

About the Detailed Rules

The English version of the Detailed Rules of the Operational Rules is a translation of the Japanese original version of the Detailed Rules Relating to the Operational Rules Concerning Complaint Resolution Support and Mediation (*Kujou Kaiketsu Shien to Assen ni Kansuru Gyomukitei ni Kansuru Saisoku*) effective as of March 31, 2013. Translations of the Articles of Association, the Operational Rules, and other rules are only reference materials for helping people understand the activities of FINMAC. Therefore, it is the laws and regulations in Japanese (such as the Financial Instruments and Exchange Act) and the original Japanese Articles of Association, Operational Rules, and other rules that have legal effects in consultation, complaint handling, and dispute resolution conducted at FINMAC.

DETAILED RULES RELATING TO THE OPERATIONAL RULES CONCERNING COMPLAINT RESOLUTION SUPPORT AND MEDIATION

(Purpose)

Article 1 These Detailed Rules shall prescribe necessary matters for the enforcement of the “Operational Rules Concerning Complaint Resolution Support and Mediation” (hereinafter referred to as the “Operational Rules”).

(Applying for user registration)

Article 2 A party that intends to make a user registration pursuant to the provisions of Article 5, Paragraph 2 of the Operational Rules must submit to FINMAC an application for user registration in a form in Annex 1 that describes the following matters:

- (1) Trade name or name;
- (2) Amount of capital or contribution if the applicant is a corporation;
- (3) Names of officers if the applicant is a corporation;
- (4) Name of major office or business office and its location;
- (5) Liaison for Complaint processing;
- (6) If the applicant is a Self-Regulatory Organizations Affiliate Business Operator as prescribed in Article 4, Paragraph 1, Item (1) of the Operational Rules, a statement to that effect.

2. The following documents (excluding those determined separately by FINMAC) must be attached to the application for user registration as prescribed in the preceding Paragraph:

- (1) An application for registration as prescribed in Article 29-2, Paragraph 1 or Article 33-3, Paragraph 1 of the Financial Instruments and Exchange Act (hereinafter referred to as the “FIEA”), or the application for change of registration as prescribed in Article 22, Paragraph 1 of the Cabinet Office Ordinance concerning the Financial Instruments Business, etc. (hereinafter referred to as the “Cabinet Office Ordinance of FIEA”), or a copy of the written notice as prescribed in Article 51, Paragraph 1 of the Cabinet Office

- Ordinance of FIEA, and a copy of the attachment thereto;
- (2) A copy of a document that proves the registration or change of registration as prescribed in the preceding Item;
 - (3) A deposit certificate of business deposit or a copy of the agreement as prescribed in Article 27, Paragraph 1 of the Cabinet Office Ordinance of FIEA;
 - (4) A document describing whether the applicant meets each Item of Article 5, Paragraph 4 of the Operational Rules, and if meeting the Items, the details;
 - (5) A document confirming that the applicant falls under neither provision set forth in the categories below depending on such categories:
 - (a) Type II Financial Instruments Business Operators: Article 13, Items (1) to (4) of the Cabinet Office Ordinance of FIEA;
 - (b) Registered Financial Institution: Article 49, Items (1) to (4) of the Cabinet Office Ordinance of FIEA.
 - (6) A document proving that the applicant agrees that it is subject to the Authorized Business as prescribed in Article 79-11, Paragraph 1 of the FIEA of the Certified Investor Protection Organization that is authorized under Article 79-7, Paragraph 1 of the FIEA.

3. When the Specified Business Operators prescribed in Article 4, Paragraph 1, Item (2) of the Operational Rules change matters set forth in each Item of Paragraph 1, or the Type II Financial Instruments Business or other equivalent business conducted by themselves, or if the agreement substitute for the business deposit as prescribed in Article 27, Paragraph 2 of the Cabinet Office Ordinance of FIEA is changed or terminated, such Specified Business Operators shall notify FINMAC to this effect without delay.

(Form of Notification of Termination of User Registration)

Article 3 A party that intends to terminate the user registration pursuant to the provisions of Article 5, Paragraph 5 of the Operational Rules must submit a notification of termination of user registration in a form in Annex 2.

(Application for Master Agreement on Implementing Complaint-handling and Dispute Resolving Procedures)

Article 3-2 Type I Financial Instruments Business Operators who intend to make an application for Master Agreement on Implementing Complaint-handling and Dispute Resolving Procedures pursuant to the provisions of Article 5-2, Paragraph 2 of the Operational Rules must submit to FINMAC an application form for Master Agreement on Implementing Complaint-handling and Dispute Resolving Procedures as prescribed in Annex 2-2.

