

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)

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Application Date: mm/dd/yyyy

To: The Director-General of the Kanto Local Finance Bureau

Applicant

Address/Location: XXX Fifth Avenue, New York, NY 10XXX, USA

Telephone number: +1-212-555-XXXX

Name/Trade name: ABCD Trading LLC

Name of the Representative: Chief Executive Officer Mr. Thomas Brown

(If the Applicant is a juridical person, state the title and name of the representative.)

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)

An applicant who has changed his/her family name is able to state the original name in brackets in the part of “Name/Trade name”.

* Registration number	<To be filled in by the Kanto Local Finance Bureau>	
1 Legal Form	Juridical Person	Individual
2 Name/Trade name	<To be filled, if Applicant is a juridical person>	
3 Name	<To be filled, if Applicant is an individual>	
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) An applicant who has changed his/her family name is able to state the original name in brackets in the part of "3 Name".

Exhibit 1: Amount of Capital or Total Contribution**Name/Trade name of the Applicant**

Amount of Capital or Total Contribution	Date
JPY 20,000,000 (The above amount in JPY is converted from that in USD at the rate quoted by XYZ Bank as of mm/dd/yyyy equal to JPY 100.00 for 1 USD.)	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.

Exhibit 2: Names of Directors**Name/Trade name of the Applicant****As of mm/dd/yyyy (the Application Date)**

Name	Title
Thomas Brown	Chief Executive Officer
James Miller	Managing Director

(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 A person who has changed his/her family name is able to state the original name in brackets in the part of "Name".

< In this Exhibit 2, please indicate any person who is regarded as a director (*Torishimariyaku*), an accounting councilor (*Kaikeisanyo*), an auditor (*Kansayaku*), an executive officer (*Shikkouyaku*) or a person equivalent thereto. >

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 (the Application Date)**

Example 1

Name/Trade name	Title
Mr. Michael Green, head of xxx department of Tokyo Branch	Representative in Japan

Example 2

Name/Trade name	Title
PQR Law Office	Agent in Japan

Example 3

Name/Trade name	Title
Financial Department of XYZ Securities K.K.	Agent in Japan

(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 A person who has changed his/her family name is able to state the original name in brackets in the part of "Name/Trade name".

< It is necessary to appoint a suitably qualified person to be the Representative in Japan or the Agent in Japan. For instance, as shown in III-3-1-3(1)(i)(g) of the Supervisory Guidance regarding HST, it is necessary to appoint a person with sufficient knowledge on HST-related regulations under the FIEA as well as the ability to appropriately respond to reporting orders, etc. from the supervisory authorities by properly coordinating with the Applicant.>

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 (the Application Date)**

Name	Location
(Head Office)	XXX Fifth Avenue, New York, NY 10XXX, USA 0-0-0
(Principal Business Office in Japan) Tokyo Branch	Kasumigaseki, Chiyoda-ku Tokyo 000-0000 JAPAN

(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.

< If there is no principle business office in Japan, please note "Not applicable" for (Principal Business Office in Japan). >

Exhibit 5:

Name and location of the business office engaging in HST business

Name/Trade name of the Applicant

As of mm/dd/yyyy (the Application Date)

Name	Location
Head Office	XXX Fifth Avenue, New York, NY 10XXX, USA
Washington Office	XX First Street, Washington, DC 20XXX, USA

(Note)

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

Exhibit 6:

Type of business conducted by the Applicant other than HST business

Name/Trade name of the Applicant

As of mm/dd/yyyy (the Application Date)

Type of business conducted by the Applicant other than HST business
Management consultant, real estate transaction service