

## Rules on Enforcement of Articles of Incorporation

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Revised on March 23, 1999  
Revised on April 26, 1999  
Revised on November 17, 2000  
Revised on March 19, 2004  
Revised on January 20, 2006  
Revised on February 16, 2007  
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Revised on May 17, 2018  
Revised on April 18, 2019  
Revised on December 19, 2019  
Revised on May 20, 2021

### Article 1. Purpose

These Rules stipulate the necessary matters concerning the enforcement of the Articles of Incorporation pursuant to the provisions of Article 5, Paragraph 2 of the Articles of Incorporation.

### Article 2. Application for Admission

1. Matters to be stated in the application for admission of a Full Member stipulated in Article 8, Paragraph 1 of the Articles of Incorporation shall be as follows:

- (1) Trade name or name;
- (2) The location of the head office and the representative telephone number;
- (3) Amount of capital;
- (4) Date of incorporation;
- (5) The type of business registered or licensed, the number of registration or license, and the date of registration or license;
- (6) Titles and names of officers (meaning officers stipulated in Article 29-4, paragraph (1) of the Financial Instruments and Exchange Act (Act No. 25 of 1948; hereinafter referred to as the “FIEA”); the same shall apply hereinafter);
- (7) The titles and names of the employees (hereinafter referred to as the “Important Employee”) stipulated in Article 15-4 of the Order for Enforcement of the Financial Instruments and Exchange Act (Cabinet Order No. 321 of 1965) on Financial Instruments Business for Investment Trusts and Investment Corporations;
- (8) Number of officers and employees; and
- (9) Type of other business, if any.

2. The application for admission shall be in Appended Form 1 for Full Members and Appended Form 2 for Supporting Members.

Article 3. Documents to Be Attached to Application for Admission

1. Documents to be attached to an application for admission to a Full Member stipulated in Article 8, Paragraph 2 of the Articles of Incorporation shall be the following documents:

- (1) In the case of a person engaged in the investment management business, a copy of the certificate of registration certifying that the person has obtained the registration from the Prime Minister pursuant to the provisions of Article 29 of the FIEA, in the case of a trust company, etc. becoming a trustee company of an investment trust managed without instructions from the settlor, a copy of the license certifying that the trust company has obtained a license pursuant to the provisions of Article 3 or Article 53 of the Trust Business Act (Act No. 154 of 2004) or a document in lieu thereof;
- (2) A document evidencing that none of the following applies (limited to persons who engage in the investment management business):
  - (a) None of the items listed in Article 29-4, paragraph (1), item (i) (excluding (d) through (f)) of the FIEA applies;
  - (b) None of the items listed in Article 29-4, paragraph (1), item (ii) of the FIEA applies to officers or Important Employees;
  - (c) None of the items listed in Article 29-4, paragraph (1), item (iv) (excluding (d)) of the FIEA applies; and
  - (d) None of the items listed in Article 29-4, paragraph (1), item (v) (excluding (c)) of the FIEA applies.
- (3) Articles of Incorporation;
- (4) A copy of the certificate of registered matters or a copy of the registration information obtained from a person designated pursuant to Article 3, paragraph (1) of the Act on Provision of Registration Information through Telecommunication Lines;
- (5) A document stating the contents and methods of the business;
- (6) A document stating the personnel structure pertaining to the business and the business execution system of the organization, etc.;
- (7) Resume of an officer (meaning a registered director (including an executive officer; hereinafter referred to as the "Director, etc."), and in the case of an investment manager without instructions from the settlor, limited to the representative director, etc. stipulated in Article 6, and a director and auditor who has jurisdiction over the business pertaining to an investment trust managed without instructions from the settlor; hereinafter the same shall apply in this Article and Article 10) and the Important Employee (in the case of an investment manager without instructions from the settlor, limited to an officer);
- (8) A copy of the extract of the certificate of residence of an officer and the Important Employee or a document in lieu thereof;
- (9) A copy of a certificate issued by a public agency to the effect that officers and the Important Employees do not fall under Article 29-4, paragraph (1), item (ii) (b) of the FIEA or any other document in lieu thereof.

- (10) A document in which the officers and the Important Employees pledge to the Chairperson of the Association that they do not fall under any of Article 29-4, paragraph (1), item (ii) (a) or (c) through (i) of the FIEA (limited to officers in the case of an investment manager without instructions from the settlor);
  - (11) A document stating the matters listed in (a) through (f) of item (iv) of Article 9 of the Cabinet Office Order on Financial Instruments Business, etc. (Cabinet Office Order No. 52 of 2007; hereinafter referred to as the “Cabinet Office Order”) as the status of the Persons in Specified Relationships (meaning the Persons in Specified Relationships stipulated in the same item) (limited to a person who engages in Investment Management Business);
  - (12) A document stating the name and location of the branch office or business office;
  - (13) The latest balance sheet (including related notes) and profit and loss statement (including related notes);
  - (14) A document that calculates the amount of net assets (meaning the amount of net assets stipulated in Article 29-4, paragraph (1), item (v) of the FIEA);
  - (15) A document stating the matters listed in Article 10, paragraph (1), item (iii) (b) of the Cabinet Office Order with respect to the major shareholders (meaning the major shareholders stipulated in Article 29-4, paragraph (2) of the FIEA) and the top 10 shareholders in descending order of the number of voting rights held, including major shareholders (in the case of a foreign juridical person, a document evidencing that the confirmation stipulated in Article 29-4, paragraph (1), item (v) (f) of the FIEA has been made with respect to a person equivalent to a major shareholder, or a document equivalent thereto);
  - (16) A schematic showing the location of the head office; and
  - (17) Other documents deemed necessary by the Association.
2. The following documents shall be attached to the application for admission of a Supporting Member stipulated in Article 8, Paragraph 2 of the Articles of Incorporation:
- (1) In the case of a person engaged in Type I Financial Instruments Business, a copy of the certificate of registration certifying that the person has obtained registration from the Prime Minister pursuant to the provisions of Article 29 of the FIEA; in the case of a registered financial institution, a copy of the certificate of registration certifying that the institution has obtained registration from the Prime Minister pursuant to the provisions of Article 33-4 of the same Act; in the case of a trust company, etc., that is a trustee company of an investment trust managed under instructions from the settlor, a copy of the certificate of approval certifying that the company has obtained approval pertaining to the trust business, or a document in lieu thereof;
  - (2) A map showing the location of the head office; and
  - (3) Other documents deemed necessary by the Association.

#### Article 4. Notification by Administrative Contact Person

A person who intends to join the Association as a Full Member or a Supporting Member shall appoint an administrative contact person and, when submitting an application for admission stipulated in Article 8, Paragraph 1 of the Articles of Incorporation to the Association, shall notify the Association of the name, title,

and contact information of the administrative contact person using Appended Form 3.

#### Article 5. Refusal of Admission

The grounds stipulated in the Rules on Enforcement of Articles of Incorporation pursuant to the provisions of Article 9, Paragraph 1, Item 4 of the Articles of Incorporation shall be as follows:

- (1) It is found that the business cannot be properly executed in light of the status of securing officers or employees who have sufficient knowledge and experience concerning the business that they conduct, as well as the organizational structure; and
- (2) The credibility of the financial instruments business is likely to be impaired by the existence of officers or employees who have an inappropriate qualification for the management of business in light of their background, relationship with an organized crime group stipulated in Article 2, item (ii) of the Act on the Prevention of Unjust Acts by Organized Crime Group Members (Act No. 77 of 1991) or with an organized crime group member stipulated in item (vi) of the same article, or other circumstances.

