yen	50 billion yen or more but less than 100 billion yen	100 billion yen or more
Number of contracts	contracts	contracts	contracts	contracts	contracts	contracts
Composition ratio	. %	. %	. %	. %	. %	. %
Amount						
Composition ratio	. %	. %	. %	. %	. %	. %

If the member engages in businesses other than discretionary investment business (specified investment management business related to real properties, fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 4. Discretionary investment business)

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

4. Status of investment, by country or territory

	Japan	U.S.A.	Europe	Asia	Other	Total
Stocks						
Bonds						
Real Property Securities						
Short-term assets						
Other						

5. Status of acceptance of entrustment through investment management with absolute return

Amount (Unit: Million yen)	
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6. Status of derivatives transactions

A. Balance of Exchange traded derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

B. Balance of OTC derivatives

(Unit of amount: Million yen)

Balance of forward transactions	Balance of option transactions	Balance of swap transactions	Other

C. Balance of overseas Exchange traded derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

**Company name**  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

Table of composition of officers and employees

Figures in parentheses indicate average years of experience.

	Total	Investment advisory division
Investment division		
Of which, fund managers	(      years and      months)	(      years and      months)
Of which, researchers	(      years and      months)	(      years and      months)
Of which, traders	(      years and      months)	(      years and      months)
Sales division		
Compliance division		
Other		
Total		

Temporary employees		

Number of Certificate-holder Member of the Securities Analysts Association of Japan: \_\_\_\_\_ persons  
Number of Chartered Financial Analyst: \_\_\_\_\_ persons



**Company name**

(From \_\_\_\_ (month) \_\_\_\_ (year) to \_\_\_\_ (month) \_\_\_\_ (year))

Table of breakdown of income

1. Breakdown of operating income (Unit: Thousand yen)

	Amount
Management fee pertaining to discretionary investment contracts	
Management fee pertaining to fund management business	
Of which, contingent fee	
Advisory fee pertaining to investment advisory contracts	
Other	
Total operating income	

-Business conducted other than investment management business and investment advisory business

\_\_\_\_\_  
\_\_\_\_\_

2. Breakdown of operating expenses and general administrative expenses (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Personnel expenses		
Expenses pertaining to real properties		
Research expenses		
Advertising expenses		
Other expenses		
Total operating expenses and general administrative expenses		

3. Non-operating profit or loss (Unit: Thousand yen)

(Unit: Thousand yen)	Total	Investment advisory and fund management division
Earnings		
Expenses		

Points in attention concerning completion of appended form (discretionary investment business)

[Appended Form 1-a.]

Reference date for filling of the form	Please fill the form as of the last day of June every year as the reference date (however, for “5. Organization,” the reference date needs to be the last day of March every year).
Company name	Please enter the formal trade name specified in the Articles of Incorporation without abbreviating. In the case of a foreign-capital company established in accordance with the laws of a country other than Japan (foreign company), please enter the name used on the application for registration (including a notification of change made to it afterward) submitted to the competent authority.
Location:	In the case of a foreign company, please enter the location of a branch office, etc. established in Japan.
Telephone:	Please enter the telephone number serving as the reception point for the Investment management division (division in charge of engagement in the investment advisory business).
Website:	Please enter the website address.
Representative:	Please enter the name and the title.
Financial instruments business operator registration number:	In the case of a foreign company, please enter those of the representative in Japan. Be sure to enter accurate numbers without abbreviating.
Association Membership no.:	(e.g.) Director-General of the Kanto Local Finance Bureau ( <i>Kin-Sho</i> ) No. xx
Month And year of commencement of business:	Please enter when (month and year) the business operation first started.
Amount of capital:	Please enter the amount of “paid-in capital” as of the day of completing this form. In the case of a foreign company, please enter the amount of the “brought-in capital” of the branch office in Japan.
Division that filled the form:	Please enter the name of the division that is actually in charge of preparation of “Company overview” and its telephone number, or the title, the name of the division, the name and the telephone number of the person (name one person) who actually prepared “Company overview.”
Telephone:	

1. Type of business  
Please circle the number of the registered type of business.
2. Major places of business, subsidiary corporations, etc. and affiliated companies  
For each category, please enter major places of business, subsidiary corporations, etc. and affiliated companies.
  - Place of business: Please enter if there is a place of business, office, etc. at a place in Japan other than the place entered in the field of the location of the company.
  - Subsidiary corporation, etc.: Please enter the subsidiary corporation, etc. set forth in Article 31-4 of the Financial Instruments and Exchange Act (FIEA).
  - Affiliated companies: Please enter the affiliated companies.
3. Major shareholders  
10 (%1)  
Please enter the names of shareholders with ten highest holding ratios of voting rights in the descending order and their respective holding ratios (in %, calculated to the first decimal place).
4. Financial status (during the latest three business years)  
Please fill with the data for the latest three business years in the order of showing the data for the latest year on the top line, the data for the second latest year on the next line. For the “Fiscal period,” please enter as “Period ended (month) (year).”  
If, for example, a fiscal period of six months is contained due to a change in the fiscal period, please enter the settlement data for two years and six months.

In the field of “Earnings of investment advisory division,” please enter the total amount of the investment management fees pertaining to the discretionary investment contracts, investment advisory fees pertaining to the investment advisory contract and other similar fees. In the field of “Total earnings,” please copy the amount of the operating income shown in the business report.

## 5. Organization

Total number of officers and employees: Please include the number of part-time officers in the total number of officers and employees.

Total number of officers and employees refers to the number of persons, including part-time employees, etc., listed on the register for three or more months as of the reference date or those under the employment contracts under which the period of employment is assumed to be not less than three months.

In the case of a member engaging in the securities business or trust business, please enter the number of persons working for the investment advisory division. If there are persons working concurrently for more than one division, please enter the virtual number obtained by pro-rata calculation based upon the time or amount of the assets under management allotted to the relevant business, etc.

However, in the case of a member engaging in the wrap business, please enter the total number of officers and employees in charge of the relevant business on a full-time basis (for example, the staff in charge of sales who is involved in the sales activities of products including wrap accounts at a branch office, etc. of a member engaging in the wrap business need be excluded.).

Number of persons serving for the investment management business: Please enter the number of officers and employees working for the investment business (investment management business) (which should be coincided with the “Total” number of persons of “Investment division” on Appended From 5.).

Number of fund managers: Please enter the number of persons having the responsibility and capability for the management of the assets of the customers and involved in determining of the final investment decisions out of the “Number of persons serving for the investment management business.”

The persons concurrently serving as researchers, if any, should be included in the number of the division the relevant persons’ primary business.

Number of researchers: Please enter the number of researchers out of the “Number of persons serving for the investment management business.” The researchers refer to economists, analysts and other similar persons (hereinafter the same). The persons concurrently serving as fund managers, if any, should be included in the number of the division the relevant persons’ primary business.

Average number of years and months of experience: The length of the experience in the business other than at an investment management company (company related to the securities, etc.) may be included in the number of years and months of experience.

In the case of a member engaging in the securities business or trust business, please enter the number of fund managers, Certificate-holder Member of the Securities Analysts Association of Japan and Chartered Financial Analysts who are working for the investment advisory division, respectively. If there are persons working concurrently for more than one division, please enter the virtual number obtained by pro-rata calculation based upon the time or amount of the assets under management allotted to the relevant business, etc.

In the case of a company concurrently engaging in the investment trust business, please enter the total figure, and in the field of “number of fund managers,” please enter the persons serving for the investment advisory division on a full-time basis and the number of persons who concurrently serve for the investment advisory division and investment trust division separately in the parenthesis.

<Organization chart> Please prepare the chart using the brochures, etc. that each company prepares and distributes to the customers.

Points in attention concerning completion of appended form (discretionary investment business)

If the member engages in businesses other than discretionary investment business (specified investment management business related to real properties, fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.

[Common matters regarding contracts] (Appended Forms 2. through 4.)

