

Order for Enforcement of the Act on Prevention of Transfer of Criminal Proceeds

Article 1

(Definitions)

The terms “criminal proceeds,” “specified business operator,” “customer, etc.,” “customer identification data,” “customer identification,” “agent work, etc. for specified mandated acts,” “representative person, etc.,” “customer identification records,” or “reporting of suspicious transactions” as used in this Order for Enforcement mean criminal proceeds, specified business operator, customer, etc., customer identification data, customer identification, agent work, etc. for specified mandated acts, representative person, etc., customer identification records, or reporting of suspicious transactions prescribed in Article 2, paragraph 1 or paragraph 2, Article 4, paragraph 1 or paragraph 2, Article 6, paragraph 1, or Article 9, paragraph 2 of the Act on Prevention of Transfer of Criminal Proceeds (hereinafter referred to as the “Act”).

Article 2

(Persons Specified by a Cabinet Order as Prescribed in Article 2, Paragraph 2, Item (xxviii) of the Act)

The persons specified by a Cabinet Order as prescribed in Article 2, paragraph 2, item (xxviii) of the Act shall be persons listed in Article 1-2, item (iii) of the Order for Enforcement of the Money Lending Business Act (Cabinet Order No. 181 of 1983).

Article 3

(Leasing Specified by a Cabinet Order as Prescribed in Article 2, Paragraph 2, Item (xxxiv) of the Act)

Leasing specified by a Cabinet Order as prescribed in Article 2, paragraph 2, item (xxxiv) of the Act shall be leasing that meets the following requirements:

(i) The contract pertaining to the leasing may not be cancelled during the leasing term or is specified as equivalent thereto by an ordinance of the competent administrative ministries

(ii) The person who receives the leasing service may enjoy substantial financial benefits brought about by the use of machinery and any other articles pertaining to the said leasing service and is expected to bear substantial expenses resulting from the use of the said articles.

Article 4

(Precious Metals, etc.)

(1) Precious metals specified by a Cabinet Order as prescribed in Article 2, paragraph 2, item (xxxvii) of the Act shall be gold, platinum, silver, and alloys thereof.

(2) Precious stones specified by a Cabinet Order as prescribed in Article 2, paragraph 2, item (xxxvii) of the Act shall be diamonds and other precious stones, gemstones, and pearls.

Article 5

(Persons Equivalent to Customers)

A person specified by a Cabinet Order as being equivalent to a customer, etc. prescribed in Article 4, paragraph 1 of the Act shall be the beneficiary of trusts (excluding persons under contracts for workers' property accumulation savings prescribed in Article 6, paragraph 1 of the Act on Promotion of Workers' Property Accumulation (Act No. 92 of 1971), contracts for workers' property accumulation pension savings prescribed in paragraph 2 of the same Article, and contracts for workers' property accumulation savings for housing prescribed in paragraph 4 of the same Article (hereinafter referred to as "contracts for workers' property accumulation savings, etc."), contracts for workers' property accumulation benefits prescribed in Article 6-2, paragraph 1 of the Act on Promotion of Workers' Property Accumulation (hereinafter simply referred to as "contracts for workers' property accumulation benefits"), contracts for workers' property accumulation funds prescribed in Article 6-3, paragraph 1 of the same Act (hereinafter simply referred to as "contracts for workers' property accumulation funds"), contracts for asset management and investment prescribed in Article 65, paragraph 3 of the Defined-Benefit Corporate Pension Act (Act No. 50 of 2001), contracts listed in the items of Article 65, paragraph 1 of the same Act to be concluded by corporate pension funds pursuant to Article 66, paragraph 1 of the same Act, and contracts for trusts prescribed in Article 66, paragraph 2 of the same Act (hereinafter referred to as "contracts for asset management and investment, etc."), contracts for participant protection trusts to be concluded pursuant to Article 51, paragraph 1 of Act on Book-Entry Transfer of Company Bonds, Shares, etc. (Act No. 75 of 2001), contracts for asset management prescribed in Article 8, paragraph 2 of the Defined Contribution Pension Act (Act No. 88 of 2001) (hereinafter simply referred to as "contracts for asset management") and other contracts specified by an ordinance of the competent ministries).