#### Article 6. Qualification Requirements for Full Member Representatives, etc.

1. The Full Member Representative and the agent stipulated in Article 10, Paragraph 1 of the Articles of Incorporation shall be a person who satisfies the requirements listed the following items:

- (1) Full Member Representative: The director representing the relevant company registered (including the executive officer representing the relevant company; hereinafter referred to as the “Representative Director, etc.”); provided, however, that in the case of a foreign juridical person, the person is the representative in Japan designated by such juridical person; and
- (2) Agent of the Full Member Representative: The person is the Director, etc. or the person who has authority equivalent thereto; provided, however, that in the case of a foreign juridical person, the person has the authority equivalent to that of the representative in Japan.

2. A person representing the Supporting Member stipulated in Article 10, Paragraph 2 of the Articles of Incorporation (hereinafter referred to as the “Supporting Member Representative”) shall be a person representing the relevant juridical person or a person who has a position equivalent thereto; provided, however, that in the case of a foreign juridical person, the person shall be the representative in Japan designated by such juridical person.

#### Article 7. Notification of Full Member Representative, etc.

1. A Full Member and a Supporting Member (hereinafter referred to as the “Member”) shall immediately notify the Association through the method of the Electronic Notification and Storage System for Notification from Members of the Association (hereinafter referred to as the “Notification Management System of Investment Trusts Association”), after the admission to the Association has been approved, using Appended Form 4 and Appended Form 4-[2] in the case of a Full Member, of the Full Member Representative and the agent stipulated in Article 10, Paragraph 1 of the Articles of Incorporation, and using Appended Form 5 in the case of a Supporting Member, of the Supporting Member Representative stipulated in Paragraph 2 of the same article.

2. The Member shall, in the event of a change (including a change in the position) in the Full Member Representative, agent, or the Supporting Member Representative who has been notified to the Association pursuant to the preceding paragraph, promptly notify the Association of the change using Appended Form 6 or Appended Form 6-[2] in the case of a Full Member and using Appended Form 7 in the case of a Supporting Member, through the method of the Notification Management System of Investment Trusts Association.

#### Article 8. Notification of Change of Administrative Contact Person

In the event of a change in the name, title, or contact information of the administrative contact person notified to the Association, the Member shall notify the Association of the change through the method of the Notification Management System of Investment Trusts Association using Appended Form 8.

#### Article 9. Payment of Admission Fee, etc.

1. The admission fee for a Full Member stipulated in Article 11, Paragraph 1 of the Articles of Incorporation shall be paid to the Association by the date separately stipulated.
2. If the admission fee is not paid by the prescribed due date, the Association may rescind the approval of the admission of the relevant applicant by a resolution of the Board of Directors.
3. If the approval for admission is rescinded pursuant to the provisions of the preceding paragraph, the Association shall notify such applicant in writing to that effect.

#### Article 10. Matters to be Reported by Full Members

1. A report to be made by a Full Member stipulated in Article 12 of the Articles of Incorporation shall be the matters listed in the following items:

With regard to the matters listed in the following items for which a report form has been established, a report shall be submitted to the Association through the method of the Notification Management System of Investment Trusts Association using the form stipulated in the following items:

- (1) With regard to the type of business (excluding investment management business) stipulated in Article 29-2, paragraph (1), item (v) of the FIEA, the business has been changed in the registration or abolished pursuant to the provisions of Article 31 of the same Act: Appended Form No. 9
- (2) When a notification is made to the effect that the business stipulated in Article 35, paragraph (2) of the FIEA is to be performed pursuant to the provisions of paragraph (3) of the same article, or when a notification is made to the effect that such business has been abolished pursuant to the provisions of paragraph (6) of the same article: Appended Form No. 10
- (3) When a Full Member has obtained approval for the financial instruments business stipulated in Article 35, paragraph (4) of the FIEA and the business other than the business stipulated in paragraph (1) and paragraph (2) of the same article, or has notified that it has abolished the business pursuant to the provisions of paragraph (6) of the same article: Appended Form No. 11
- (4) When the financial instruments business (limited to the investment management business) has been suspended or resumed: Appended Form No. 12

- (5) If the Articles of Incorporation have been amended: Appended Form No. 13
- (6) When the contents and methods of the business have changed: Appended Form No. 14
- (7) When the amount of capital has changed: Appended Form No. 15
- (8) When the trade name or name has changed: Appended Form No. 16
- (9) When a branch office or business office has been established or abolished: Appended Form No. 17
- (10) When the name or location of the head office, branch office, or business office has changed:
  - (a) Location of head office: Appended Form No. 18
  - (b) The name or location of the branch office or business office: Appended Form No. 18-[2]
- (11) When an officer has changed (including a change of position): Appended Form No. 19
- (12) When there is a change in the Important Employees (including a change in position) (limited to Full Members engaged in the investment management business): Appended Form No. 20
- (13) (Deleted)
- (14) (Deleted)
- (15) (Deleted)
- (16) When a business report (including attached documents) has been prepared (limited to Full Members engaged in the investment management business):
- (17) When an audit certification has been obtained from a certified public accountant or an audit firm with regard to the financial statements or interim financial statements that indicate the company's financial status, etc.:
  - (a) Full Members who operate the investment trust entrustment business: Appended Form No. 21
  - (b) Full Members engaged in the Investment Corporation Asset Management Business: Appended Form No. 22
- (18) When there is an increase or decrease of 30% or more in the total amount of net assets with respect to the contents of the report made pursuant to the provisions of the preceding Item, or when there is an increase or decrease of 30% or more in the total amount of net assets (the calculation shall be made based on the total amount of net assets stated in the most recently submitted report) during the period between the report made pursuant to the provisions of this Item and the next report made pursuant to the provisions of the preceding Item; provided, however, that a report pursuant to the provisions of this Item shall exclude, with regard to a Full Member whose total amount of net assets is less than 15 billion yen, the period until such total amount of net assets reaches 15 billion yen:
  - (a) Full Members who operate the investment trust entrustment business: Appended Form 21-[2]
  - (b) Full Members engaged in the Investment Corporation Asset Management Business: Appended Form 22-[2]
- (19) When a Full Member has abolished the business pertaining to the investment management business or investment trust managed without instructions from the settlor: Appended Form No. 23
- (20) In the event of a merger or dissolution of the company, or the transfer or acquisition of all or part of the business:
  - (a) In the event of a merger: Appended Form No. 24
  - (b) When all or part of the business has been transferred or acquired: Appended Form No. 25