2. If a Financial Instruments Firms Association to which the Affiliated Type I Financial Instruments Business Operators belong or the type of Type I Financial Instruments Business conducted by the Affiliated Type I Financial Instruments Business Operators change, the Affiliated Type I Financial Instruments Business Operators must notify FINMAC of such change.

3. A form of documents as prescribed in Article 5, Paragraph 9 and Article 5-2, Paragraph 5 of the Operational Rules shall be as indicated in Annex 2-3.

(Amount of Basic Fee Incurred by Specified Business Operators)

Article 4 The amount of basic fee incurred by Specified Business Operators as prescribed in Article 6, Paragraph 2 of the Operational Rules shall be 100,000 yen per year.

2. FINMAC shall review the amount of basic fee incurred as prescribed in the preceding Paragraph if it deems necessary in consideration of the number of Specified Business Operators and the number of motion for mediation filed related to the Specified Business Operators.

(Motion for Mediation and Form Proving the Customer Consent)

Article 5 The form of motion for mediation as prescribed in Article 26, Paragraph 1 of the Operational Rules (hereinafter referred to as the “Motion for Mediation”) shall be as shown in Annex 3.

2. The form proving the consent of customer as prescribed in Article 26, Paragraph 4 of the Operational Rules (hereinafter referred to as the “Consent Form of Motion for Mediation”) shall be as shown in Annex 4.

3. The form to withdraw consent of customer as prescribed in Article 26, Paragraph 6 of the Operational Rules (hereinafter referred to as the “Written Notice for Withdrawal of Consent of Motion for Mediation”) shall be as shown in Annex 5.

(Form of Motion for Challenge)

Article 6 The form for motion as prescribed in Article 33, Paragraph 2 of the Operational Rules (hereinafter referred to as the “Motion for Challenge”) shall be as shown in Annex 6.

(Form of Written Answer)

Article 7 The form of written answer as prescribed in Article 35, Paragraph 1 of the Operational Rules shall be as shown in Annex 7.

(Venue of Mediation)

Article 8 The venue of mediation procedures shall be the capital of the prefecture where the address or location of the customer exists (or Sapporo, Asahikawa, Hakodate, or Kushiro in the case of Hokkaido; the same shall apply hereinafter).

2. Notwithstanding the preceding Paragraph, if FINMAC admits it appropriate for the convenience of the customer and for other reasons, the venue of mediation may be the capital of another prefecture, or another place.

(Withdrawal of Motion for Mediation and Form of Customer Consent)

Article 9 The form for withdrawal of motion for mediation as prescribed in Article 39, Paragraph 1 of the Operational Rules shall be as shown in Annex 8.

2. The form of document to indicate that the customer agrees to the withdrawal of motion for

mediation as prescribed in Article 39, Paragraph 3 of the Operational Rules (hereinafter referred to as the “Consent Form of Withdrawal of Motion for Mediation”) shall be as shown in Annex 9.

(Form of Report of Lawsuit)

Article 10 The form of report as prescribed in Article 53, Paragraph 1 of the Operational Rules shall be as shown in Annex 10-1.

2. The form of report as prescribed in Article 53, Paragraph 2 of the Operational Rules shall be as shown in Annex 10-2.

3. The form of report as prescribed in Article 53, Paragraph 3 of the Operational Rules shall be as shown in Annex 10-3.

(Responsible Areas of Osaka Office)

Article 11 In Addition to the Osaka region as prescribed in Annex 1 of the Operational Rules, regions prescribed in Article 56, Paragraph 2, Item (2) of the Operational Rules as areas covered by the Osaka Office shall be the Hokuriku Region and the Chugoku Region prescribed in Annex 1 of the Operational Rules.

Supplementary Provisions

1. The Detailed Rules shall be enforced on the date determined separately by FINMAC (Note 1); provided, however, provisions from Articles 2 to 4 shall be enforced on the date when FINMAC is authorized under Article 79-7, Paragraph 1 of the FIEA (Note 2).

(Note 1) The date determined separately by FINMAC shall be February 1, 2010;

(Note 2) The date of receiving such authorization is January 19, 2010.