Article 6

(Foreign Nationals Specified by a Cabinet Order as Prescribed in Article 2, Paragraph 2, Item (xxviii) of the Act)

A foreign national who does not have a residence in Japan and who is specified by a Cabinet Order shall be a foreign national who resides in Japan and whose domicile in the country the said foreign national belongs to cannot be verified by his/her passport (which means a passport listed in Article 2, item (v) of the Immigration Control and Refugee Recognition Act (Act No. 319 of 1951)) or the crew member's

pocket-ledger (which means a crew member's pocket-ledger listed in Article 2, item (vi) of the Immigration Control and Refugee Recognition Act) held by the said foreign national.

Article 7

(Specified Business Affairs of Financial Institutions, etc.)

The business affairs specified by a Cabinet Order as prescribed in the row of persons listed in Article 2, paragraph 2, items (i) to (xxxiii) in the table of Article 4, paragraph 1 of the Act shall, according to the categories of specified business operators listed in the following items, be the business affairs prescribed in the respective items:

(i) Specified business operators listed in Article 2, paragraph 2, items (i) to (vii), items (xiv) to (xix), specified business operators listed in item (xx) of the same paragraph (excluding those listed in item (vii)), and specified business operators listed in items (xxi), (xxiii), (xxvi), and (xxx) of the Act: business affairs carried out by the said specified business operators

(ii) Specified business operators listed in Article 2, paragraph 2, items (viii) and (xix) of the Act: business affairs pertaining to the business listed in Article 10, paragraph 1, item (ii) of the Agricultural Cooperatives Act (Act No. 132 of 1947) (limited to the cases where the said specified business operator is also engaged in the business listed in item (iii) of the same paragraph), the business listed in item (iii) of the same paragraph (including the businesses incidental to such business) or the business listed in item (x) of the same paragraph (including the businesses incidental to such business), or the business prescribed in paragraphs 6 to 9 of the same Article

(iii) Specified business operators listed in Article 2, paragraph 2, item (x) of the Act: business affairs pertaining to the business listed in Article 11, paragraph 1, item (iii) of the Fishery Cooperative Act (Act No. 242 of 1948) (limited to the cases where the said specified business operator is also engaged in the business listed in item (iv) of the same paragraph), the business listed in item (iv) of the same paragraph (including the businesses incidental to such business) or the business listed in item (xi) of the same paragraph (including the businesses incidental to the said business), or the business prescribed in paragraphs 3 to 5 of the same Article

(iv) Specified business operators listed in Article 2, paragraph 2, item (xi) of the Act: business affairs pertaining to the business listed in Article 87, paragraph 1, item (iii) of the Fishery Cooperative Act (limited to the cases where the said specified business operator is also engaged in the business listed in item (iv) of the same paragraph) or the business listed in item (iv) of the same paragraph (including the businesses incidental to such business), or the business prescribed in paragraphs 4 to 6 of the same Article

(v) Specified business operators listed in Article 2, paragraph 2, item (xii) of the

Act: business affairs pertaining to the business listed in Article 93, paragraph 1, item (i) of the Fishery Cooperative Act (limited to the cases where the said specified business operator is also engaged in the business listed in item (ii) of the same paragraph), the business listed in item (ii) of the same paragraph (including the businesses incidental to such business) or the business listed in item (vi)-2 of the same paragraph (including the businesses incidental to the said business), or the business prescribed in paragraphs 2 to 4 of the same Article

(vi) Specified business operators listed in Article 2, paragraph 2, item (xiii) of the Act: business affairs pertaining to the business listed in Article 97, paragraph 1, item (i) of the Fishery Cooperative Act (limited to the cases where the said specified business operator is also engaged in the business listed in item (ii) of the same paragraph) or the business listed in item (ii) of the same paragraph (including the businesses incidental to such business), or the business prescribed in paragraphs 3 to 5 of the same Article

(vii) Specified business operators listed in Article 2, paragraph 2, item (xx) of the Act (excluding those engaged in a Type I financial instruments business prescribed in Article 28, paragraph 1 of the Financial Instruments and Exchange Act (Act No. 25 of 1948) or an invest management business prescribed in paragraph 4 of the same Article): a Type II financial instruments business prescribed in Article 28, paragraph 2 of the Financial Instruments and Exchange Act or an investment advisory and agency business prescribed in paragraph 3 of the same Article