1. The reference dates for filling of the forms are set on the last days of March, June, September and December.
2. The amount shall be in market value, and the basis of the market value shall basically be the basis adopted for the surviving employees' pension fund.
3. Any fraction of less than unit in the figure of each item shall be rounded off (the total of all items does not need to correspond with the figure shown in the field of Total).
4. The investment management contracts refer to any of the following contracts:
  - (1) Discretionary investment contract; or
  - (2) Contracts pertaining to the fund management business.
5. An investment advisory contract is an investment advisory contract set forth in Article 2, paragraph (8), item (xi) of FIEA.

[Appended Form 2.]

1. For "Investment advisory," please enter only the contracts concluded on the premise of the amount of Customer Assets.
2. For "Public pensions," please enter the contracts with the Government Pension Investment Fund and mutual aid associations (including Federation of Mutual Aid Associations and the Promotion and Mutual Aid Corporation for Private Schools of Japan).
3. For surviving employees' pension funds ("Employees' Pensions" on the Appended Form), please enter contracts with surviving employees' pension funds and the Pension Fund Association.
4. For the National Pension Fund ("National Pension Fund" on the Appended Form), please enter the contracts with the National Pension Fund and National Pension Fund Association.
5. For "Investment trusts," please enter only the investment trusts settled by other companies.
6. For "Financial institutions," please enter the contracts with banks, life insurance companies, non-life insurance companies, credit unions, credit Associations, labor credit Associations, etc. (including the central organizations, if any) (excluding the securities business, lease business and money lending business).
7. For "Entrustment (acceptance of entrustment)," please enter the number of contracts under which the authority to make investments is entrusted as set forth in Article 42-3, paragraph (1) of FIEA and their contract amounts. However, the contracts under which the authority is entrusted from an overseas subsidiary corporation or parent corporation of the member should not be entered in the field of "Entrustment (acceptance of entrustment)" but those contracts should be entered pursuant to the classification of the customers with which the relevant overseas subsidiary corporations or parent corporation concluded contracts.
8. For "Entrustment" at the margin, please enter the number of contracts under which the authority to make investments relevant to the business pertaining to the discretionary investment contracts and their contract amounts.
9. For "Investment advisory (receiving)" at the margin, please enter the number of contracts under which the advice is received based upon the investment advisory contracts and their contract amounts.
10. The classification of the overseas shall be U.S.A., Europe, Asia and Other.  
Asia includes the following countries, etc. (in alphabetical order).  
Afghanistan, Bangladesh, Bhutan, Brunei, Cambodia, China, East Timor, Hong Kong, India, Indonesia, Kazakhstan, Kirghiz, Korea, Laos, Macau, Malaysia, the Maldives, Mongol, Myanmar, Nepal, Pakistan, the Philippines, Singapore, Sri Lanka, Taiwan, Tajikistan, Thai, Turkmenistan, Vietnam, Uzbekistan.

[Appended Form 3.]

1. Please classify the kinds of the investment targets based upon the purpose of investment indicated on the contract, etc. (even when 100% of the investments are made on the stocks as of the reference date for filling of the form, if the balanced investment is aimed, it should be entered in the space for "Other").
2. For the composition ratio by the scales of the contracts, please show the ratios to the first decimal place.

[Appended Form 4.]

1. Asia, as in "4. Status of investment, by country or territory" includes the following countries, etc. (in alphabetical order):  
Afghanistan, Bangladesh, Bhutan, Brunei, Cambodia, China, East Timor, Hong Kong, India, Indonesia, Kazakhstan, Kirghiz, Korea, Laos, Macau, Malaysia, the Maldives, Mongol, Myanmar, Nepal, Pakistan, the Philippines, Singapore, Sri Lanka, Taiwan, Tajikistan, Thai, Turkmenistan, Vietnam, Uzbekistan.
2. If investment trusts are incorporated in the investment, please enter by the classification of the assets under management of those investment trusts. However, if the assets under management cannot be specified, please include them in Other.
3. Please include bonds with share options in Bonds and debentures.
4. Real Property Securities refer to the securities related to real properties set forth in the preamble of the Business Operation Standards on Securities Investments Related to Real Property.
5. "5. Status of acceptance of entrustment through investment management with absolute return" refers to the manner of

investment aiming at realizing return that exceeds the short-term interest rate in the domestic and overseas markets or positive return regardless of the market conditions. If investment is made from the discretionary investment account in investment trusts, etc., it should be judged based upon the purpose of investment of the relevant investment trust, etc.

6. Foreign exchange forward transactions are derivatives transactions if the transaction expects a cash settlement.
7. In “4. Status of investment, by country or territory,” please enter the derivative transactions and foreign exchange forward transactions (only those under which cash settlement is not expected) according to the classification of the underlying assets (in the cases of derivatives) based upon the criteria used in Appended Form 2-b.
8. As the balance of derivatives in “6. Status of derivatives transactions,” please enter the total of the nominal principals of the transactions with unsettled portions on the reference date based upon the terms of the contract in principle.
9. In the cases where the contracts in the derivative transactions are denominated in a foreign currency, please enter the amounts after translating them into yen amounts at the exchange rate on the date of contract in principle.

[Appended Form 5.]

1. The reference date for filling of form is set annually on the last day of March.
2. “Investment advisory division” refers to the division engaging in the business pertaining to the discretionary investment contracts and investment advisory business.
3. “Investment division” refers to a division to which the persons serving for the business related to the judgements of the investment management belong, and the fund managers, researchers and traders make up the total number of the persons of the division. The fund managers include the persons conducting the investment advisory business.
4. The number of years of experience includes years of experience at other companies.
5. In the case of a person concurrently holding more than one positions, please enter the numbers of years prorated for respective positions.
6. In the case of a member engaging in the securities business or trust business, please enter the number only for the investment advisory division. If there are persons working concurrently for more than one divisions, please enter the virtual number obtained by pro-rata calculation based upon the time or amount of the assets under management allotted to the relevant business, etc.

[Appended Form 6.]

1. The reference date for filling of the form is set annually on the last day of business year.
2. “Investment advisory division” refers to the division engaging in the business pertaining to the discretionary investment contracts and investment advisory business.
3. If the member concurrently engages in other businesses, please enter for the operating expenses, etc. of the investment advisory and fund management division the amount reflecting the actual conditions.
4. In the case of a member engaging in the securities business or trust business, please enter the amount only of the investment advisory and fund management division.
5. “Management fee pertaining to fund management business” refers to the investment management fees and other fees pertaining to the acts mentioned in Article 2, paragraph (8), item (xv) of FIEA.
6. Personnel expenses is the total of the “wages,” “retirement benefit cost” and “reserve for retirement benefits for officers,” if the relevant scheme exist, on the profit and loss statement of Uniform Accounting Standards for Investment Management Business, etc.