- (21) With regard to a Full Member or a trust bank that is entrusted with the trust property pertaining to an investment trust managed by a Full Member, when a petition for commencement of civil rehabilitation proceedings pursuant to the provisions of the Civil Rehabilitation Act (Act No. 225 of 1999), a petition for commencement of reorganization proceedings pursuant to the provisions of the Corporate Reorganization Act (Act No. 154 of 2002), a petition for commencement of bankruptcy proceedings pursuant to the provisions of the Bankruptcy Act (Act No. 75 of 2004), or a fact equivalent thereto has occurred: Appended Form No. 26
- (22) When an inspection has been commenced by the competent government agency pursuant to the provisions of Article 56-2 of the FIEA or Article 22 of the Act on Investment Trusts and Investment Corporations (Act No. 198 of 1951; hereinafter referred to as the "Investment Trust Act"):  
Appended Form No. 27
- (23) When the inspection by the competent government agency stipulated in the preceding item has been completed:
- (a) When a violation of laws or regulations, etc. has been pointed out: Appended Form No. 28
  - (b) When a Full Member has not pointed out: Appended Form No. 29
- (24) When a Full Member has become aware of the fact that the FIEA, the Investment Trust Act, orders based on these laws, dispositions based thereon, the Articles of Incorporation or other rules of the Association (including resolutions of the Board of Directors), the basic terms and conditions of the investment trust, the agreement of the investment corporation, or any act in violation of the principle of good faith in transactions, or when a Full Member has become aware that the status of compliance with the FIEA, the Investment Trust Act, orders based on these laws, dispositions based thereon, the Articles of Incorporation or other rules of the Association (including resolutions of the Board of Directors), the basic terms and conditions of the investment trust, the agreement of the investment corporation, the principle of good faith in transactions, or the status of the business of asset management, etc., or the status of the assets is not appropriate. Appended Form No. 30
- (25) When a business improvement order has been issued pursuant to the provisions of Article 51 of the FIEA with respect to a Full Member or a major associated corporation of a Full Member:  
Appended Form No. 31
- (26) When a Full Member or a major associated corporation of a Full Member has received a supervisory disposition pursuant to the provisions of Article 52 of the FIEA: Appended Form No. 32
- (27) When a Full Member has received an order to submit reports or materials pursuant to the provisions of Article 56-2 of the FIEA: Appended Form No. 33
- (28) When a Full Member has submitted a business improvement report or a report or material that has been ordered to be submitted by an order, etc. from the competent minister pursuant to the provisions of Article 51 or Article 56-2 of the FIEA: Appended Form No. 34
- (29) When a Full Member has received an order to hand over the investment trust agreement pursuant to the provisions of Article 23 of the Investment Trust Act with regard to the Full Member or the trust bank that is entrusted with the trust property pertaining to an investment trust managed by a Full Member:  
Appended Form No. 35

- (30) When a Full Member has received an order to prohibit or suspend a public offering or private placement of beneficiary certificates pursuant to the provisions of Article 26 of the Investment Trust Act (including the book-entry transfer beneficial interest in an investment trust) or other transactions, or when a Full Member has come to know that the person taking the action has received an order to prohibit or suspend the handling of a public offering of beneficiary certificates, handling of private placement, or other transactions: Appended Form No. 36
- (31) When a Full Member has come to know that there has been a change in a major shareholder stipulated in Article 29-4, paragraph (2) of the FIEA: Appended Form No. 37
- (32) In the event of an accident such as the leakage of personal information, etc. stipulated in Article 22 of the Guidelines for Protection of Personal Information stipulated by the Association: Appended Form No. 38
- (33) In addition to what is stipulated in the preceding items, when the Association finds it necessary.
2. With regard to the report pertaining to the change of officers listed in Item 11 of the preceding paragraph or the Important Employees listed in Item 12, in cases where such a report is a report pertaining to the assumption of office of a new officer or the Important Employee, the following documents pertaining to the newly appointed officer or the Important Employee shall be attached and reported; provided, however, that if such a report is an investment manager without instructions from the settlor, the documents listed in Items 2 through 4 shall not be required to be attached:
- (1) Resume;
  - (2) A copy of an extract of the certificate of residence or a document in lieu thereof;
  - (3) A copy of the certificate issued by a public agency that a Full Member does not fall under Article 29-4, paragraph (1), item (ii) (b) of the FIEA or a document in lieu thereof; and
  - (4) A document pledging to the Chairperson of the Association that a Full Member (limited to the part pertaining to (a)) and the relevant officer or the Important Employee do not fall under any of Article 29-4, paragraph (1), items (ii) (a) or (c) through (i) of the FIEA.
3. If a Full Member makes a report to the Association pursuant to the provisions of Items 17 and 18 of Paragraph 1, the Full Member shall promptly publish such document for five (5) consecutive years from the day on which such document was disclosed by the method of making the matters recorded in the file on the computer used by the Full Member available for inspection through telecommunications lines.
4. If a Full Member makes a report to the Association pursuant to the provisions of Items 21, 25, 26, 29, and 30 of Paragraph 1, the Full Member shall promptly publish a document stating the contents of such report for five (5) consecutive years from the date of disclosure of such document by the method of making the matters recorded in the file on the computer used by the Full Member available for inspection through telecommunications lines.
5. Upon receipt of a report from a Full Member pursuant to the provisions of Items 21, 25, 26, 29, and 30 of Paragraph 1, the Association shall publish such received document continuously for a period of five years from the date of receipt of the report by the method of making the matters recorded in the file on the computer used by the Association available for inspection through telecommunications lines.



Article 11. Matters to Be Notified by Supporting Members

The matters to be notified by Supporting Members stipulated in Article 13 of the Articles of Incorporation shall be as follows:

Notifications to the Association shall be made in the form stipulated in the following items through the method of the Notification Management System of Investment Trusts Association:

- (1) When a Supporting Member has abolished the business related to the investment trust entrustment business, etc.: Appended Form No. 39
- (2) When the trade name or name is changed: Appended Form No. 40
- (3) When the location of the head office is changed: Appended Form No. 41

Article 12. Notification of Withdrawal from Membership

1. The Notification of Withdrawal from Membership stipulated in Article 16 of the Articles of Incorporation shall be made using Appended Form 42 and shall be submitted to the Association through the method of the Notification Management System of Investment Trusts Association.
2. Upon receipt of a notification of withdrawal from membership by the Member, the Association shall notify each Member to that effect.

Article 13. Matters to Be Stated in Member List

Matters to be stated in the Full Member list and the Supporting Member list stipulated in Article 21, Paragraph 2 of the Articles of Incorporation shall be the name, location, telephone number, and the title and name of the Full Member Representative or the Supporting Member Representative.

Supplementary Provision

These Rules shall come into force on December 1, 1998.

Supplementary Provision

The amended provisions of Article 4-2 shall come into force on March 23, 1999.

Supplementary Provision

The amended provisions of Article 4-2 shall come into force on April 26, 1999.

Supplementary Provision

This amendment shall come into force on November 30, 2000.

Supplementary Provision

This amendment shall come into force on April 1, 2004.

Supplementary Provision

This amendment shall come into force on March 1, 2006.

Supplementary Provision

This amendment shall come into force on February 16, 2007.

Supplementary Provisions

1. This amendment shall come into force on the date on which the approval of the competent minister is obtained for the Articles of Incorporation (September 30, 2007).
2. After the enforcement of these amended rules, the provisions of Article 3 prior to the amendment shall apply to the documents attached to the application for admission in the case where an investment trust entrustment business that is approved pursuant to the provisions of Article 6 of the Investment Trust Act prior to the amendment applies for admission to the Association.

Supplementary Provisions

1. This amendment shall come into force on October 1, 2008.
2. A person who was actually the Member stipulated in the Articles of Incorporation prior to the amendment at the time of the enforcement of these amended rules and who is deemed to be a Full Member or a Supporting Member pursuant to the provisions of Articles 2 and 3 of the Supplementary Provisions of the Amended Articles of Incorporation dated June 30, 2008 shall be deemed to have submitted the notification stipulated in Article 3-2 and Article 4-2, Paragraph 1.

