**Form 29 (in relation to Articles 326 (1) and 334 (1) of the Cabinet Office Order on Financial Instruments Business, etc.)**

**(Japanese Industrial Standards (JIS) A4)**

**Page 1**

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| --- |
| mm/dd/yyyy  To: The Director-General of the Kanto Local Finance Bureau  **Applicant**  Address/Location:  Telephone number:  Name/Trade name:  Name of the Representative:  (If the Applicant is a juridical person, state the title and name of the representative.)  (Seal or Signature)  **Contact Person**  Address/Location:  Telephone number:  Name/Trade name:  Email address:  **Application for Registration**  Pursuant to Article 66-51 of the Financial Instruments and Exchange Act (“FIEA”) I hereby apply for registration under Article 66-50 of the FIEA.  I confirm that the information contained in this Application Form and the attached Exhibits is true and correct. |

(Note)

1 The representative shall seal the certified seal impression in the column of seal. However, if there is a compelling reason, the representative may use a signature.

2 Attach a certificate of a seal impression (except in the case of a signature).

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|  |  |  |  |
| --- | --- | --- | --- |
| * Registration number | |  | |
| 1 | Legal Form | Juridical Person | Individual |
| 2 | Name/Trade name |  | |
| 3 | Name |  | |
| 4 | Amount of capital or total contribution (if Applicant is a juridical person) | As stated in Exhibit 1 | |
| 5 | Names of directors (if Applicant is a juridical person) | As stated in Exhibit 2 | |
| 6 | Name/Trade name of (i) the Representative in Japan or (ii) the Agent in Japan | As stated in Exhibit 3 | |
| 7 | Name and location of the head office (and its principal business office in Japan, if any) | As stated in Exhibit 4 | |
| 8 | Name and location of the business office engaging in High Speed Trading (“HST”) business | As stated in Exhibit 5 | |
| 9 | Type of business conducted by the Applicant other than HST business | As stated in Exhibit 6 | |

(Note)

1 Do not state in the column of "＊ Registration number."

2 Circle either “Juridical Person” or “Individual” in the column of “1 Legal Form.”

3 In the column of “2 Name/Trade name” and “3 Name”

(1) A juridical person shall mention the name or trade name in the column of “2 Name/Trade name.” An Individual shall mention the name in the column of “3 Name.”

(2) In the column of "2 Name/Trade name," an individual may mention the trade name if the trade name is registered, or may mention the business name etc. if the trade name is not registered.

(3) The common name listed on the Resident Card, etc. of a foreign national may be mentioned together in parentheses in the column of "3 Name."

(4) The name used before marriage of a person who has changed his/her name due to marriage may be mentioned in parentheses in the column of "3 Name."

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**Exhibit 1: Amount of Capital or Total Contribution**

**Name/Trade name of the Applicant**

|  |  |
| --- | --- |
| Amount of Capital or Total Contribution | Date |
|  | As of mm/dd/yyyy |

(Note)

If the amount of capital or total contribution is denominated in currency other than JPY, indicate the amount converted into JPY and the applied conversion rate.

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**Exhibit 2: Names of Directors**

**Name/Trade name of the Applicant**

**As of mm/dd/yyyy**

|  |  |
| --- | --- |
| Name | Title |
|  |  |

(Note)

1 If there is a representative in Japan, its name or trade name and title should be mentioned in Exhibit 3, not in this Exhibit 2.

2 The name used before marriage of a person who has changed his/her name due to marriage may be mentioned in parentheses in the column of "Name."

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**Exhibit 3:**

**Name/Trade name of (i) the Representative in Japan or (ii) the Agent in Japan**

**Name/Trade name of the Applicant**

**As of mm/dd/yyyy**

|  |  |
| --- | --- |
| Name/Trade name | Title |
|  |  |

(Note)

1 If the Applicant is a foreign juridical person, its representative in Japan or its agent in Japan should be mentioned. If the Applicant is an individual domiciled in a foreign state, its agent in Japan should be mentioned.

2 In the column of “Title”, either the representative in Japan or agent in Japan should be mentioned.

3 The name used before marriage of a person who has changed his/her name due to marriage may be mentioned in parentheses in the column of "Name/Trade name."

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**Exhibit 4:**

**Name and location of the head office (and its principal business office in Japan, if any)**

**Name/Trade name of the Applicant**

**As of mm/dd/yyyy**

|  |  |
| --- | --- |
| Name | Location |
|  |  |

(Note)

If an Applicant is a foreign juridical person or an individual domiciled in a foreign state, the information regarding the Applicant’s head office should be firstly mentioned, and that of its principal business office in Japan should be subsequently mentioned.

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**Exhibit 5:**

**Name and location of the business office engaging in HST business**

**Name/Trade name of the Applicant**

**As of mm/dd/yyyy**

|  |  |
| --- | --- |
| Name | Location |
|  |  |

(Note)

If there are more than one business office engaging in HST business, information for each of those offices should be mentioned.

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**Exhibit 6:**

**Type of business conducted by the Applicant other than HST business**

**Name/Trade name of the Applicant**

**As of mm/dd/yyyy**

|  |
| --- |
| Type of business conducted by the Applicant other than HST business |
|  |