## (Appended Form 1. Specified investment management business related to real properties)

(A4: horizontally long)

Company name

Location

Postal code:

Telephone:

Facsimile:

HP

Website:

Representative:

Financial instruments business  
operator registration number:Date of  
registration:

Association Membership no.:

Month and year of  
commencement of business:Amount of  
capital:

100 million yen

Division that  
filled the form:

Telephone:

## Company overview

## 1. Type of business

Investment management business	1. Business pertaining to Article 2, paragraph (8), item (xii), (a) of FIEA	2. Business pertaining to Article 2, paragraph (8), item (xii), (b) of FIEA
	3. Business pertaining to Article 2, paragraph (8), item (xiv) of FIEA	4. Business pertaining to Article 2, paragraph (8), item (xv) of FIEA
Investment advisory and agency business	1. Business pertaining to Article 2, paragraph (8), item (xi) of FIEA	2. Business pertaining to Article 2, paragraph (8), item (xiii) of FIEA
Type-I business/ Type-II business	1. Business pertaining to Article 28, paragraph (1) of FIEA	2. Business pertaining to Article 28, paragraph (2) of FIEA

## 2. Major places of business, subsidiary corporations, etc. and affiliated companies

Classification	Name	Location

## 3. Major shareholders

Names of shareholders	Holding ratio of voting rights
	%
	%
	%
	%
	%

Names of shareholders	Holding ratio of voting rights
	%
	%
	%
	%
	%

## 4. Financial status (during the latest three business years)

(Unit: Million yen)

Fiscal period	Earnings of investment advisory division	Total earnings	Ordinary profit and loss	Net profit or loss for the current period	Net assets
Period ended					
Period ended					
Period ended					

5

## 5. Organization

a. Total number of officers and employees: \_\_\_\_\_ persons

b. Number of persons serving for the investment management business: \_\_\_\_\_ persons

Of which, fund managers: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

c. Number of persons certified as masters by the Association for Real Estate Securitization: \_\_\_\_\_ persons

&lt;Organization chart&gt;

If the member engages in the business other than the specified investment management business related to real properties (discretionary investment business, the fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.  
(Appended Form 2. Specified investment management business related to real properties)

Disclosure materials

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

**1. Status of contract asset**

(Unit of amount: Million yen)

		Discretionary Assets				Assets Under Advice			
		Number of contracts	SPC in double layer scheme No. of contracts with master scheme	Amount	SPC in double layer scheme Amount of assets under management for master scheme	Number of contracts	SPC in double layer scheme No. of contracts with master scheme	Amount	SPC in double layer scheme Amount of assets under management for master scheme
Domestic	Real Property Securities								
	Other								
	Domestic - Total								
Overseas	Real Property Securities								
	Other								
	Overseas - Total								
Combined total									

If the member engages in the business other than the specified investment management business related to real properties (discretionary investment business, the fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.  
(Appended Form 3. Specified investment management business related to real properties)

Disclosure materials

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

2. Status of investment management, as classified by type of investment targets

(Unit of amount: Million yen)

	Number of contracts	SPC in double layer scheme No. of contracts with master scheme	Amount	SPC in double layer scheme Amount of assets under management for master scheme
Specialized type in securities related to domestic real properties				
Domestic - Other				
Domestic - Total				

Specialized type in securities related to overseas real properties				
Overseas - Other				
Overseas - Total				

Specialized type in securities related to global real properties				
Global - Other				
Global - Total				



If the member engages in the business other than the specified investment management business related to real properties (discretionary investment business, the fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.  
(Appended Form 4. Specified investment management business related to real properties, fund management business)

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

3. Status of investment, by country or territory

(Unit of amount: Million yen)

	Japan	U.S.A.	Europe	Asia	Other	Total
Stocks						
Bonds						
Real Property Securities						
Short-term assets						
Other						

4. Status of derivatives transactions

A. Balance of Exchange traded derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

B. Balance of OTC derivatives

(Unit of amount: Million yen)

Balance of forward transactions	Balance of option transactions	Balance of swap transactions	Other

C. Balance of verseas Exchange traded derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

Table of composition of officers and employees

	Total
Investment division	
Sales division	
Compliance division	
Other	
Total	

Temporary employees	
---------------------	--

Number of persons certified as masters by the Association for Real  
Estate Securitization: \_\_\_\_ persons

**Company name**

\_\_\_\_\_(month) \_\_\_\_\_(year) through \_\_\_\_\_(month) \_\_\_\_\_(year)

## Table of breakdown of income

## 1. Breakdown of operating income (Unit: Thousand yen)

	Amount
Management fee pertaining to discretionary investment contracts	
Management fee pertaining to fund management business	
Of which, contingent fee	
Advisory fee pertaining to investment advisory contracts	
Other	
Total operating income	

- Business conducted other than investment management business and investment advisory business

\_\_\_\_\_

## 2. Breakdown of operating expenses and general administrative expenses (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Personnel expenses		
Expenses pertaining to real properties		
Research expenses		
Advertising expenses		
Other expenses		
Total operating expenses and general administrative expenses		

## 3. Non-operating profit or loss (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Earnings		
Expenses		

Points in attention upon filling the appended form (specified investment management business related to real properties)

[Appended Form 1.]

Reference date for filling of the form	Please fill the form as of the last day of June every year as the reference date (however, for “5. Organization,” the reference date needs to be the last day of March every year.).
Company name	Please enter the formal trade name specified in the Articles of Incorporation without abbreviating. In the case of a foreign-capital company established in accordance with the laws of a country other than Japan (foreign company), please enter the name used on the application for registration (including a notification of change made to it afterword) submitted to the competent authority.
Location	In the case of a foreign company, please enter the location of a branch office, etc. established in Japan.
Telephone:	Please enter the telephone number serving as the reception point for the Investment management division (division in charge of engagement in the investment advisory business).
Website:	Please enter the website address.
Representative:	Please enter the name and the title. In the case of a foreign company, please enter those of the representative in Japan.
Financial instruments business operator registration number:	Be sure to enter accurate numbers without abbreviating.
Association Membership no.:	(e.g.) Director-General of the Kanto Local Finance Bureau ( <i>Kin-Sho</i> ) No. xx
Month and year of commencement of business:	Please enter when (month and year) the business operation first started.
Amount of capital:	Please enter the amount of “paid-in capital” as of the day of completing this form. In the case of a foreign company, please enter the amount of the “brought-in capital” of the branch office in Japan.
Division that filled the form:	Please enter the name of the division that is actually in charge of preparation of “Company overview” and its telephone number, or the title, the name of the division, the name and the telephone number of the person (name one person) who actually prepared “Company overview.”
Telephone:	

1. Type of business  
Please circle the number of the registered type of business.
2. Major places of business, subsidiary corporations, etc. and affiliated companies  
For each category, please enter major places of business, subsidiary corporations, etc. and affiliated companies.
  - Place of business: Please enter if there is a place of business, office, etc. at a place in Japan other than the place entered in the field of the location of the company.
  - Subsidiary corporation, etc.: Please enter the subsidiary corporation, etc. set forth in Article 31-4 of the Financial Instruments and Exchange Act (FIEA).
  - Affiliated companies: Please enter the affiliated companies.
3. Major shareholders  
Please enter the names of shareholders with ten highest holding ratios of voting rights in the descending order and their respective holding ratios (in %, calculated to the first decimal place).
4. Financial status (during the latest three business years)  
Please fill with the data for the latest three business years in the order of showing the data for the latest year on the top line, the data for the second latest year on the next line. For the “Fiscal period,” please enter as “Period ended (month) (year).”  
If, for example, a fiscal period of six months is contained due to a change in the fiscal period, please enter the settlement data for two years and six months.  
In the field of “Earnings of investment advisory division,” please enter the total amount of the investment management fees pertaining to the discretionary investment contracts, investment advisory fees pertaining to the investment advisory contract and other similar fees. In the field of “Total earnings,” please copy the amount of the operating income shown in the business report.
5. Organization

Total number of officers and employees: Please include the number of part-time officers in the total number of officers and employees.

Total number of officers and employees refers to the number of persons, including part-time employees, etc., listed on the register for three or more months as of the reference date or those under the employment contracts under which the period of employment is assumed to be not less than three months.

Number of persons serving for the investment management business: Please enter the number of officers and employees working for the investment business (investment management business) (which should be coincided with the “Total” number of persons of “Investment division” on Appended From 5.).

Number of fund managers: Please enter the number of persons having the responsibility and capability for the management of the assets of the customers and involved in determining of the final investment decisions out of the “Number of persons serving for the investment management business.”

Average number of years and months of experience: The length of the experience in the business other than at an investment management company (company related to the securities, etc.) may be included in the number of years and months of experience.

<Organization chart> Please prepare the chart using the brochures, etc. that each company prepares and distributes to the customers.

Points in attention upon filling the appended form (specified investment management business related to real properties)

If the member engages in the business other than the specified investment management business related to real properties (discretionary investment business, the fund management business, wrap business), please also fill an appropriate appended form for each of those businesses.

[Common matters regarding contracts] (Appended Forms 2. through 4.)