Supplementary Provision

This amendment shall come into force on January 16, 2009.

Supplementary Provision

This amendment shall come into force on December 17, 2009.

Supplementary Provisions (as amended on June 14, 2012)

This amendment shall come into force on the date of registration of incorporation of a general corporation stipulated in Article 106, paragraph (1) as applied mutatis mutandis by replacing certain terms pursuant to Article 12, paragraph (1) of the Act on Arrangement of Relevant Acts Incidental to Enforcement of the Act on General Incorporated Associations and General Incorporated Foundations and the Act on Authorization of Public Interest Incorporated Associations and Public Interest Incorporated Foundations.

Supplementary Provisions

This amendment shall come into force on the date of registration of incorporation of a general corporation (January 4, 2013) stipulated in Article 106, paragraph (1) as applied mutatis mutandis by replacing certain terms pursuant to Article 12, paragraph (1) of the Act on Arrangement of Relevant Acts Incidental to Enforcement of the Act on General Incorporated Associations and General Incorporated Foundations and the Act on Authorization of Public Interest Incorporated Associations and Public Interest Incorporated Foundations.

Supplementary Provision

This amendment shall come into force on December 17, 2009.

Supplementary Provision

This amendment shall come into force on October 17, 2013.

Supplementary Provisions

This amendment shall come into force on October 16, 2014.

Provided, however, that the amended provisions of Article 10, Paragraph 1, Items 17 and 18, and Paragraph 3 of the same article shall come into force on December 1, 2014.

Supplementary Provision

This amendment shall come into force on 11 June 2015.

Supplementary Provision

This amendment shall come into force on January 21, 2016.

Supplementary Provision

This amendment shall come into force on April 1, 2017.

Supplementary Provision

This amendment shall come into force on May 30, 2017.

Supplementary Provisions

1. This amendment shall come into force on June 16, 2018.
2. A written report pursuant to the provisions of Article 10, Paragraph 1, Items 13 through 15 prior to the amendment may be requested from the Full Member to be submitted pursuant to the provisions of Article 10, Paragraph 1, Item 33 when deemed necessary by the Association.

Supplementary Provision

This amendment shall come into force on May 1, 2019.

Supplementary Provision

This amendment shall come into force on December 19, 2019.

Supplementary Provision

This amendment shall come into force on June 1, 2021.

Appended Form No. 1

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Title and Name of Representative)

Application for Admission

Our Company hereby applies to join your Association as a Full Member pursuant to the provisions of Article 8 of the Articles of Incorporation of your Association.

1. Trade name or name (Reading)  
(In English)
2. Location of head office (Postal code)  
(In English)  
Representative telephone number
3. Amount of capital
4. Date of incorporation
5. Type of business for which registration (license) was granted, etc.
  - [1] Type of business
  - [2] Registration (license) number
  - [3] Date of registration (license)
6. Title and name of officers (Reading)
7. Title and name of the Important Employee (Reading)
8. Number of officers and employees  
Officers: XX (including part-time officers: XXX), employees: XX
9. Type of other business conducted

(Precautions for Description)

1. For “3. Amount of capital,” enter the amount as of the date of application for admission. If the applicant for membership is a foreign juridical person, the amount shall be the amount of brought-in capital.
2. For “5. Type of business for which registration (license) was granted, etc.,” in the case of a financial instruments business operator, the applicant for admission shall state all the registered financial instruments business.
3. “6. Title and name of officers (Reading)” may be attached to the application for admission as Appendix.
4. “7. Title and name of the Important Employee (Reading)” shall be entered together with the duties supervised by the relevant person. It may be attached to the application for admission as Appendix.
5. For “9. Type of other business conducted,” the business other than the financial instruments business shall be entered.

## Appended Form No. 2

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Title and Name of Representative)

### Application for Admission

Our Company hereby applies to join your Association as a Supporting Member pursuant to the provisions of Article 8 of the Articles of Incorporation of your Association.

1. Trade name or name (Reading)

(In English)

2. Location of head office (Postal code)

(In English)

Representative telephone number

3. Amount of capital or endowment

4. Date of incorporation

5. Status of the business related to the investment trust entrustment business, etc.

(Precautions for Description)

1. For "3. Amount of capital or endowment," enter the amount as of the date of application for admission. If the applicant for membership is a foreign juridical person, the amount shall be the amount of brought-in capital.
2. For "5. Status of the business related to the investment trust entrustment business," in the case of a financial instruments business operator or a person who engages in the banking business, the applicant for admission shall enter the type, the registration (license) number, and the date of registration (license) of all business for which registration (license) has been obtained. For other applicants for admission, enter the contents, etc. of the business related to the investment trust entrustment business, etc. in an easy-to-understand manner.

Appended Form No. 3

Application Date: MM DD, YYYY

To: The Investment Trusts Association, Japan

(Trade Name or Name)

Notification of Administrative Contact Person

Our Company hereby notifies your Association that our Company has appointed the following person as our administrative contact person, pursuant to Article 4 of the Rules on Enforcement of Articles of Incorporation of your Association.

Description

(Name)

(Affiliation and Title)

(Telephone Number)

(Fax Number)

(E-mail Address)

Appended Form No. 4

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan

To: President

Trade name or name	
Representative	

Notification of Representative

Our Company hereby notifies your Association that our Company has appointed the following person as our representative at your Association, pursuant to the provisions of Article 10, Paragraph 1 of the Articles of Incorporation of your Association.

Description

Title	
Name (Reading)	
Name	

Appended Form No. 4-[2]

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan  
To: Chairperson

Trade name or name	
Representative	

Notification of Agent

Our Company hereby notifies your Association that our Company has appointed the following person as our agent at your Association, pursuant to the provisions of Article 10, Paragraph 1 of the Articles of Incorporation of your Association.

Description

Title	
Name (Reading)	
Name	

Appended Form No. 5

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan  
To: Chairperson

Trade name or name	
Representative	

Notification of Representative

Our Company hereby notifies your Association that our Company has appointed the following person as our representative at your Association, pursuant to the provisions of Article 10, Paragraph 2 of the Articles of Incorporation of your Association.

Description

Title	
Name (Reading)	
Name	



Appended Form No. 6

The Investment Trusts Association, Japan  
To: Chairperson

Application date	MM DD, YYYY
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Trade name or name	
Representative	

Notification of Change of Representative

Our Company hereby notifies your Association that our Company has changed our representative at your Association as follows, pursuant to the provisions of Article 10, Paragraph 3 of the Articles of Incorporation of your Association.

Description

	After change	Before change
Title		
Name (Reading)		
Name		

Date of change	MM DD, YYYY
----------------	-------------

Appended Form No. 6-[2]

The Investment Trusts Association, Japan  
To: Chairperson

Application date	MM DD, YYYY
------------------	-------------

Trade name or name	
Representative	

Notification of Change of Agent

Our Company hereby notifies your Association that our Company has changed our agent at your Association as follows, pursuant to the provisions of Article 10, Paragraph 3 of the Articles of Incorporation of your Association.