2. Notwithstanding the provisions of Article 4, the annual basic fee for the Specified Business Operators in the first business year of the establishment of FINMAC shall be 20,000 yen per year.

Supplementary Provisions (October 12, 2010)

This revision shall be enforced as of October 12, 2010.

(Note) The revised provisions shall be as follows:

(1) Revised Article 4.

Supplementary Provisions (April 1, 2011)

This revision shall be enforced on the date determined separately by FINMAC; provided, however, submission of Complaints and motion for mediation prior to the enforcement date shall be processed pursuant to the previous Rules.

(Note) The revised provisions shall be as follows:

- (1) Changed the name of the Detailed Rules;
- (2) Revised Article 2, chapeau; Article 4, Paragraph 1; and Article 8, Paragraph 2, and deleted Article 4, Paragraph 2;
- (3) Newly established Article 3-2 and Article 10;
- (4) Revised Annexes 1 to 8, and newly established Annexes 2-2, 2-3, and 10-1 to 10-3;
- (5) The date determined separately by FINMAC shall be April 1, 2011.

Supplementary Provisions (February 27, 2013)

This revision shall be enforced on the date determined separately by FINMAC.

(Note 1) The date determined separately shall be the date after the authorization by a competent administrative agency is given.

(Note 2) The revised provisions shall be as follows:

- (1) Newly established Article 11;
- (2) The date determined separately by FINMAC shall be March 11, 2013.

Date:

**Application for User Registration of Dispute Resolution Business
for Type II Financial Instruments Business**

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Trade Name or Name of Applicant: (SEAL)

Name of Representative: (SEAL)

Address:

(Daily Contact Point)

Name of liaison:

Tel:

Fax:

E-mail:

The following Business Operator (Enter the trade name or name of the applicant) applies for user registration of the Dispute Resolution Business provided by FINMAC pursuant to Article 5, Paragraph 2 of the “Operational Rules Concerning Complaint Resolution Support and Mediation.”

When the Company (or I) uses the Dispute Resolution Business provided by FINMAC, we promise that we comply with the Operational Rules above, the Detailed Rules of the Operational Rules, and other rules determined by FINMAC upon use, and sincerely perform obligations thereunder.

1. Trade name or name of the applicant;
2. Amount of capital or contribution (if the applicant is a corporation);
3. Name of officers (if the applicant is a corporation);
4. Major office or business office and its location;

5. Liaison for Complaint processing;

6. A statement to the effect that the applicant is a Self-Regulatory Organizations Affiliate Business Operator as prescribed in Article 4, Paragraph 1, Item (1) of the Operational Rules (in the case the applicant is a Self-Regulatory Organizations Affiliate Business Operator).

Date:

**Notification of Termination of User Registration of Dispute Resolution Business
for Type II Financial Instruments Business**

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Trade Name or Name of Applicant: (SEAL)
Name of Representative: (SEAL)
Address:

(Daily Contact Point)
Name of liaison:
Tel:
Fax:
E-mail:

Pursuant to Article 5, Paragraph 5 of the “Operational Rules Concerning Complaint Resolution Support and Mediation,” we notify you of the termination of user registration of the Dispute Resolution Business provided by FINMAC.

For cases in which Complaints are submitted or motion for mediation is filed prior to the termination date of the use of Dispute Resolution Business as set forth in 2 below, we promise that, as before, we comply with the Operational Rules above, the Detailed Rules of the Operational Rules, and other rules determined by FINMAC, and sincerely perform obligations thereunder.

1. Trade name or name of the Business Operator who has the user registration;
2. Termination date of the use of Dispute Resolution Business.

Date:

Application for Master Agreement on Implementing Complaint-handling and Dispute Resolving Procedures for Dispute Resolution for Specified Type I Financial Instruments Business

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Trade Name or Name of Applicant: (SEAL)

Name of Representative: (SEAL)

Address:

(Daily Contact Point)

Name of liaison:

Tel:

Fax:

E-mail:

The following Business Operator (Enter the trade name or name of the applicant) applies for the conclusion of the Master Agreement on Implementing Complaint-handling and Dispute Resolving Procedures for Dispute Resolution for Specified Type I Financial Instruments Business with FINMAC pursuant to Article 5-2, Paragraph 2 of the “Operational Rules Concerning Complaint Resolution Support and Mediation.”

When the Company (or I) uses the Dispute Resolving Procedures related to the Specified Type I Financial Instruments Business that is provided by FINMAC, we promise that we comply with the Operational Rules above, the Detailed Rules of the Operational Rules, and other rules determined by FINMAC upon use, and sincerely perform obligations thereunder.