1. The reference dates for filling of the forms are set on the last days of March, June, September and December.
2. The amount shall be shown in market value.
3. Any fraction of less than unit in the figure of each item shall be rounded off (the total of all items does not need to correspond with the figure shown in the field of Total).
4. Real Property Securities refer to the securities related to real properties set forth in the preamble of the Business Operation Standards on Securities Investments Related to Real Property.
5. The investment management contracts refer to any of the following contracts:
  - (1) Discretionary investment contract; or
  - (2) Contracts pertaining to the fund management business.
6. An investment advisory contract is an investment advisory contract set forth in Article 2, paragraph (8), item (xi) of FIEA.

[Appended Form 2.]

1. For “Investment advisory,” please enter only the contracts concluded on the premise of the amount of Customer Assets (including those with fixed-amount advisory fees).

[Appended Form 3.]

1. Please classify the kinds of the investment targets based upon the purpose of investment indicated on the contract, etc.

[Appended Form 4.]

1. Asia, as in “3. Status of investment, by country or territory” includes the following countries, etc. (in alphabetical order): Afghanistan, Bangladesh, Bhutan, Brunei, Cambodia, China, East Timor, Hong Kong, India, Indonesia, Kazakhstan, Kirghiz, Korea, Laos, Macau, Malaysia, the Maldives, Mongol, Myanmar, Nepal, Pakistan, the Philippines, Singapore, Sri Lanka, Taiwan, Tajikistan, Thai, Turkmenistan, Vietnam, Uzbekistan.
2. Foreign exchange forward transactions are derivatives transactions if the transaction expects a cash settlement.
3. In “3. Status of investment, by country or territory,” please enter regarding the derivative transactions and foreign exchange forward transactions (only those for which cash settlement is not expected) according to the classification of the underlying assets (in the cases of derivatives) based upon the criteria used in Appended Form 2.
4. As the balance of derivatives in “4. Status of derivatives transactions,” please enter the total of the nominal principals of the transactions with a portion remaining unsettled as of the reference date based upon the terms of the contract in principle.
5. In the cases where the contracts in the derivative transactions are denominated in a foreign currency, please enter the amounts after translating them into yen amounts at the exchange rate on the date of contract in principle.

[Appended Form 5.]

1. The reference date for filling of form is set annually on the last day of March.
2. “Investment division” refers to a division to which the persons serving for the business related to the judgements of the investment management belong.

[Appended Form 6.]

1. The reference date for filling of the form is set annually on the last day of business year.
2. If the member concurrently engages in other businesses, please enter for the operating expenses, etc. of the investment advisory and fund management division the amount reflecting the actual conditions.
3. “Management fee pertaining to fund management business” refers to the investment management fees and other fees pertaining to the acts mentioned in Article 2, paragraph (8), item (xv) of FIEA.
4. Personnel expenses is the total of the “wages,” “retirement benefit cost” and “reserve for retirement benefits for officers,” if the relevant scheme exist, on the profit and loss statement of Uniform Accounting Standards for Investment Management Business, etc.
5. Expenses pertaining to real properties refer to the rent payable for the land and buildings (including the portion of the company housing rent borne by the company), the fixed asset tax pertaining to the real properties, the repairing expenses and fire insurance premium for the building, and the expenses required for the maintenance and management of the

building (expenses for common benefit, cleaning expenses, expenses for lighting and fuel, etc. that by nature are expenses payable for the common benefit).

6. Research expenses refer to the expenses related to the collection of information by information devices and business management systems, and other expenses related to the research and studies that are directly and exclusively necessary for the execution of business. Specifically, the research expenses include the information use fee, research fee, commissioned research fee, book-purchasing expenses, online system usage fee, fee for audio-visual media services, listening and viewing expenses, lease/rental expense associated with information-processing equipment, system-related expenses including consignment fee, and education and training cost that are directly and exclusively associated with the research and study function.

(Appended Form 1. Fund management business)

(A4: horizontally long)

Company name

Location

Postal code:

Telephone:

Facsimile:

HP

Website:

Representative:

Financial instruments business

operator registration number:

Date of

registration:

Association Membership no.:

Month and year of

commencement of business:

Amount of

capital:

100 million yen

Division that filled

the form:

Telephone:

Company overview

## 1. Type of business

Investment management business	1.2812 1. Business pertaining to Article 2, paragraph (8), item (xii), (a) of FIEA	2.2812 2. Business pertaining to Article 2, paragraph (8), item (xii), (b) of FIEA
	3.2814 3. Business pertaining to Article 2, paragraph (8), item (xiv) of FIEA	4.2815 4. Business pertaining to Article 2, paragraph (8), item (xv) of FIEA
Investment advisory and agency business	1.2811 1. Business pertaining to Article 2, paragraph (8), item (xi) of FIEA	2.2813 2. Business pertaining to Article 2, paragraph (8), item (xiii) of FIEA
Type-I business/ Type-II business	1.281 1. Business pertaining to Article 28, paragraph (1) of FIEA	2.282 2. Business pertaining to Article 28, paragraph (2) of FIEA

## 2. Major places of business, subsidiary corporations, etc. and affiliated companies

Classification	Name	Location

## 3. Major shareholders

Names of shareholders	Holding ratio of voting rights
	%
	%
	%
	%
	%

Names of shareholders	Holding ratio of voting rights
	%
	%
	%
	%
	%

## 4. Financial status (during the latest three business years)

(Unit: Million yen)

Fiscal period	ファンド <sup>※</sup> Earnings of fund management division	Total earnings	Ordinary profit and loss	Net profit or loss for the current period	Net assets
Period ended					
Period ended					
Period ended					

## 5. Organization

a. Total number of officers and employees: \_\_\_\_\_ persons

b. Number of persons serving for the investment management business persons

Of which, fund managers: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

Of which, number of researchers: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_ years and \_\_\_\_ months.

c. Number of Certificate-holder Member of the Securities Analysts Association of Japan: \_\_\_\_\_ persons

Number of Chartered Financial Analysts: \_\_\_\_\_ persons

&lt;Organization chart&gt;



If the member engages in the business other than the fund management business (discretionary investment business, specified investment management business related to real properties, wrap business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 2. Fund management business)

Disclosure materials

Company name  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

1. Status of contract asset

(Unit of amount: Million yen)

		Investment managemen Assetst	Assets Under Advice
		Amount	Amount
Domestic	Collective Investment Schemes(excluding mutual funds)		
	Other		
	Domestic - Total		
Overseas	Collective Investment Schemes(excluding mutual funds)		
	Other		
	Overseas - Total		
Combined total			

Note: In the field of investment advisory contracts, enter the figure that only relates to the contracts concluded on the premise of the amount of Customer Assets. Total number of contracts of the investment advisory contracts was \_\_\_\_.