Description

	After change	Before change
Title		
Name (Reading)		
Name		

Date of change	MM DD, YYYY
----------------	-------------

Appended Form No. 7

Application date	MM DD, YYYY
------------------	-------------

The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Change of Representative

Our Company hereby notifies your Association that our Company will change our representative at your Association as follows, pursuant to the provisions of Article 10, Paragraph 3 of the Articles of Incorporation of your Association.

#### Description

	After change	Before change
Title		
Name (Reading)		
Name		

Date of change	MM DD, YYYY
----------------	-------------

Appended Form No. 8

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan

Trade name or name	
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### Notification of Change of Administrative Contact Person

Our Company hereby notifies your Association that our Company has changed the following matters pertaining to our administrative contact person at your Association as follows, pursuant to the provisions of Article 8 of the Rules on Enforcement of Articles of Incorporation of your Association.

	Description	
	After change	Before change
Name (Reading)		
Name		
Affiliation and title		
Telephone number		
Fax number		
E-mail address		

Date of change	MM DD, YYYY
----------------	-------------

Appended Form No. 9

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Type of Business (Registration of Change and Abolition)

Our Company hereby notifies your Association that our Company has registered the change of the following type of (or has abolished the following type of) business, pursuant to the provisions of Article 10, Paragraph 1, Item 1 of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

1. The type and contents, etc. of the business that is registered (abolished)
2. Date of registration (abolition)
3. Date of commencement of business

\*In the event of a notification of abolition, the description in "3." is not required.

(Attached document: Registration/Registration of Change (copy))

(Please submit the notification after correcting each red letter in the form and deleting such red letters.)

Appended Form No. 10

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification

Since our Company has made a notification pursuant to the provisions of Article 35, paragraph (3) of the FIEA (Article 35, paragraph (6) of the FIEA) as follows, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 2 of the Rules on Enforcement of Articles of Incorporation.

#### Description

1. Business and contents, etc. notified
2. Date of notification
3. Date of commencement (abolition) of business

(Attached document: Notification (copy))

(Please submit the notification after correcting each red letter in the form and deleting such red letters.)

Appended Form No. 11

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: President

(Trade Name or Name)

(Representative)

Notification of Business (Approval/Abolition)

Since our Company **has obtained the approval of (or abolished)** the business as follows, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 3 of the Rules on Enforcement of Articles of Incorporation.

Description

1. Business and contents, etc. **approved (abolished)**
2. Date of **approval (abolition)**
3. Date of commencement of business

**\*In the event of a notification of abolition, the description in "3." is not required.**

(Attached document: Approval/Notification Form (copy))

**(Please submit the notification after correcting each red letter in the form and deleting such red letters.)**

Appended Form No. 12

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

Report on Suspension (**Resumption**) of Financial Instruments Business

Since our Company will suspend (**resume**) the financial instruments business as follows, our Company hereby notifies the same pursuant to the provisions of Article 10, Paragraph 1, Item 4 of the Rules on Enforcement of Articles of Incorporation of your Association.

**(In the case of suspension)**

1. Reason for suspension: ( )

2. Estimated period of suspension

(MM DD, YYYY to MM DD, YYYY)

**(In the case of resumption)**

1. Resumption date MM DD, YYYY

2. Date of submission of Notification of Suspension MM DD, YYYY

## Appended Form No. 13

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Amendment of Articles of Incorporation

Since our Company has amended the Articles of Incorporation on [MM DD, YYYY] (as follows), our Company hereby notifies your Association of the amendment pursuant to the provisions of Article 10, Paragraph 1, Item 5 of the Rules on Enforcement of Articles of Incorporation of your Association (as shown in Appendix).

(Attached document: Contents of the amendment and a copy of the amended Articles of Incorporation)

## Appended Form No. 14

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Change of Contents and Method of Business

Since our Company has changed our Business Procedures on [MM DD, YYYY], our Company hereby reports the same as shown in Appendix pursuant to the provisions of Article 10, Paragraph 1, Item 6 of the Rules on Enforcement of Articles of Incorporation.

(Attached document: Contents of the change and the Business Procedures after the change)

Appended Form No. 15

Application date	MM DD, YYYY
------------------	-------------

The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Change of Amount of Capital

Since our Company will change the capital as follows, our Company hereby notifies your Association of the change pursuant to the provisions of Article 10, Paragraph 1, Item 7 of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

	After change	Before change
Capital		

Date of change	MM DD, YYYY
----------------	-------------

Reason for change	
-------------------	--

Appended Form No. 16

Application date	MM DD, YYYY
------------------	-------------

The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Change of Trade Name or Name

Since our Company will change our trade name or name as follows, our Company hereby notifies your Association of the change pursuant to the provisions of Article 10, Paragraph 1, Item 8 of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

	After change	Before change
Trade name or name		
Trade name or name (Reading)		
Trade name or name (In English)		

Date of change	MM DD, YYYY
----------------	-------------



Appended Form No. 17

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Establishment/Abolition of Branch Offices and Business Offices

Since our Company will establish/abolish branch offices and business offices as follows, our Company hereby reports the same to your Association pursuant to the provisions of Article 10, Paragraph 1, Item 9 of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

Name of Branch Office/Business Office	
Postal code	
Address	
Address (In English)	
Telephone number	
Fax number	

Date of establishment/abolition	MM DD, YYYY
---------------------------------	-------------

Reason for establishment/abolition	
------------------------------------	--

Appended Form No. 18

Application date	MM DD, YYYY
------------------	-------------

The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Change of Location of Head Office

Since our Company will change the location of the head office as follows, our Company hereby reports the same to your Association pursuant to the provisions of Article 10, Paragraph 1, Item 10 (a) of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

	After change	Before change
Postal code		
Address		
Address (In English)		
Telephone number		
Fax number		

Date of change	MM DD, YYYY
----------------	-------------

Appended Form No. 18-[2]

Application date	MM DD, YYYY
------------------	-------------

The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Change of Name and Location of Branch Offices and Business Offices

Since our Company will change the name/location of our branch offices/ business offices as follows, our Company hereby reports the same to your Association pursuant to the provisions of Article 10, Paragraph 1, Item 10 (b) of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

	After change	Before change
Name of Branch Office/Business Office		
Name of Branch Offices/Business Offices (In English)		
Postal code		
Address		
Address (In English)		
Telephone number		
Fax number		

Date of change	MM DD, YYYY
----------------	-------------

Appended Form No. 19

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

Notification of Change of Officer (Title)

Since our Company has made changes to our officers on [MM DD, YYYY], our Company hereby reports the same to your Association as follows pursuant to the provisions of Article 10, Paragraph 1, Item 11 of the Rules on Enforcement of Articles of Incorporation of your Association.

Description

Contents of change

Date of change	After change	Before change
(Example) Dated [MM DD, YYYY]	Director ○○ ○○	(Assumption of Office) Or former title, etc.
(Example) Dated [MM DD, YYYY]	(Retirement)	Director ○○ ○○

Appended Form No. 20

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

Important Employee Change Notification

Since our Company has made changes to our Important Employee on [MM DD, YYYY], our Company hereby reports the same to your Association as follows pursuant to the provisions of Article 10, Paragraph 1, Item 12 of the Rules on Enforcement of Articles of Incorporation of your Association.