1. Trade name or name of the applicant;
2. Name of representative;
3. Major office or business office and its location;

4. Registration number as a Financial Instruments Business Operator;

5. Name of the Financial Instruments Firms Association to which the applicant belongs, if any;

6. Type of Type I Financial Instruments Business:
 - (1) Sale and Purchase or Other Transactions of Securities, etc. as prescribed in Article 3, Item (8) of the Articles of Association of Japan Securities Dealers Association (Yes/No);
 - (2) Financial Futures Transactions Business as prescribed in Article 4, Paragraph 1, Item (1) of the Articles of Association of The Financial Futures Association of Japan (Yes/No).

(Note) Please circle the applicable one.

Date:

Written Notice for Expiration, etc. of Financial Instruments Business Registration

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Trade Name or Name of Applicant: (SEAL)
Name of Representative: (SEAL)
Address:

(Daily Contact Point)
Name of liaison:
Tel:
Fax:
E-mail:

As Financial Instruments Business registration has expired or has been cancelled as follows, the Company (or I) notifies you of this fact pursuant to Article 5, Paragraph 9 or Article 5-2, Paragraph 5 of the “Operational Rules Concerning Complaint Resolution Support and Mediation.”

For cases in which Complaints are submitted or motion for mediation is filed prior to the expiration or cancellation date of the Financial Instruments Business registration as set forth in 2 below, we promise that, as before, we comply with the Operational Rules, the Detailed Rules of the Operational Rules, and other rules determined by FINMAC, and sincerely perform obligations thereunder.

1. Trade name or name of the Business Operator who concluded the Master Agreement on Implementing Complaint-handling and Dispute Resolving Procedures for Dispute Resolution or who has the user registration;
2. Expiration or cancellation of the Financial Instruments Business registration;
(Expiration/Cancellation) (Please circle the applicable one.)
3. The date of expiration or cancellation of the Financial Instruments Business registration.

Date:

Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of Applicant: (SEAL)
Address:

(Address of office, name of the corporation, and the name
of representative in the case of a corporation)

Tel:
Fax:
E-mail:

I would like to file a motion for mediation on the following Dispute.

When I file a motion for mediation, I promise that I comply with the “Important Points of the Mediation,” keep faith, and make efforts to resolve the Dispute in good faith.

1. The other party of the Dispute:

(1) Name of the Business Operator who is the other party;
(Name of business office where the Dispute arises)
(Name of liaison)

(2) Name of the Financial Instruments Intermediary Service Provider who is the other party.
(Name of business office or office where the Dispute arises)
(Name of liaison)

2. Summary of motion;

3. Points of Dispute:

(1) Facts that are the cause of the Dispute;

(2) Progress of negotiation with the other party;

(3) Points of disagreement on the facts.

4. Evidence documents;

5. Address for delivery.

(Note) If the parties concerned request that documents related to the mediation be sent to a place other than the address, please indicate the address for delivery.

FOR BUSINESS OPERATOR

Date:

Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of the Business Operator: (SEAL)

Name of Representative: (SEAL)

Name and name of representative in the case of a
Financial Instruments Intermediary Service Provider

(Daily Contact Point)

Name of liaison:

Tel:

Fax:

E-mail:

We would like to file a motion for mediation on the following Dispute.

When we file a motion for mediation, we promise that we comply with the “Important Points of the Mediation,” keep faith, and make efforts to resolve the Dispute in good faith.

1. The other party of the Dispute;
(Name of the customer who is the other party)
2. Summary of motion;
3. Points of Dispute:
 - (1) Facts that are the cause of the Dispute;
 - (2) Progress of negotiation with the other party;
 - (3) Points of disagreement on the facts.
4. Evidence documents.

(Note) Please attach the consent form as prescribed in Article 26, Paragraph 4 of the “Operational Rules Concerning Complaint Resolution Support and Mediation” (Annex 4).

Date:

Consent Form of Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name: (SEAL)

Address:

(Address of office, name of the corporation, and the name
of representative in the case of a corporation)

Tel:

Fax:

E-mail:

As of MM DD, YYYY, with respect to the motion for mediation filed by the following party where I or the Company is the other party, I agree to resolve the Dispute by mediation conducted by Mediators Candidates of the Financial Instruments Mediation Assistance Center.