If the member engages in the business other than the fund management business (discretionary investment business, specified investment management business related to real properties, wrap business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 3. Fund management business)

Disclosure materials

Company name  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

2. Status of investment management, as classified by type of investment targets

(Unit of amount: Million yen)

	Specialized in domestic stocks	Other domestic investment targets	Specialized in overseas stocks	Other overseas investment targets	Specialized in global stocks	Global - Other
Number of contracts						
Amount						

If the member engages in the business other than the fund management business (discretionary investment business, specified investment management business related to real properties, wrap business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 4. Specified investment management business related to real properties, fund management business)

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

3. Status of investment, by country or territory

(Unit of amount: Million yen)

	Japan	U.S.A.	Europe	Asia	Other	Total
Stocks						
Bonds						
Real Property Securities						
Short-term assets						
Other						

4. Status of derivatives transactions

A. Balance of Exchange traded derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

B. Balance of OTC derivatives

(Unit of amount: Million yen)

Balance of forward transactions	Balance of option transactions	Balance of swap transactions	Other

C. Balance of overseas Exchange traded derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

Company name  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

Table of composition of officers and employees

Figures in parentheses indicate average years of experience.		
	Total	Fund management division
Investment division		
Of which, fund managers	(      years and      months)	(      years and      months)
Of which, researchers	(      years and      months)	(      years and      months)
Sales division		
Compliance division		
Other		
Total		

Temporary employees		
---------------------	--	--

Number of Certificate-holder Member of the Securities Analysts Association of Japan:\_\_\_\_\_persons

Number of Chartered Financial Analysts:\_\_\_\_\_persons

**Company name**

\_\_\_\_\_(month) \_\_\_\_\_(year) through \_\_\_\_\_(month) \_\_\_\_\_(year)

## Table of breakdown of income

## 1. Breakdown of operating income (Unit: Thousand yen)

	Amount
Management fee pertaining to discretionary investment contracts	
Management fee pertaining to fund management business	
Of which, contingent fee	
Advisory fee pertaining to investment advisory contracts	
Other	
Total operating income	

## 2. Breakdown of operating expenses and general administrative expenses (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Personnel expenses		
Expenses pertaining to real properties		
Research expenses		
Advertising expenses		
Other expenses		
Total operating expenses and general administrative expenses		

## 3. Non-operating profit or loss (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Earnings		
Expenses		

- Business conducted other than investment management business and investment advisory business

\_\_\_\_\_

## Points in attention upon filling the appended form (fund management business)

[1]

### [Appended Form 1.]

Reference date for filling of the form	Please fill the form as of the last day of June every year as the reference date for filling of the form (however, for “5. Organization,” the reference date needs to be the last day of March every year.).
Company name	Please enter the formal trade name specified in the Articles of Incorporation without abbreviating. In the case of a foreign-capital company established in accordance with the laws of a country other than Japan (foreign company), please enter the name used on the application for registration (including a notification of change made to it afterward) submitted to the competent authority.
Location	In the case of a foreign company, please enter the location of a branch office, etc. established in Japan.
Telephone:	Please enter the telephone number serving as the reception point for the investment management division (division in charge of engagement in the fund management business).
Website:	Please enter the website address.
Representative:	Please enter the name and the title.
Financial instruments business operator registration number:	In the case of a foreign company, please enter those of the representative in Japan. Be sure to enter accurate numbers without abbreviating.
Association Membership no.:	(e.g.) Director-General of the Kanto Local Finance Bureau ( <i>Kin-Sho</i> ) No. xx
Month and year of commencement of business:	Please enter when (month and year) the business operation first started.
Amount of capital:	Please enter the amount of “paid-in capital” as of the day of completing this form. In the case of a foreign company, please enter the amount of the “brought-in capital” of the branch office in Japan.
Division that filled the form:	Please enter the name of the division that is actually in charge of preparation of “Company overview” and its telephone number, or the title, the name of the division, the name and the telephone number of the person (name one person) who actually prepared “Company overview.”
Telephone:	

1. Type of business  
Please circle the number of the registered type of business.
2. Major places of business, subsidiary corporations, etc. and affiliated companies  
For each category, please enter major places of business, subsidiary corporations, etc. and affiliated companies.
  - Place of business: Please enter if there is a place of business, office, etc. at a place in Japan other than the place entered in the field of the location of the company.
  - Subsidiary corporation, etc.: Please enter the subsidiary corporation, etc. set forth in Article 31-4 of the Financial Instruments and Exchange Act (FIEA).
  - Affiliated companies: Please enter the affiliated companies.
3. Major shareholders  
Please enter the names of shareholders with ten highest holding ratios of voting rights in the descending order and their respective holding ratios (in %, calculated to the first decimal place).
4. Financial status (during the latest three business years)  
Please fill with the data for the latest three business years in the order of showing the data for the latest year on the top line, the data for the second latest year on the next line. For the “Fiscal period,” please enter as “Period ended (month) (year).”  
If, for example, a fiscal period of six months is contained due to a change in the fiscal period, please enter the settlement data for two years and six months.  
In the field of “Earnings of fund management division,” please enter the total amount of the investment management fees pertaining to the fund management business and other similar fees. In the field of “Total earnings,” please copy the amount of the operating income shown in the business report.
5. Organization

Total number of officers and employees: Please include the number of part-time officers in the total number of officers and employees.

Total number of officers and employees refers to the number of persons, including part-time employees, etc., listed on the register for three or more months as of the reference date or those under the employment contracts under which the period of employment is assumed to be not less than three months.

Number of persons serving for the investment management business...Please enter the number of officers and employees working for the investment management business (fund management business) (which should be coincided with the "Total" number of persons of "Investment division" on Appended Form 5.).

Number of fund managers...Please enter the number of persons having the responsibility and capability for the management of the assets of the customers and involved in determining of the final investment decisions out of the "Number of persons serving for the investment management business." The persons concurrently serving as researchers, if any, should be included in the number of the division the relevant persons' primary business.

Number of researchers: Please enter the number of researchers out of the "Number of persons serving for the investment management business." The researchers refer to economists, analysts and other similar persons (hereinafter the same). The persons concurrently serving as fund managers, if any, should be included in the number of the division the relevant persons' primary business.

Average number of years and months of experience: The length of the experience in the business other than at an investment management company (company related to the securities, etc.) may be included in the number of years and months of experience.

## Points in attention upon filling the appended form (fund management business)

If the member engages in the business other than the fund management business (discretionary investment business, specified investment management business related to real properties, wrap business), please also fill an appropriate appended form for each of those businesses.

### [Common matters regarding contracts] (Appended Forms 2. through 4.)

1. The reference dates for filling of the forms are set on the last days of March, June, September and December.
2. The amount needs to be shown in market value in conformity with the Accounting Standards for Financial Instruments.
3. Any fraction of less than unit in the figure of each item shall be rounded off (the total of all items does not need to correspond with the figure shown in the field of Total).
4. The investment management contracts refer to any of the following contracts:
  - (1) Discretionary investment contract; or
  - (2) Contracts pertaining to the fund management business.
5. An investment advisory contract is an investment advisory contract set forth in Article 2, paragraph (8), item (xi) of FIEA.

### [Appended Form 2.]

1. For “Investment advisory,” please enter only the contracts concluded on the premise of the amount of Customer Assets.
2. For “fund management,” please enter as the contract amount only the customer’s equity invested by the customer in market value in conformity with the Accounting Standards for Financial Instruments.

### [Appended Form 3.]

1. Please classify the kinds of the investment targets based upon the purpose of investment indicated on the contract, etc.
2. Please enter the number of funds. Further, please enter as the contract amount only the customer’s equity invested by the customer in market value in conformity with the Accounting Standards for Financial Instruments.

### [Appended Form 4.]

1. Asia, as in “3. Status of investment, by country or territory” includes the following countries, etc. (in alphabetical order):  
Afghanistan, Bangladesh, Bhutan, Brunei, Cambodia, China, East Timor, Hong Kong, India, Indonesia, Kazakhstan, Kirghiz, Korea, Laos, Macau, Malaysia, the Maldives, Mongol, Myanmar, Nepal, Pakistan, the Philippines, Singapore, Sri Lanka, Taiwan, Tajikistan, Thai, Turkmenistan, Vietnam, Uzbekistan.
2. Real Property Securities refer to the securities related to real properties set forth in the preamble of the Business Operation Standards on Securities Investments Related to Real Property.
3. Foreign exchange forward transactions are derivatives transactions if the transaction expects a cash settlement.
4. In “3. Status of investment, by country or territory,” please enter regarding the derivative transactions and foreign exchange forward transactions (only those under which cash settlement is not expected) according to the classification of the underlying assets (in the cases of derivatives) based upon the criteria used in Appended Form 2.
5. As the balance of derivatives in “4. Status of derivatives transactions,” please enter the total of the nominal principals of the transactions with a portion remaining unsettled as of the reference date based upon the terms of the contract in principle.
6. In the cases where the contracts in the derivative transactions are denominated in a foreign currency, please enter the amounts after translating them into yen amounts at the exchange rate on the date of contract in principle.