(viii) Specified business operators listed in Article 2, paragraph 2, item (xxii) of the Act: specially permitted businesses for qualified institutional investors, etc. prescribed in Article 63, paragraph 2 of the Financial Instruments and Exchange Act

(ix) Specified business operators listed in Article 2, paragraph 2, item (xxiv) of the Act: business affairs concerning trust business carried out by way of the means listed in Article 3, item (iii) of the Trust Act (Act No. 108 of 2006)

(x) Specified business operators listed in Article 2, paragraph 2, item (xxv) of the Act: real estate specified joint enterprise prescribed in Article 2, paragraph 4 of the Real Estate Specified Joint Enterprise Act (Act No. 77 of 1994)

(xi) Specified business operators listed in Article 2, paragraph 2, item (xxvii) of the Act: money lending business prescribed in Article 2, paragraph 1 of the Money Lending Business Act (Act No. 32 of 1983)

(xii) Specified business operators listed in Article 2, paragraph 2, item (xxviii) of the Act: business affairs for making loans prescribed in the main clause of Article 2, paragraph 1 of the Money Lending Business Act

(xiii) Specified business operators listed in Article 2, paragraph 2, item (xxix) of the Act: business for accepting the consignment of commodity transactions prescribed in Article 2, paragraph 17 of the Commodity Exchange Act (Act No. 239 of 1950)

(xiv) Specified business operators listed in Article 2, paragraph 2, item (xxxi) of

the Act: transfer business prescribed in Article 45, paragraph 1 of the Act on Book-Entry Transfer of Company Bonds, Shares, etc.

(xv) Specified business operators listed in Article 2, paragraph 2, item (xxxii) of the Act: business affairs listed in the items of Article 13, paragraph 1 of the Act on the Management Organization for Postal Savings and Postal Life Insurance (Act No. 101 of 2005) or business affairs listed in the items of Article 2, paragraph 1 of the Supplementary Provisions of the same Act

(xvi) Specified business operators listed in Article 2, paragraph 2, item (xxxiii) of the Act: currency exchange business prescribed in the same item

Article 8

(Specified Transactions by Financial Institutions, etc.)

(1) The following transactions specified by a Cabinet Order as prescribed in the provisions of the Act shall be transactions prescribed in the relevant items (in the case of transactions listed in item (i), (a) to (v), item (ii), (a), item (iii), (a), item (iv), (a), item (v), (a), and item (vi), (a), excluding transactions specified by an ordinance of the competent ministries as those unlikely to be used for the transfer of criminal proceeds and transactions with a customer, etc. whose identification has already been verified):

(i) The row of persons listed in Article 2, paragraph 2, items (i) to (xxxiii) in the table of Article 4, paragraph 1 of the Act: transactions falling under any of the following:

(a) Conclusion of a contract for the acceptance of deposits or savings

(b) Conclusion of a contract for the acceptance of installment savings, etc. (which means installment savings, etc. prescribed in Article 2, paragraph 4 of the Banking Act (Act No. 59 of 1981))

(c) Conclusion of a contract for a trust (excluding a trust that construes the right by which the beneficial right is indicated on securities prescribed in Article 2, paragraph 1 of the Financial Instruments and Exchange Act (excluding the right to be indicated on beneficiary securities listed in items (xii) to (xiv) of the same paragraph) or the right deemed to be securities under paragraph 2 of the same Article (excluding those listed in items (i) and (ii) of the same paragraph) and a trust pertaining to trust contracts prescribed in Article 2, paragraph 1 of the Secured Debenture Trust Act (Act No. 52 of 1905); hereinafter the same shall apply in this Article)

(d) Conclusion of judicial relationship through acts, including act of trust, act of designation etc. of a beneficiary, act of transferring a right to be a beneficiary (excluding those pertaining to the acts prescribed in the following (i))

(e) Conclusion of an insurance contract in which a person engaged in insurance business prescribed in Article 2, paragraph 1 of the Insurance Business Act (Act No. 105 of 1995) is the insurer