1. The other party of the Dispute:

(1) Name of the Business Operator who is the other party;

(Name of business office where the Dispute arises)

(Name of liaison)

(2) Name of the Financial Instruments Intermediary Service Provider who is the other party.

(Name of business office or office where the Dispute arises)

(Name of liaison)

2. Address for delivery.

(Note) If the parties concerned request that documents related to the mediation be sent to a place other than the address, please indicate the address for delivery.

Date:

Written Notice for Withdrawal of Consent of Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name: (SEAL)

(Address of office, name of the corporation, and the name
of representative in the case of a corporation)

With respect to the motion for mediation filed by the following party where I or the Company is the other party, although I agreed to resolve the Dispute by mediation conducted by Mediators Candidates of the Financial Instruments Mediation Assistance Center, I hereby withdraw my consent.

1. The other party of the Dispute:

(1) Name of the Business Operator who is the other party;
(Name of business office where the Dispute arises)
(Name of liaison)

(2) Name of the Financial Instruments Intermediary Service Provider who is the other party.
(Name of business office or office where the Dispute arises)
(Name of liaison)

Date:

Motion for Challenge

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of Applicant: (SEAL)

Address:

(Address of office, name of the corporation, and the name
of representative in the case of a corporation)

Tel:

Fax:

E-mail:

I am applying for the challenge to the Dispute Resolution Mediator as follows pursuant to the provisions of Article 33, Paragraph 1 of the “Operational Rules Concerning Complaint Resolution Support and Mediation.”

1. Dispute Resolution Mediator to be challenged;
2. Reason for challenging;
3. Party of the Dispute:
 - (1) Party filing a motion for mediation;
 - (2) The other party.
4. Date of filing a motion for mediation.

Date:

Written Answer

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of the Business Operator: (SEAL)
Name of Representative: (SEAL)
Name and name of representative in the case of a
Financial Instruments Intermediary Service Provider

As of MM DD, YYYY, I submit a written answer on the motion for mediation over the Dispute made by Mr./Ms._____ (Note) where the Company is the other party as follows pursuant to the provisions of Article 35, Paragraph 1 of the “Operational Rules Concerning Complaint Resolution Support and Mediation.”

1. Written answer to the purport of the motion;
2. Defense or plea against the points of Dispute;
3. Evidence documents.

(Note) Please enter in the blank space the name of the customer who filed the motion for mediation.

FOR CUSTOMER

Date:

Written Answer

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name: (SEAL)
Address:

(Address of office, name of the corporation, and the
name of representative in the case of a corporation)

Tel:
Fax:
E-mail:

As of MM DD, YYYY, I submit a written answer on the motion for mediation over the Dispute made by_____ (Note) where I or the Company is the other party as follows pursuant to the provisions of Article 35, Paragraph 1 of the “Operational Rules Concerning Complaint Resolution Support and Mediation.”

1. Written answer to the purport of the motion;
2. Defense or plea against the points of Dispute;
3. Evidence documents.

(Note) Please enter in the blank space the name of the Business Operator and the Financial Instruments Intermediary Service Provider who are the other parties.

Date:

Withdrawal of Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of Applicant: (SEAL)
Address:

(Address of office, name of the corporation, and the name
of representative in the case of a corporation)

Tel:
Fax:
E-mail:

As of MM DD, YYYY, I withdraw the motion for mediation where_____ (Note) is the other party of Dispute.

(Note) Please enter in the blank space the name of the Business Operator and the Financial Instruments Intermediary Service Provider who are the other parties.

FOR BUSINESS OPERATOR

Date:

Withdrawal of Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of the Business Operator: (SEAL)

Name of Representative: (SEAL)

Name and name of representative in the case of a
Financial Instruments Intermediary Service Provider

As of MM DD, YYYY, the Company withdraws the motion for mediation where Mr./Ms. _____
(Note 2) is the other party of Dispute.

(Note 1) Please attach the consent form as prescribed in Article 39, Paragraph 3 of the
“Operational Rules Concerning Complaint Resolution Support and Mediation” (Annex
9).

(Note 2) Please enter in the blank space the name of the customer who filed the motion for
mediation.

Date:

Consent Form of Withdrawal of Motion for Mediation

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of Applicant: (SEAL)

Address:

(Address of office, name of the corporation, and the name
of representative in the case of a corporation)

Tel:

Fax:

E-mail:

As of MM DD, YYYY, I agree to withdraw the motion for mediation over the Dispute that was filed by the following party where I (or the Company) am the other party.