### [Appended Form 5.]

1. The reference date for filling of form is set annually on the last day of March.
2. “Fund management division” refers to a division in charge of engagement in the fund management business.
3. “Investment division” refers to a division to which the persons serving for the business related to the judgements of the investment management belong, and the fund managers and researchers make up the total number of the persons of the division. The fund managers include the persons conducting the investment advisory business.
4. The number of years of experience includes years of experience at other companies.

### [Appended Form 6.]

1. The reference date for filling of the form is set annually on the last day of business year.
2. “Fund management division” refers to a division in charge of engagement in the fund management business.



3. If the member concurrently engages in other businesses, please enter for the operating expenses, etc. of the investment advisory and fund management division the amount reflecting the actual conditions.
4. “Management fee pertaining to fund management business” refers to the investment management fees and other fees pertaining to the acts mentioned in Article 2, paragraph (8), item (xv) of FIEA, and please also enter the amount of the contingent fee contained in it.
5. Personnel expenses is the total of the “wages,” “retirement benefit cost” and “reserve for retirement benefits for officers,” if the relevant scheme exist, on the profit and loss statement of Uniform Accounting Standards for Investment Management Business, etc.

Company name

Location

Postal code:

Telephone:

Facsimile:

HP

Website:

Representative:

Financial instruments business operator registration number:

Date of registration:

Association Membership no.:

Month and year of commencement of business:

Amount of capital:

100 million yen

Division that filled the form:

Telephone:

Company overview

1. Type of business

Investment management business	1. Business pertaining to Article 2, paragraph (8), item (xii), (a) of FIEA	2. Business pertaining to Article 2, paragraph (8), item (xii), (b) of FIEA
	3. Business pertaining to Article 2, paragraph (8), item (xiv) of FIEA	4. Business pertaining to Article 2, paragraph (8), item (xv) of FIEA
Investment advisory and agency business	1. Business pertaining to Article 2, paragraph (8), item (xi) of FIEA	2. Business pertaining to Article 2, paragraph (8), item (xiii) of FIEA
Type-I business/ Type-II business	1. Business pertaining to Article 28, paragraph (1) of FIEA	2. Business pertaining to Article 28, paragraph (2) of FIEA

2. Major places of business, subsidiary corporations, etc. and affiliated companies

Classification	Name	Location

3. Major shareholders

Names of shareholders	Holding ratio of voting rights	Names of shareholders	Holding ratio of voting rights
	%		%
	%		%
	%		%
	%		%
	%		%

4. Financial status (during the latest three business years)

(Unit: Million yen)

Fiscal period	Earnings of investment advisory division	Total earnings	Ordinary profit and loss	Net profit or loss for the current period	Net assets
Period ended					
Period ended					
Period ended					

5. Organization (if engaging in securities business or trust business, enter the virtual numbers of persons serving for the investment advisory division in a. through c.)

- a. Total number of officers and employees: \_\_\_\_\_ persons
- b. Number of persons serving for the investment management business: \_\_\_\_\_ persons  
Of which, fund managers: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_\_ years and \_\_\_\_\_ months.  
Of which, in the case of a company concurrently engaging in the investment trust business, number of full-time staff of the investment advisory division: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_\_ years and \_\_\_\_\_ months.  
Of which, number of researchers: \_\_\_\_\_ persons, average number of years of experience: \_\_\_\_\_ years and \_\_\_\_\_ months.
- c. Number of Certificate-holder Member of the Securities Analysts Association of Japan: \_\_\_\_\_ persons  
Number of Chartered Financial Analysts: \_\_\_\_\_ persons

<Organization chart>

## (Appended Form 1-b. Discretionary investment business/Wrap business)

(A4: vertically long)

Company name

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○ Status of the financial instruments transactions involving assets pertaining to the investment management contracts (during the latest business year)

1. Period Covered: From (day) (month), (year) through (day) (month), (year)

2. Ratio of transactions pertaining to the financial instruments transactions:

	Trade name of the other party	Ratio of transaction amount	Remarks
Transactions to which the member itself was the other party of the customer		. %	
Transactions with corporations that come under a. below		. %	
		. %	
		. %	
Transactions with corporations that come under b. below		. %	
		. %	
		. %	
		. %	
Transactions with corporations that come under c. below		. %	
		. %	
		. %	

- Corporation that was the other party to the financial instrument transaction conducted for a customer and is a parent corporation or subsidiary corporation set forth in Article 15-16 of Order for Enforcement of the Financial Instruments and Exchange Act.
- Corporation that was the other party to the financial instrument transaction conducted for a customer and is a corporation whose transaction amount accounts for 10% or more of the total annual amount of the transactions in the financial instruments conducted for the customers.
- Corporation that was the other party to the financial instrument transaction conducted for a customer and is a Related Foreign Juridical Person, etc set forth in Article 126, item (iii) of Cabinet Office Order on Financial Instruments Business, etc.

(Points in attention concerning preparation of form)

- For "Trade name of the other party," enter the registered name of the company (excluding "Kabushiki Kaisha (Co., Ltd.)") If the member owes the duty of confidentiality or has any other reasonable ground, the disclosure in this field and in "ratio of transaction amount" is not necessary.
- For "Ratio of transaction amount," enter the figure calculated to the second decimal place and round it off to the nearest first decimal place.
- The basis of calculation of the figure to be entered in "Ratio of transaction amount" shall be as follows:
  - Transaction amount of securities...on the basis of the contract price as of the date of contract in principle.
  - Transaction amount of the transactions in derivative instruments...Basically the nominal principal amount of the date of contract. If the derivative contract is dominated in a foreign currency, the amount is calculated into yen amount using the exchange rate on the date of contract.
  - Basis for foreign currency translation...the yen amounts are to be used in principle if the amounts in a foreign currency is translated from time to time for management of the fund; otherwise, the amounts shall be translated into yen in principle using the exchange rate as of the last day of the period subject to the disclosure.
- Please enter in the field of "Remarks" such matters that may be considered necessary in connection with the disclosure above.

If the member engages in the business other than the wrap business (discretionary investment business, specified investment management business related to real properties, fund management business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 2-a. Wrap business)

Disclosure materials

Company name

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

1. Status of contract asset

(Unit of amount: Million yen)

		Discretionary Assets		Assets Under Advice	
		Number of contracts	Amount	Number of contracts	Amount
Domestic	Corporations				
	Individuals				
	Domestic - Total				
Overseas	Corporations				
	Individuals				
	Overseas - Total				
Combined total					

Note: In the field of investment advisory contracts, enter the figure that only relates to the contracts concluded on the premise of the amount of Customer Assets. Total number of contracts of the investment advisory contracts was \_\_\_\_.

If the member engages in the business other than the wrap business (discretionary investment business, specified investment management business related to real properties, fund management business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 2-b. Wrap business)

1. Status of contract assets, as classified by type of customer

**Company name**  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

			(Unit of amount: Million yen)			
			Investment management		Investment advisory	
			Number of contracts	Amount	Number of contracts	Amount
Domestic	Corporations	Financial institutions				
		Non-financial corporations				
		Other types of corporations				
		Total				
	Individuals					
Overseas	Corporations					
	Individuals					
	Overseas - Total					

Entrustment

Domestic investment management institutions

contracts

Million yen

Overseas investment management institutions

contracts

Million yen

Investment advisory (receiving)

Domestic investment management institutions

contracts

Million yen

Overseas investment management institutions

contracts

Million yen

If the member engages in the business other than the wrap business (discretionary investment business, specified investment management business related to real properties, fund management business), please also fill an appropriate appended form for each of those businesses.