(f) Conclusion of a contract for mutual aid prescribed in Article 10, paragraph 1, item (x) of the Agricultural Cooperative Act, Article 11, paragraph 1, item (xi) of the Fishery Cooperative Act, Article 93, paragraph 1, item (vi)-2 of the Fishery Cooperative Act or Article 100-2, paragraph 1, item (i) of the Fishery Cooperative Act (hereinafter referred to as a “contract for mutual aid”)

(g) Payment of pensions (limited to those to be paid on the condition of an individual’s existence; the same shall apply hereinafter), maturity insurance money, maturity repayment, cash surrender value or maturity mutual aid money under an insurance contract where a person engaged in an insurance business prescribed in Article 2, paragraph 1 of the Insurance Business Act is an insurer, a postal life insurance contract prescribed in Article 3 of the Postal Life Insurance Act (Act No. 68 of 1949) prior to repeal under Article 2 of the Act Concerning Preparation of Relevant Acts Accompanying Effectuation of the Postal Services Privatization Act, etc. (Act No. 102 of 2005) (referred to as an “insurance contract” in (h) below), or a contract for mutual aid (excluding those under contracts for workers’ property accumulation savings, etc., contracts for workers’ property accumulation benefits, contracts for workers’ property accumulation funds, contracts for asset management and investment, etc. and contracts for asset management)

(h) Change of the contractors of an insurance contract or a contract for mutual aid

(i) Conclusion of a contract for conducting any of the acts listed in Article 2, paragraph 8, items (i) to (vi) of the Financial Instruments and Exchange Act or acts listed in items (vii) to (ix) of the same paragraph, thereby having a customer, etc. acquire securities (which means securities prescribed in paragraph 1 of the same Article or rights to be deemed to be securities under paragraph 2 of the same Article; the same shall apply hereinafter)

(j) Conclusion of a contract for conducting any of the acts listed in the items of Article 28, paragraph 3 or the items of paragraph 4 of the Financial Instruments and Exchange Act (excluding the cases where money is not deposited under the said contract)

(k) Conclusion of a contract for leasing securities or acting as an intermediary or agent therefor

(l) Conclusion of a contract for mutual loans prescribed in Article 1 of the Mutual Loan Act (Act No. 42 of 1931)

(m) Conclusion of a contract for a real estate specified joint enterprise prescribed in Article 2, paragraph 3 of the Real Estate Specified Joint Enterprise Act or acting as an intermediary or agent therefor

(n) Conclusion of a contract for acting as an intermediary for lending money or loaning money (including acting as an intermediary for providing money through a discount of negotiable instruments, mortgage by sale or other similar methods or for receiving money through such methods)

(o) Conclusion of a contract for accepting an entrustment of a transaction on a commodity market, etc. prescribed in Article 2, paragraph 16 of the Commodity Exchange Act (excluding commodity clearing transactions prescribed in paragraph 15 of the same Article)

(p) Transaction for receiving and paying cash, a check to bearer (which means a check written as a check to bearer listed in Article 5, paragraph 1, item (iii) of the Checks Act (Act No. 57 of 1933) or a check deemed to be a check to bearer pursuant to paragraph 2 or paragraph 3 of the same Article and which is limited to those without crossing as prescribed in Article 37, paragraph 1 of the same Act), a cashier's check (which means a check written to the cashier under Article 6, paragraph 3 of the same Act and which is limited to those without crossing as prescribed in Article 37, paragraph 1 of the same Act), or a certificate or coupon of a public or corporate bearer bond (which means a public or corporate bond listed in Article 2, paragraph 1, item (ix) of the Income Tax Act (Act No. 33 of 1965), which amounts to more than two million yen (100,000 yen in the case of a transaction for receiving and paying cash which accompanies exchange transactions or the writing of a cashier's check)

(q) Refund of deposits or savings without cash payments for exchange transactions carried out by another specified business operator (limited to those listed in Article 2, paragraph 2, items (i) to (xv) of the Act) (such exchange transactions shall exclude transactions carried out by the said other specified business operator based on a contract prescribed in (r) below), which amounts to more than 100,000 yen

(r) Conclusion of a contract for carrying out exchange transactions or the writing of a cashier's check (which means a check written to the cashier him/herself under Article 6, paragraph 3 of the Checks Act) continually or repeatedly without carrying out the transactions listed in (a)

(s) Conclusion of a contract for leasing a safe-deposit box

(t) Conclusion of a contract for opening accounts for transferring company bonds, etc. under Article 12, paragraph 1 or Article 44, paragraph 1 of the Act on Book-Entry Transfer of Company Bonds, Shares, etc.

