(Appended Form 1)(A4: Vertically long)

Application for Admission

Date:

To: Chairman of Japan Investment Advisers Association

Trade name or name:

Title:

Name:

(Name of a registered representative in the case of a corporation)

In agreement with the purpose of the Association set forth in the Article 3 of the Association’s Articles of Incorporation, we hereby apply for admission.

We pledge to comply with laws and regulations, etc. as well as the Articles of Incorporation and other rules, etc. established by the Association and will strive to protect investors and promote the sound development of investment management business and investment advisory and agency business.

The information we have provided is true and correct with respect to “1. Company Overview,” “2. Whether facts, etc. that fall under the items of Article 4 of the Rules on Membership and Notification (Resolution of the Board of Directors on March 28, 2012) established by the Association (hereinafter referred to as the “Rules”) exist,” and “3. Systems for complying with laws and regulations, etc. as well as the Articles of Incorporation and other rules, etc. established by the Association.”

<<Reference>> (Provide if there is a reference; multiple references are acceptable.)

Trade name or name:

|  |  |
| --- | --- |
| Name: |  |

Address:

(A4: vertically long)

1. Company overview

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Registration No. | | | | | | Director-General of Local Finance (Branch) Bureau (Financial Instruments Business) No. | | | | | | | | | |
| Type of business | (For qualified investors)  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 | | | |
| \* Circle the number of the business engaged. In the case of investment management business for qualified investors, circle the words in the brackets as well. | | | | | | | | | | | | | | |
| Corporations  Individuals | | | Trade name or name: | | | |  | | | | | | | | |
| Name:  (Name of the registered representative in the case of a corporation) | | | | |  | | | | | | | | | Amount of Capital | |
| thousand yen | |
| Address: | | | | Postal code: | | | | | | | | | | Phone no.: | |
| ( ) | |
| Officer(s) | | | | | | | | | | | | | | | |
| Name: | | | | Title: | | | | | | Trade name and type of business of any other company where the officer is engaged in ordinary business, or type of any other business operated by the officer | | | | | |
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| Employees specified by Article 15-4 of the Cabinet Order | | | | | | | | | | | | | | | |
| Type | | Name | | | | | | | Title | | Name | | | | Title |
| Type I | |  | | | | | | |  | |  | | | |  |
| Type II | |  | | | | | | |  | |  | | | |  |
| Compliance officer | | | | | | | | Name | | | | | Title | | |
|  | | | | |  | | |
| Major shareholder(s) | | | | | | | | Number of shares held | | | | | Percentage of shareholding | | |
|  | | | | | | | |  | | | | |  | | |
|  | | | | | | | |  | | | | |  | | |

Note: A compliance officer means the compliance officer as specified in 1. (2) of the Self-Regulation Standards on Systems for Business Execution (Resolution of the Board of Directors on June 16, 2000) established by the Association.

:

(Unit: Thousand yen)

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Corporations | Fiscal period | Operating income |  | | | | Ordinary profit and loss | Net profit | Net assets |
| \*1 | \*2 | \*3 | \*4 |
|  |  |  |  |  |  |  |  |  |
| Individuals | Fiscal period | Income |  | | | | Income - expenses | |  |
| \*1 | \*2 | \*3 | \*4 |
|  |  |  |  |  |  |  | |

\* Most recent fiscal period \*1 Entrusted investment management fees for discretionary investment contracts \*2 Entrusted investment management fees for acts set forth in Article 2, paragraph (8), item (xv) of the FIEA \*3 Investment advisory service fees \*4 Agency or intermediary service fees

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2. Whether facts, etc. that fall under each item of Article 4 of these Rules exist

(1) The fact that fall under the following items

Check either of the boxes. If the answer is yes, circle the number(s) of the applicable item(s).

|  |  |  |  |
| --- | --- | --- | --- |
|  | No |  | Yes |
|  |  |
|  |  |

(a) Facts that fall under the each item of Article 4 of these Rules

a. A fact of being arrested as a suspect of a criminal case (excluding minor offences) or prosecuted as a defendant

b. A fact of being investigated and accused in a criminal case relating to tax payment

c. A fact of violating administrative laws and regulations, etc. to be complied with in the course of business or not following a disposition of a relevant government agency

d. A fact of losing its business credibility upon receiving a disposition such as suspension of banking transactions

e. A fact of having any officer or employee with qualities unfit for the operation of the business in light of that officer's or employee's career, relationship with an organized crime group or an organized crime group member

f. A fact of not completing the processing of a complaint concerning a material matter filed by a customer or any other person concerned with respect to investment management business or investment advisory and agency business

(b) Other

a. A fact that five years has not passed since becoming a subject of a measure under Article 51 of the FIEA

b. A fact that five years has not passed since being ordered to suspend all or a part of business under Article 52, paragraph (1) of the FIEA

c. A fact that five years has not passed since being ordered dismissal of an officer under Article 52, paragraph (2) of the FIEA.

(2) If you checked “Yes,” explain the details of it specifically and concisely.

3. Systems for complying with laws and regulations, etc. as well as the Articles of Incorporation and other rules, etc. established by the Association. (Specifically describe measures implemented, or measures to be implemented going forward and the timing thereof, to comply with laws and regulations, etc.)