(Appended Form 3. Wrap business)

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

Disclosure materials

2. Status of investment management, as classified by type of investment targets

a. Mutual fund wrap

(Unit of amount: Million yen)

	Specialized in domestic stocks	Specialized in domestic bonds and debentures	Other domestic investment targets	Specialized in overseas stocks	Specialized in overseas bonds and debentures	Other overseas investment targets	Specialized in global stocks	Specialized in global bonds and debentures	Global - Other
Number of contracts									
Amount									

( : )

b. Other than mutual fund wrap

(Unit of amount: Million yen)

	Specialized in domestic stocks	Specialized in domestic bonds and debentures	Other domestic investment targets	Specialized in overseas stocks	Specialized in overseas bonds and debentures	Other overseas investment targets	Specialized in global stocks	Specialized in global bonds and debentures	Global - Other
Number of contracts									
Amount									

3. Status of distribution by contract amount

(Unit of amount: Million yen)

	1000 Less than 10 million yen	1000~2000 10 million yen or more but less than 20 million yen	2000~5000 20 million yen or more but less than 50 million yen	5000~1 50 million yen or more but less than 100 million yen	1~10 100 million yen or more but less than one billion yen	10 One billion yen or more
Number of contracts	contracts	contracts	contracts	contracts	contracts	contracts
Composition ratio	. %	. %	. %	. %	. %	. %
Amount						
Composition ratio	. %	. %	. %	. %	. %	. %

If the member engages in the business other than the wrap business (discretionary investment business, specified investment management business related to real properties, fund management business), please also fill an appropriate appended form for each of those businesses.

**Company name**  
(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

4. Status of investment, by country or territory

( : )  
(Unit of amount: Million yen)

	Japan	U.S.A.	Europe	Asia	Other	Total
Stocks						
Bonds						
Real Property Securities						
Short-term assets						
Other						

5. Status of acceptance of entrustment through investment management with absolute return

Amount (Unit: Million yen)	
----------------------------	--

6. Status of contracts

	Number of contracts	Amount
New contracts		
Cancelled contracts		

## 7. Status of derivatives transactions

### A. Balance of market derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		

### B. Balance of OTC derivatives

(Unit of amount: Million yen)

Balance of forward transactions	Balance of option transactions	Balance of swap transactions	Other

### C. Balance of overseas market transactions of derivatives

(Unit of amount: Million yen)

Balance of futures transactions		Balance of option transactions		Other	
Stocks	Public and corporate bonds	Stocks	Public and corporate bonds		



(Appended Form 5. Wrap business)

**Company name**

(as of the end of \_\_\_\_ (month) \_\_\_\_ (year))

Table of composition of officers and employees

Figures in parentheses indicate average years of experience.

	Wrap business division
Investment division	
Of which, fund managers	(      years and      months)
Of which, researchers	(      years and      months)
Of which, traders	(      years and      months)
Sales division	
Compliance division	
Other	
Total	

Temporary employees	
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Number of Certificate-holder Member of the Securities Analysts Association of Japan: \_\_\_\_\_ persons

Number of Chartered Financial Analysts: \_\_\_\_\_ persons

**Company name**

(\_\_\_\_(month) \_\_\_\_ (year) through \_\_\_\_ (month) \_\_\_\_ (year))

## Table of breakdown of income

## 1. Breakdown of operating income (Unit: Thousand yen)

	Amount
Management fee pertaining to discretionary investment contracts	
Management fee pertaining to fund management business	
Of which, contingent fee	
Advisory fee pertaining to investment advisory contracts	
Other	
Total operating income	

## 2. Breakdown of operating expenses and general administrative expenses (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Personnel expenses		
Expenses pertaining to real properties		
Research expenses		
Advertising expenses		
Other expenses		
Total operating expenses and general administrative expenses		

## 3. Non-operating profit or loss (Unit: Thousand yen)

	Total	Investment advisory and fund management division
Earnings		
Expenses		

- Business conducted other than investment management business and investment advisory business

\_\_\_\_\_

Points in attention upon filling the appended form (wrap business)

[Appended Form 1-a.]

Reference date for filling of the form	Please fill the form as of the last day of June every year as the reference date (however, for “5. Organization,” the reference date needs to be the last day of March every year).
Company name	Please enter the formal trade name specified in the Articles of Incorporation without abbreviating. In the case of a foreign-capital company established in accordance with the laws of a country other than Japan (foreign company), please enter the name used on the application for registration (including a notification of change made to it afterword) submitted to the competent authority.
Location	In the case of a foreign company, please enter the location of a branch office, etc. established in Japan.
Telephone:	Please enter the telephone number serving as the reception point for the Investment management division (division in charge of engagement in the investment advisory business).
Website:	Please enter the website address.
Representative:	Please enter the name and the title. In the case of a foreign company, please enter those of the representative in Japan.
Financial instruments business operator registration number:	Be sure to enter accurate numbers without abbreviating.
Association Membership no.:	(e.g.) Director-General of the Kanto Local Finance Bureau ( <i>Kin-Sho</i> ) No. xx
Month and year of commencement of business:	Please enter when (month and year) the business operation first started.
Amount of capital:	Please enter the amount of “paid-in capital” as of the day of completing this form. In the case of a foreign company, please enter the amount of the “brought-in capital” of the branch office in Japan.
Division that filled the form:	Please enter the name of the division that is actually in charge of preparation of “Company overview” and its telephone number, or the title, the name of the division, the name and the telephone number of the person (name one person) who actually prepared “Company overview.”
Telephone:	

1. Type of business  
Please circle the number of the registered type of business.
2. Major places of business, subsidiary corporations, etc. and affiliated companies  
For each category, please enter major places of business, subsidiary corporations, etc. and affiliated companies.
  - Place of business: Please enter if there is a place of business, office, etc. at a place in Japan other than the place entered in the field of the location of the company.
  - Subsidiary corporation, etc.: Please enter the subsidiary corporation, etc. set forth in Article 31-4 of the Financial Instruments and Exchange Act (FIEA).
  - Affiliated companies: Please enter the affiliated companies.
3. Major shareholders  
Please enter the names of shareholders with ten highest holding ratios of voting rights in the descending order and their respective holding ratios (in %, calculated to the first decimal place).
4. Financial status (during the latest three business years)  
Please fill with the data for the latest three business years in the order of showing the data for the latest year on the top line, the data for the second latest year on the next line. For the “Fiscal period,” please enter as “Period ended (month) (year).”  
If, for example, a fiscal period of six months is contained due to a change in the fiscal period, please enter the settlement data for two years and six months.  
In the field of “Earnings of investment advisory division,” please enter the total amount of the investment management fees pertaining to the discretionary investment contracts, investment advisory fees pertaining to the investment advisory contract and other similar fees. In the field of “Total earnings,” please copy the amount of the operating income shown in the business report.

5. Organization

Total number of officers and employees: Please include the number of part-time officers in the total number of officers and employees.

Total number of officers and employees refers to the number of persons, including part-time employees, etc., listed on the register for three or more months as of the reference date or those under the employment contracts under which the period of employment is assumed to be not less than three months.

In the case of a member engaging in the securities business or trust business, please enter the number of persons working for the investment advisory division. If there are persons working concurrently for more than one division, please enter the virtual number obtained by pro-rata calculation based upon the time or amount of the assets under management allotted to the relevant business, etc.

However, in the case of a member engaging in the wrap business, please enter the total number of officers and employees in charge of the relevant business on a full-time basis (for example, the staff in charge of sales who is involved in the sales activities of products including wrap accounts at a branch office, etc. of a member engaging in the wrap business need be excluded.).

Number of persons serving for the investment management business: Please enter the number of officers and employees working for the investment business (investment management business) (which should be coincided with the “Total” number of persons of “Investment division” on Appended From 5.).

Number of fund managers: Please enter the number of persons having the responsibility and capability for the management of the assets of the customers and involved in determining of the final investment decisions out of the “Number of persons serving for the investment management business.” The persons concurrently serving as researchers, if any, should be included in the number of the division the relevant persons’ primary business.

Number of researchers: Please enter the number of researchers out of the “Number of persons serving for the investment management business.” The researchers refer to economists, analysts and other similar persons (hereinafter the same). The persons concurrently serving as fund managers, if any, should be included in the number of the division the relevant persons’ primary business.