(u) Conclusion of a contract for conducting safe custody

(v) Exchange of Japanese currency and foreign currencies, which amounts to more than two million yen, or sale or purchase of traveler's checks, which amounts to more than two million yen

(w) Transactions based on a contract prescribed in (a) to (c), (h) to (o) or (r) to (u) which fall under transactions for which a disguise of identity, etc. is suspected

(ii) The row of persons listed in Article 2, paragraph 2, item (xxxiv) in the table of Article 4, paragraph 1 of the Act: transactions falling under any of the following:

(a) Conclusion of a lease contract prescribed in the row of persons listed in Article 2, paragraph 2, item (xxxiv) in the table of Article 4, paragraph 1 of the Act

(b) Transactions based on a contract prescribed in (a) which fall under transactions for which a disguise of identity, etc. is suspected

(iii) The row of persons listed in Article 2, paragraph 2, item (xxxv) in the table of Article 4, paragraph 1 of the Act: transactions falling under any of the following:

(a) Conclusion of a contract prescribed in the row of persons listed in Article 2, paragraph 2, item (xxxv) in the table of Article 4, paragraph 1 of the Act

(b) Transactions based on a contract prescribed in (a) which fall under transactions for which a disguise of identity, etc. is suspected

(iv) The row of persons listed in Article 2, paragraph 2, item (xxxvi) in the table of Article 4, paragraph 1 of the Act: transactions falling under any of the following:

(a) Conclusion of a contract for the buying and selling or agent work or the intermediation thereof prescribed in the row of persons listed in Article 2, paragraph 2, item (xxxvi) in the table of Article 4, paragraph 1 of the Act

(b) Transactions based on a contract prescribed in (a) which fall under transactions for which a disguise of identity, etc. is suspected

(v) The row of persons listed in Article 2, paragraph 2, item (xxxvii) in the table of Article 4, paragraph 1 of the Act: transactions falling under any of the following:

(a) Conclusion of a contract for the buying and selling of precious metals, etc. (which means precious metals, etc. prescribed in Article 2, paragraph 2, item (xxxvii) of the Act; the same shall apply hereinafter) whose prices are more than two million yen

(b) Transactions based on a contract prescribed in (a) which fall under transactions for which a disguise of identity, etc. is suspected

(vi) The row of persons listed in Article 2, paragraph 2, item (xxxviii) in the table of Article 4, paragraph 1 of the Act: transactions falling under any of the following:

(a) Conclusion of a contract prescribed in the row of persons listed in Article 2, paragraph 2, item (xxxviii) in the table of Article 4, paragraph 1 of the Act

(b) Transactions based on a contract prescribed in (a) which fall under transactions for which a disguise of identity, etc. is suspected

(2) Where a specified business operator carries out any of the transactions listed in paragraph 1, item (i), (c) or (d), if the beneficiary of the trust has not been identified or does not exist, the beneficiary of the trust has not manifested an intention to receive a benefit, or a condition precedent or due date has been set for the right of the beneficiary of the trust to receive a benefit from the trust, the provisions of (d) of the same item shall be applied by deeming that the designation of the beneficiary of the trust listed in (d) of the same item has been made with regard to the said beneficiary at the time when the specified business operator has become aware of the identity or existence of the beneficiary, the beneficiary's manifestation of his/her intention to receive the benefit, the satisfaction of the condition precedent or the arrival of the due date.

Article 9 (Specified Business Affairs of Judicial Scriveners, etc.)