Description

Contents of change

Person in charge	Date of change	After change	Before change
(Compliance with Laws and Control of Operation)	(Example) Dated [MM DD, YYYY]	Title ○○ ○○	(Assumption of Office) Or former title, etc.
(Compliance with Laws and Control of Operation)	(Example) Dated [MM DD, YYYY]	(Retirement)	Title ○○ ○○
(Compliance with Laws and Control of Operation)			

Appended Form No. 21

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

Notification of Financial Status, etc. of Full Member

Since our Company has completed our accounting audit of our financial status, etc., our Company hereby reports the same to your Association as follows pursuant to the provisions of Article 10, Paragraph 1, Item 17 (a) of the Rules on Enforcement of Articles of Incorporation of your Association.

1. Summary of settlor company, etc.
2. Contents of business and summary of operations
3. Accounting status of the settlor company, etc.
  - (1) Balance sheet
  - (2) Profit and loss statement
  - (3) Statement of changes in net assets

Publication date: MM DD, YYYY

Record date: MM DD, YYYY

Location of Head Office      XX-YY, Nihombashi Kabutocho, Chuo-ku, Tokyo

Contact information: XX Group, YY Section, ZZ Department

[Precautions for Description]

1. With regard to the publication date, describe the date of first notification of the relevant document as an attached document in the annual securities report, etc.
2. When describing this Form, follow the precautions for describing the relevant part of Form No. 4 of the Cabinet Office Order on Disclosure of Information on Regulated Securities.

Appended Form No. 21-[2]

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Change of Financial Status, etc. of Full Member

Pursuant to the provisions of Article 10, Paragraph 1, Item 17 (a) (Item 18 (a)) of the Rules on Enforcement of Articles of Incorporation of your Association, with regard to the Notification of Financial Status, etc. of Full Member submitted on [MM DD, YYYY], since the total amount of net assets of investment trusts managed by our Company on [MM DD, YYYY] has increased or decreased by 30% or more, our Company hereby reports the same as follows pursuant to the provisions of Article 10, Paragraph 1, Item 18 (a) of the same Rules.

1. Summary of settlor company, etc.
2. Contents of business and summary of operations
3. Accounting status of the settlor company, etc.
  - (1) Balance sheet
  - (2) Profit and loss statement
  - (3) Statement of changes in net assets

Publication date: MM DD, YYYY

Record date: MM DD, YYYY

Location of Head Office      XX-YY, Nihombashi Kabutocho, Chuo-ku, Tokyo

Contact information: XX Group, YY Section, ZZ Department

#### [Precautions for Description]

1. With regard to the publication date, describe the date of first notification of the relevant document as an attached document in the annual securities report, etc.
2. When describing this Form, follow the precautions for describing the relevant part of Form No. 4 of the Cabinet Office Order on Disclosure of Information on Regulated Securities.

Appended Form No. 22

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Financial Status, etc. of Full Member

Since our Company has completed our accounting audit of our financial status, etc., our Company hereby reports the same as follows pursuant to the provisions of Article 10, Paragraph 1, Item 17 (b) of the Rules on Enforcement of Articles of Incorporation of your Association.

1. The name, the amount of capital, and the contents of the business of the asset management company
2. Management system of the asset management company
3. Status of major shareholders of the asset management company
4. Status of officers of the asset management company
5. Contents of the business and summary of business of the asset management company

Publication date: MM DD, YYYY

Record date: MM DD, YYYY

Location of Head Office      XX-YY, Nihombashi Kabutocho, Chuo-ku, Tokyo

Contact information: XX Group, YY Section, ZZ Department

#### [Precautions for Description]

1. With regard to the publication date, describe the date of first notification of the relevant document as an attached document in the annual securities report, etc.
2. When describing this Form, follow the precautions for describing the relevant part of Form No. 4-3 of the Cabinet Office Order on Disclosure of Information on Regulated Securities.

Appended Form 22-[2]

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Change of Financial Status, etc. of Full Member

Pursuant to the provisions of Article 10, Paragraph 1, Item 17 (b) (Item 18 (b)) of the Rules on Enforcement of Articles of Incorporation of your Association, with regard to the Notification of Financial Status, etc. of Full Member submitted on [MM DD, YYYY], since the total amount of net assets of investment corporations managed by our Company on [MM DD, YYYY] has increased or decreased by 30% or more, our Company hereby reports the same as follows pursuant to the provisions of Article 10, Paragraph 1, Item 18 (b) of the same Rules.

1. The name, the amount of capital, and the contents of the business of the asset management company
2. Management system of the asset management company
3. Status of major shareholders of the asset management company
4. Status of officers of the asset management company
5. Contents of the business and summary of business of the asset management company

Publication date: MM DD, YYYY

Record date: MM DD, YYYY

Location of Head Office      XX-YY, Nihombashi Kabutocho, Chuo-ku, Tokyo

Contact information:XX Group, YY Section, ZZ Department

#### [Precautions for Description]

1. With regard to the publication date, describe the date of first notification of the relevant document as an attached document in the annual securities report, etc.
2. When describing this Form, follow the precautions for describing the relevant part of Form No. 4-3 of the Cabinet Office Order on Disclosure of Information on Regulated Securities.



## Appended Form No. 23

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Abolition of XX Business

Since our Company has abolished our XXXX, our Company hereby reports the same as follows pursuant to the provisions of Article 10, Paragraph 1, Item 19 of the Rules on Enforcement of Articles of Incorporation.

#### Description

1. Contents of the business abolished
2. Date of abolition: MM DD, YYYY

## Appended Form No. 24

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Merger

Since our Company will merge as follows, our Company hereby notifies your Association of the same pursuant to the provisions of Article 10, Paragraph 1, Item 20 (a) of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

1. Purpose of merger
2. Outline of merger
  - (a) Method of merger
  - (b) Merger ratio
  - (c) Date of merger
3. Summary of the new company

- (a) Trade name or name  
(In English:                    )
- (b) Head Office
  - [1] Address (Postal code:            )  
(In English:                    )
  - [2] Representative telephone number
  - [3] Fax number
- (c) Amount of capital
- (d) Title and name of an officer (Reading)
- (e) Title and name (reading) of the Important Employee (Reading)
- (f) Number of officers and employees    XX persons  
(including officers: YY persons; employees: ZZ persons)

- 4. Title and name of the company representative
- 5. Title and name of the person who is to act as the proxy of the above representative
- 6. Title and name of an administrative contact person
- 7. Attached documents
  - (a) List of major shareholders
  - (b) Head office location map
  - (c) Summary of each company before the merger (Appendix)

(Appended Form)

Summary of each company before the merger

- [1] Trade name or name
- [2] Location
- [3] Telephone number
- [4] Representative
- [5] Date of establishment                    MM DD, YYYY
- [6] Capital
- [7] Description of business
- [8] Number of officers and employees                    XX persons (including officers: YY persons; employees: ZZ persons)
- [9] Assets under management (net assets) or contract assets: XXXX (Unit: 100 million yen, amount as of the end of the month preceding the merger)
- [10] Profit and loss and the status of property (Unit: 100 million yen)

	Fiscal year ended [Date]	Fiscal year ended [Date]	Fiscal year ended [Date]
Operating income			
Ordinary income			
current income			
Net assets			

Appended Form No. 25

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Transfer/Acquisition of Business

Since our Company has transferred/acquired the business as follows, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 20 (b) of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

1. Content of business of transfer/acquisition
2. The other party to the transfer/acquisition of business
3. Date of transfer/acquisition of business
4. Method of transfer/acquisition of business
5. Reason for transfer/acquisition of business

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Petition for Commencement of Bankruptcy Proceedings, etc.