Average number of years and months of experience: The length of the experience in the business other than at an investment management company (company related to the securities, etc.) may be included in the number of years and months of experience.

In the case of a member engaging in the securities business or trust business, please enter the number of fund managers, Certificate-holder Member of the Securities Analysts Association of Japan and Chartered Financial Analysts who are working for the investment advisory division, respectively. If there are persons working concurrently for more than one division, please enter the virtual number obtained by pro-rata calculation based upon the time or amount of the assets under management allotted to the relevant business, etc.

In the case of a company concurrently engaging in the investment trust business, please enter the total figure, and in the field of “number of fund managers,” please enter the persons serving for the investment advisory division on a full-time basis and the number of persons who concurrently serve for the investment advisory division and investment trust division separately in the parenthesis.

<Organization chart> Please prepare the chart using the brochures, etc. that each company prepares and distributes to the customers.

## Points in attention upon filling the appended form (wrap business)

If the member engages in the business other than the wrap business (discretionary investment business, specified investment management business related to real properties, fund management business), please also fill an appropriate appended form for each of those businesses.

### [Common matters regarding contracts] (Appended Forms 2. through 4.)

1. The reference dates for filling of the forms are set on the last days of March, June, September and December.
2. The amount shall be in market value, and the basis of the market value shall basically be the basis adopted for the surviving employees' pension fund.
3. Any fraction of less than unit in the figure of each item shall be rounded off (the total of all items does not need to correspond with the figure shown in the field of Total).
4. The investment management contracts refer to any of the following contracts:
  - (1) Discretionary investment contract; or
  - (2) Contracts pertaining to the fund management business.
5. An investment advisory contract is an investment advisory contract set forth in Article 2, paragraph (8), item (xi) of FIEA.
6. Wrap business refers to the business managed based upon the contract with the customer to collect fees pertaining to the business pertaining to the discretionary investment contracts or investment advisory services and commissions including transaction execution and account management fees all at once in accordance with the balance of assets under management (including the business for which the investment advisory fee (referring to the fee pertaining to the investment advisory service; hereinafter the same) is collected as contingent fee).
7. For new contracts of the wrap accounts, please enter the number of contracts and their contract amounts as of the virtual dates of contracts such as the first day of investment stated on the relevant contracts.

### [Appended Form 2.]

1. For "Investment advisory," please enter only the contracts concluded on the premise of the amount of Customer Assets.
2. For "Financial institutions," please enter the contracts with banks, life insurance companies, non-life insurance companies, credit unions, credit Associations, labor credit Associations, etc. (including the central organizations, if any) (excluding the securities business, lease business and money lending business).
3. For "Entrustment" at the margin, please enter the number of contracts under which the authority to make investments relevant to the business pertaining to the discretionary investment contracts and their contract amounts.
4. For "Investment advisory (receiving)" at the margin, please enter the number of contracts under which the advice is received based upon the investment advisory contracts and their contract amounts.
5. The classification of the overseas shall be U.S.A., Europe, Asia and Other.  
Asia includes the following countries, etc. (in alphabetical order).  
Afghanistan, Bangladesh, Bhutan, Brunei, Cambodia, China, East Timor, Hong Kong, India, Indonesia, Kazakhstan, Kirghiz, Korea, Laos, Macau, Malaysia, the Maldives, Mongol, Myanmar, Nepal, Pakistan, the Philippines, Singapore, Sri Lanka, Taiwan, Tajikistan, Thai, Turkmenistan, Vietnam, Uzbekistan.

### [Appended Form 3.]

1. A mutual fund wrap refers to a contract under which only investment trusts (excluding short-term assets) may be incorporated into the targets of the investment. Those contracts that allow other securities to be incorporated in the targets of the investments should be entered in "Other than mutual funds" (even if the investments are 100% made in the investment trusts as of the reference date for filling of the form, as long as the contracts provide that the investments may be made in the securities other than the investment trusts, those contracts should be included in the entry of "Other than mutual fund wrap").
2. Please classify the kinds of the investment targets based upon the purpose of investment indicated on the contract, etc. (even when 100% of the investments are made on the stocks as of the reference date for filling of the form, if the balanced investment is aimed, it should be entered in the space for "Other.").
3. For the composition ratio by the scales of the contracts, please show the ratios to the first decimal place.

### [Appended Form 4.]

1. Asia, as in "4. Status of investment, by country or territory" includes the following countries, etc. (in alphabetical order):  
Afghanistan, Bangladesh, Bhutan, Brunei, Cambodia, China, East Timor, Hong Kong, India, Indonesia, Kazakhstan, Kirghiz, Korea, Laos, Macau, Malaysia, the Maldives, Mongol, Myanmar, Nepal, Pakistan, the Philippines, Singapore, Sri Lanka, Taiwan, Tajikistan, Thai, Turkmenistan, Vietnam, Uzbekistan.
2. If investment trusts are incorporated in the investment, please enter by the classification of the assets under management

of those investment trusts. However, if the assets under management cannot be specified, please include them in Other.

3. Please include bonds with share options in Bonds and debentures.
4. “5. Status of acceptance of entrustment through investment management with absolute return” refers to the manner of investment aiming at realizing return that exceeds the short-term interest rate in the domestic and overseas markets or positive return regardless of the market conditions. If investment is made from the discretionary investment account in investment trusts, etc., it should be judged based upon the purpose of investment of the relevant investment trust, etc.
5. Under “6. Status of contracts,” please enter the numbers of cases and amounts of the contracts newly concluded or terminated during the relevant quarter.
6. When a contract is terminated as of the last day of a month, that contract is included in the contract assets as of the end of the relevant month and count in the number of contracts and amount of the contract.
7. Foreign exchange forward transactions are derivatives transactions if the transaction expects a cash settlement.
8. In “4. Status of investment, by country or territory,” please enter the derivative transactions and foreign exchange forward transactions (only those under which cash settlement is not expected) according to the classification of the underlying assets (in the cases of derivatives) based upon the criteria used in Appended Form 2-b.
9. As the balance of derivatives in “7. Status of derivatives transactions,” please enter the total of the nominal principals of the transactions with unsettled portions on the reference date basically based upon the terms of the contract.
10. In the cases where the contracts in the derivative transactions are denominated in a foreign currency, please enter the amounts after translating them into yen amounts at the exchange rate on the date of contract in principle.

[Appended Form 5.]

1. The reference date for filling of form is set annually on the last day of March.
2. “Wrap business division” refers to the division engaging in the wrap business among the businesses pertaining to the discretionary investment contracts and investment advisory business.
3. “Investment division” refers to a division to which the persons serving for the business related to the judgements of the investment management belong, and the fund managers, researchers and traders make up the total number of the persons of the division. The fund managers include the persons conducting the investment advisory business.
4. The number of years of experience includes years of experience at other companies.
5. In the case of a person concurrently holding more than one positions, please enter the numbers of years prorated for respective positions.
6. If there are persons working concurrently for more than one division, please enter the virtual number obtained by pro-rata calculation based upon the time or amount of the assets under management allotted to the relevant business, etc.

[Appended Form 6.]

1. The reference date for filling of the form is set annually on the last day of business year.
2. “Investment advisory division” refers to the division engaging in the business pertaining to the discretionary investment contracts and investment advisory business.
3. If the member concurrently engages in other businesses, please enter for the operating expenses, etc. of the investment advisory and fund management division the amount reflecting the actual conditions.
4. In the case of a member engaging in the securities business or trust business, please enter the amount only of the investment advisory and fund management division.
5. “Management fee pertaining to fund management business” refers to the investment management fees and other fees pertaining to the acts mentioned in Article 2, paragraph (8), item (xv) of FIEA.
6. Personnel expenses is the total of the “wages,” “retirement benefit cost” and “reserve for retirement benefits for officers,” if the relevant scheme exist, on the profit and loss statement of Uniform Accounting Standards for Investment Management Business, etc.