○ Applicant

- (1) Name of the Business Operator who is the other party and its representative;
- (2) Name of the Financial Instruments Intermediary Service Provider who is the other party and its representative.

Date:

Report of Pending Lawsuit

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of the Business Operator: (SEAL)

Name of Representative: (SEAL)

Name and name of representative in the case of a
Financial Instruments Intermediary Service Provider

(Daily Contact Point)

Name of liaison:

Tel:

Fax:

E-mail:

As of MM DD, YYYY, with respect to the claim related to the motion for mediation over the Dispute made by Mr./Ms._____ (Note) where the Company is the other party, as the lawsuit is pending, I report as follows pursuant to the provisions of Article 53, Paragraph 1 of the “Operational Rules Concerning Complaint Resolution Support and Mediation”:

1. Parties of the lawsuit:

(1) Plaintiff

(2) Defendant

2. Date of filing the lawsuit;

3. Object and statement of claim in the lawsuit;

(Object and statement of claim described in the petition)

4. Progress of the lawsuit.

(Note) Please enter in the blank space the name of the customer who filed the motion for mediation.

Date:

Report of Lawsuit Filing

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of the Business Operator: (SEAL)

Name of Representative: (SEAL)

Name and name of representative in the case of a
Financial Instruments Intermediary Service Provider

(Daily Contact Point)

Name of liaison:

Tel:

Fax:

E-mail:

As of MM DD, YYYY, with respect to the claim related to the motion for mediation over the Dispute made by Mr./Ms._____ (Note) where the Company is the other party, as a lawsuit is filed as follows, I report as follows pursuant to the provisions of Article 53, Paragraph 2 of the “Operational Rules Concerning Complaint Resolution Support and Mediation”:

1. Parties of the lawsuit:

(1) Plaintiff

(2) Defendant

2. Date of filing the lawsuit;

3. Object and statement of claim in the lawsuit.

(Object and statement of claim described in the petition)

(Note) Please enter in the blank space the name of the customer who filed the motion for mediation.

Date:

Report of Lawsuit Closing

TO: Non-Profit Organization
Financial Instruments Mediation Assistance Center

Name of the Business Operator: (SEAL)

Name of Representative: (SEAL)

Name and name of representative in the case of a
Financial Instruments Intermediary Service Provider

(Daily Contact Point)

Name of liaison:

Tel:

Fax:

E-mail:

As of MM DD, YYYY, with respect to the claim related to the motion for mediation over the Dispute made by Mr./Ms._____ (Note) where the Company is the other party, as the lawsuit is closed as of MM DD, YYYY, I report as follows pursuant to the provisions of Article 53, Paragraph 3 of the “Operational Rules Concerning Complaint Resolution Support and Mediation”:

1. Parties of the lawsuit:

(1) Plaintiff

(2) Defendant

2. Date of filing the lawsuit;

3. Object and statement of claim in the lawsuit;

(Object and statement of claim described in the petition)

4. The date the lawsuit pending is closed and the reason for closing.

(Note) Please enter in the blank space the name of the customer who filed the motion for mediation.

(Reference)

(Confirmation Form Related to Article 2, Paragraph 2, Items (4) and (5) of the Detailed Rules)

Confirmation Form

(Name of the Business Operator who is an applicant for user registration) confirms that it meets neither each Item of Article 5, Paragraph 4 of the Operational Rules Concerning Complaint Resolution Support and Mediation, nor Article 13, Items (1) to (4) of the Cabinet Office Ordinance concerning the Financial Instruments Business, etc. (or Article 49, Items (1) to (4)).

Date: MM DD, YYYY

(Name of the Business Operator who is an applicant for user registration)
(Name of representative) (SEAL)

(Reference)

(Consent Form Related to Article 2, Paragraph 2, Item (6) of the Detailed Rules)

Consent Form

(Name of the Business Operator who is an applicant for user registration) agrees that it becomes the subject of the Authorized Business as prescribed in Article 79-11, Paragraph 1 of the Financial Instruments and Exchange Act in the Dispute Resolution Business provided by FINMAC as a Certified Investor Protection Organization that is authorized under Article 79-7, Paragraph 1 of the Financial Instruments and Exchange Act.

Date: MM DD, YYYY

(Name of the Business Operator who is an applicant for user registration)

(Name of representative)

(SEAL)