Since a petition for the commencement of bankruptcy proceedings, etc. has been filed against [our Company/XX Trust Bank that is the trustee bank for the investment trust property established by our Company] as follows, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 21 of the Rules on Enforcement of Articles of Incorporation of your Association.

1. The date on which such petition for commencement of bankruptcy proceedings, etc. was filed
2. The name, address, and name of the representative of the person who filed such petition for commencement of bankruptcy proceedings, etc. (in the case of an individual, the name and address of the individual, excluding cases where the person who filed such petition for commencement of bankruptcy proceedings, etc. is a Full Member)
3. The name and address of the person against whom such petition for commencement of bankruptcy proceedings, etc. has been filed.
4. The type of such petition for commencement of bankruptcy proceedings, etc.
5. The background that led to the filing of such petition for commencement of bankruptcy proceedings, etc.
6. The content of such petition for commencement of bankruptcy proceedings, etc.
7. The name of the public offering fund, etc. that will be affected by such petition for commencement of bankruptcy proceedings, etc.

Publication date: MM DD, YYYY

Record date: MM DD, YYYY

Location of Head Office      XX-YY, Nihombashi Kabutocho, Chuo-ku, Tokyo

Contact information: XX Group, YY Section, ZZ Department

#### [Precautions for Description]

1. Enter all the names of public offering funds established/managed by the company that are affected by a petition for the commencement of bankruptcy proceedings, etc.

## Appended Form No. 27

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)  
(Representative)

### Report on Commencement of Inspection

As of [MM DD, YYYY], since the Securities and Exchange Surveillance Commission, etc. has commenced an inspection pursuant to the provisions of the Financial Instruments and Exchange Act and the Act on Investment Trusts and Investment Corporations, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 22 of the Rules on Enforcement of Articles of Incorporation.

## Appended Form No. 28

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)  
(Representative)

### Report on Completion of Inspection

Our Company has been notified by AAAA that the inspection conducted by the Securities and Exchange Surveillance Commission, etc. pursuant to the provisions of the Financial Instruments and Exchange Act and the Act on Investment Trusts and Investment Corporations as of [MM DD, YYYY] has been completed based on XXXX, No. YY dated [MM DD, YYYY], and our Company has been pointed out that there are acts, etc. in violation of laws and regulations and various regulations as follows. Therefore, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 23 (a) of the Rules on Enforcement of Articles of Incorporation.

#### Description

Matters pointed out, etc.	
Name and provisions, etc. of laws and regulations, and the rules of the Association, etc.	
Summary of the case	
Contents of acts, etc.	1. Contents of acts 2. Background, causes, etc. of occurrence 3. Status of the internal control system at the time of occurrence

[Contact person]      Affiliation  
                                 Title and name  
                                 Telephone number

#### [Precautions for Description]

1. Briefly enter the contents in the summary column of the matters pointed out and the case and enter the details in the column for the contents of the act.
2. A copy of the Notice of Completion of Inspection shall be attached.

Appended Form No. 29

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)  
(Representative)

### Report on Completion of Inspection

Our Company has been notified by AAAA that the inspection conducted by the Securities and Exchange Surveillance Commission, etc. pursuant to the provisions of the Financial Instruments and Exchange Act and the Act on Investment Trusts and Investment Corporations as of [MM DD, YYYY] has been completed based on XXXX, No. YY dated [MM DD, YYYY], and our Company has not been pointed out that there are acts, etc. in violation of laws and regulations or various regulations as follows. Therefore, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 23 (b) of the Rules on Enforcement of Articles of Incorporation.

(Attached document: Copy of the Notice of Completion of Inspection)

Appended Form No. 30

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)  
(Representative)

Our Company recognizes that our Company has committed an act in violation of laws and regulations and various regulations and other improper acts thereof as follows. Therefore, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 24 of the Rules on Enforcement of Articles of Incorporation.

Description

Name and provisions, etc., if applicable to laws and regulations, the rules of the Association, etc.	
Summary of the case	
Contents of acts, etc.	<ol style="list-style-type: none"> <li>1. Contents of acts</li> <li>2. Background, causes, etc. of occurrence</li> <li>3. Status of the internal control system at the time of occurrence</li> <li>4. Status of correction and improvement</li> <li>5. Report to the supervisory government agency</li> </ol>

[Contact person]      Affiliation  
   Title and name  
   Telephone number

[Precautions for Description]

1. In the event of no violation of laws and regulations, various regulations, the basic terms and conditions, etc., the relevant column shall be left blank.
2. Briefly enter the contents in the summary column of the case and enter details in the column for the contents of the act.
3. As to the background of occurrence, the beginning of discovery, date and time of occurrence, department of occurrence, etc. shall also be described in detail.
4. If the status of correction or improvement is being formulated or improved, a separate report shall be submitted after the completion thereof. In addition, if internal dispositions, etc. are taken, the details thereof shall also be described.
5. Whether or not a report has been made to the supervisory government agency, and if a report has been made, the details (date of report, etc.) thereof shall be entered, and a copy thereof shall be attached thereto.

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Report on Business Improvement Order

Since [our Company/AAAA that is our major associated corporation] has received a business improvement order from XXXX based on YYYY No. ZZZZ dated [MM DD, YYYY] pursuant to the provisions of Article 51 of the Financial Instruments and Exchange Act, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 25 of the Rules on Enforcement of Articles of Incorporation.

#### Description

Name of the administrative agency that issued the business improvement order	
Summary of the business improvement order	
Summary of the business to be improved	
Scheduled deadline for completion of improvement	
Name of the affected public offering fund, etc.	
Summary of effects on the management, operation, or disposition of the fund, etc.	

[Contact person]

Affiliation

Title and name

Telephone number

#### [Precautions for Description]

1. Enter all names of public offering funds established and managed by the company that are affected by the business improvement order.

(Attached document: A copy of the written order, etc. pertaining to the relevant disposition, etc. (limited to cases where a Full Member has received an order))



The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)  
(Representative)

Report on Supervisory Disposition

Since [our Company/AAAA that is our major associated corporation] has received a supervisory disposition (XXXX) from XXXX based on YYYY No. ZZZZ dated [MM DD, YYYY] pursuant to the provisions of Article 52 of the Financial Instruments and Exchange Act, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 26 of the Rules on Enforcement of Articles of Incorporation.

Description

Name of the administrative agency that issued the supervisory disposition	
Summary of the supervisory disposition	
Summary of the business, etc. to be corrected by the disposition	
Period of the disposition, etc.	
Name of the affected fund, etc.	
Summary of effects on the management, operation, or disposition of the fund, etc.	

[Contact person]      Affiliation  
   Title and name  
   Telephone number

[Precautions for Description]

1. Enter all names of funds, etc. established and managed by the company that are affected by the disposition.  
(Attached document: A copy of the written order, etc. pertaining to the relevant disposition, etc. (limited to cases where a Full Member has received an order))

Appended Form No. 33

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Report on Order to Submit XXXX

Since our Company has been ordered to submit AAAA from XXXX based on YYYY No. ZZZZ dated [MM DD, YYYY] pursuant to the provisions of Article 56-2 of the Financial Instruments and Exchange Act, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 27 of the Rules on Enforcement of Articles of Incorporation.

(Attached document: A copy of the written order, etc. pertaining to such submission)

Appended Form No. 34

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Regarding Submission of XXXX

Since our Company has been ordered to submit AAAA from XXXX based on YYYY No. ZZZZ dated [MM DD, YYYY] pursuant to the provisions of (Article 51 and Article 56-2 of) the Financial Instruments and Exchange Act and has submitted it as of [MM DD, YYYY], our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 28 of the Rules on Enforcement of Articles of Incorporation.

(Attached document: A copy of the document submitted to the Financial Services Agency)

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Report on Order to Hand over Investment Trust Agreement

Since [our Company/AAAA Trust Bank that is a trustee bank for the investment trust property established by our Company] has received an order to hand over the investment trust agreement from XXXX based on YYYY No. ZZZZ dated [MM DD, YYYY] pursuant to the provisions of Article 23 of the Act on Investment Trusts and Investment Corporations, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 29 of the Rules on Enforcement of Articles of Incorporation.

#### Description

Background to the issuance of the order of handover	
Name, etc. of the successor of the fund, etc. (address, name of representative, contact information)	
Summary of the business, etc. to be corrected by the disposition	
Period of the disposition, etc.	
Name of the fund to be handed over	
Summary of effects on the management, operation, or disposition of the fund, etc.	

[Contact person]

Affiliation

Title and name

Telephone number

#### [Precautions for Description]

1. Enter all names of funds, etc. established and managed by the company that are affected by the disposition.

(Attached document: A copy of such Order, etc. (limited to cases where a Full Member has received an order))

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Report on Order under Article 26 of Investment Trust Act

Since [our Company/AAAA that handles the public offering (private placement and other transactions) of beneficiary certificates of investment trusts established by our Company] received a prohibition (suspension) order of the public offering (private placement and other transactions) of beneficiary certificates (or received a prohibition (suspension) order of the handling, etc. of the public offering of beneficiary certificates at the following sales company) from XXXX based on YYYY No. ZZZZ dated [MM DD, YYYY] pursuant to the provisions of Article 26 of the Act on Investment Trusts and Investment Corporations, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 30 of the Rules on Enforcement of Articles of Incorporation.

#### Description

Summary of Order	
Name of the company whose public offering is prohibited (suspended)	
Period of the disposition, etc.	
Names of the fund, etc. whose public offering is prohibited (suspended)	
Summary of effects on the management, operation, or disposition of the fund, etc.	

[Contact person]

Affiliation

Title and name

Telephone number

#### [Precautions for Description]

1. Enter all names of funds, etc. established and managed by the company that are affected by the disposition.

(Attached document: A copy of such Order, etc. (limited to cases where a Full Member has received an order))

Appended Form No. 37

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

Notification of Change of Major Shareholder

Since our major shareholders have changed, our Company hereby reports the same pursuant to the provisions of Article 10, Paragraph 1, Item 31 of the Rules on Enforcement of Articles of Incorporation.

Description

Name, trade name, or company name	After change		Before change	
	Number of voting rights held	Percentage	Number of voting rights held	Percentage

Date of change	MM DD, YYYY
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Contact person: Affiliation  
Title and name:  
Telephone number:  
E-mail address:

Reporting guidelines, etc. for the Accident Report on Case of Leakage, etc. of Personal Information, etc.

1. Distinction between new and follow-up reports  
Any new report shall be “new,” and the case that has already been reported and that is to be reported in a secondary manner, such as details thereof, shall be prepared as a “follow-up report.”
2. Name of the department where the accident occurred, the affiliation and title of the person who caused the accident, and the persons concerned  
Names of the person who caused the accident and the persons concerned are not required to be entered.
3. Contents of the leaked information, etc.  
Specifically enter the type, contents, number of customers, etc. (number of cases), and other matters of personal information, personal data, or information on processing methods, etc. involved in an accident.  
If sensitive information is included, enter the number of such information.  
In addition, if the individual number and specific personal information are included, specifically enter the contents and the number of customers, etc. (number of cases).
4. Presence or absence of information protection measures such as encryption  
With regard to the presence or absence of information protection measures such as encryption, enter the presence or absence of measures that have been taken in advance with respect to the relevant information at the time of leakage, etc.
5. Leakage destination  
Enter whether the leakage destination has been identified and the status, etc. of collection of personal information, etc.
6. Status at the time of occurrence  
Enter the date and time of occurrence of the accident and the manner in which the accident occurred.  
If any notification or report has been made to the police for theft or loss, etc., enter the fact together.
7. Background to discovery  
Enter the date of discovery and the triggers for discovery (complaints from customers, internal inspections, petitions from persons in charge, etc.)
8. Status of notification to customers, etc.  
With regard to the response to the notification, etc. of the facts to the customer, etc. (the principal) involved in the accident, specifically enter departments in charge of the response, the number of customers, etc., and the status of the response, etc.
9. Presence or absence of publication, date, content, and method of publication  
If the information is to be published or has been published, specifically enter the date, content, and method of publication, and attach the publication materials.  
If it is decided not to publish the information, enter the reason therefor.
10. Analysis of causes of occurrence, recognition of problems, etc. (including the status of compliance with internal rules, etc.)  
Specifically enter the background of the accident that occurred, the cause of occurrence, etc.  
In light of internal rules, etc. regarding the safety control of personal information, personal data, etc., specifically enter the status of compliance therewith.
11. Measures to prevent recurrence, etc.  
Enter corrective and improvement measures to prevent recurrence, etc.
12. Presence or absence of reports to the supervisory government agency  
Enter whether the report has been made to the supervisory government agency (meaning the Financial Services Agency and the Personal Information Protection Commission) and if the report has been made, enter the date of the report.

Appended Form No. 39

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Abolition of XX Business

Since our Company has abolished XXXX, our Company hereby reports the same as follows pursuant to the provisions of Article 11, Item 1 of the Rules on Enforcement of Articles of Incorporation.

#### Description

1. Contents of the business abolished
2. Date of abolition: MM DD, YYYY



Appended Form No. 40

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

### Notification of Change of Trade Name or Name

Since our Company will change our trade name or name as follows as of [MM DD, YYYY], our Company hereby notifies your Association of the same pursuant to the provisions of Article 11, Item 2 of the Rules on Enforcement of Articles of Incorporation of your Association.

#### Description

	After change	Before change
Trade name or name		
Trade name or name (Reading)		
Trade name or name (In English)		

Date of change	MM DD, YYYY
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Appended Form No. 41

Application date	MM DD, YYYY
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The Investment Trusts Association, Japan

To: Chairperson

Trade name or name	
Representative	

Notification of Change of Location of Head Office

Since our Company will change the location of the head office as follows, our Company hereby reports the same to your Association pursuant to the provisions of Article 11, Item 3 of the Rules on Enforcement of Articles of Incorporation.

Description

	After change	Before change
Name of the head office to be changed		
Postal code		
Address		
Address (In English)		
Telephone number		
Fax number		

Date of change	MM DD, YYYY
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Appended Form No. 42

Application Date: MM DD, YYYY

The Investment Trusts Association, Japan

To: Chairperson

(Trade Name or Name)

(Representative)

### Notification of Withdrawal from Membership

Our Company hereby notifies your Association of our intention to withdraw from membership as follows pursuant to the provisions of Article 16 of the Rules on Enforcement of Articles of Incorporation.

#### Description

1. Date of withdrawal

2. Reasons for withdrawal