(1) The specified business affairs specified by a Cabinet Order as prescribed in the part other than the descriptions in the middle column of the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act shall be the following:

(i) Payment of tax

(ii) Payment of money pertaining to fines, petty fines, or the subsequent collection or deposit pertaining to bail

(iii) Payment of non-penal fines

(iv) Management or disposition of the property of a person or legal person carried out as a duty by a guardian of an adult, insurance administrator elected under Article 242, paragraph 2 or paragraph 4 of the Insurance Business Act, or any other person elected by the court or the competent government agency as a person to manage or dispose of the property of the said person or legal person on behalf of such person as prescribed by law.

(2) The acts or procedures concerning the organization, operation or management of companies as specified by a Cabinet Order as prescribed in item (ii) of the middle column of the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act shall be the acts or procedures concerning the matters prescribed in the following items:

(i) Stock companies: any of the following matters:

(a) Establishment

(b) Entity conversion, merger, company split, share exchange or share transfer

(c) Amendment of articles of incorporation

(d) Election of a director or executive officer, or appointment of a representative director or representative executive officer

(ii) Membership companies: any of the following matters:

(a) Establishment

(b) Entity conversion, merger, or in the case of a limited liability company, company split

(c) Amendment of articles of incorporation

(d) Election of a member who executes business or a member who represents the limited liability company

(3) The legal persons, partnerships, or trusts other than the companies prescribed in item (ii) of the middle column of the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act which are specified by a Cabinet Order shall be the following:

(i) Investment corporations prescribed in Article 2, paragraph 12 of the Act on Investment Trust and Investment Corporation (Act No. 198 of 1951)

(ii) Specified non-profit legal persons prescribed in Article 2, paragraph 2 of the Act to Promote Specified Nonprofit Activities (Act No. 7 of 1998)

(iii) Companies with specified purposes prescribed in Article 2, paragraph 3 of the Act on the Liquidation of Assets (Act No. 105 of 1998)

(iv) Partnerships established by a partnership contract prescribed in Article 667 of the Civil Code (Act No. 89 of 1896)

(v) Silent partnerships established by a silent partnership contract prescribed in Article 535 of the Commercial Code (Act No. 48 of 1899)

(vi) Limited investment partnerships prescribed in Article 2, paragraph 2 of the Limited Partnership Act for Investment (Act No. 90 of 1998)

(vii) Limited liability partnerships prescribed in Article 2 of the Limited Liability Partnership Act (Act No. 40 of 2005)

(viii) Limited liability trust prescribed in Article 2, paragraph 12 of the Trust Act

(4) The acts or procedures specified by a Cabinet Order as prescribed in item (ii) of the middle column of the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act shall be the following:

(i) Legal persons listed in item (i) of the preceding paragraph: any of the following matters:

(a) Establishment

(b) Merger

(c) Amendment of rules

(ii) Election of an executive officer

(ii) Legal persons listed in item (ii) of the preceding paragraph: any of the following matters:

(a) Establishment

(b) Merger

(c) Amendment of articles of incorporation

(d) Election of a board member

(iii) Legal persons listed in item (iii) of the preceding paragraph: any of the following matters:

(a) Establishment

(b) Amendment of articles of incorporation

(c) Election of a director or appointment of a representative director

(iv) Partnerships listed in items (iv) to (vii) of the preceding paragraph: conclusion or modification of a partnership contract

(v) Trust listed in item (viii) of the preceding paragraph: any of the following matters:

(a) Trust deeds

(b) Modification, consolidation, or split of trust

(c) Changes of trustees

Article 10 (Specified Transactions by Judicial Scriveners, etc.)

The transactions specified by a Cabinet Order as prescribed in the row of persons

listed in Article 2, paragraph 2, item (xl) to the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act shall be transactions falling under any of the following items:

(i) Conclusion of a contract for conducting agent work, etc. for specified mandated acts (in the case of agent work, etc. for specified mandated acts pertaining to the management or disposition of property listed in item (iii) of the middle column of the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act, excluding cases where the value of the said property is two million yen or less) (excluding transactions specified by an ordinance of the competent ministries as those unlikely to be used for the transfer of criminal proceeds and transactions with a customer, etc. whose identification has already been verified)

(ii) Transactions based on a contract for conducting agent work, etc. for specified mandated acts continually or repeatedly which fall under transactions for which a disguise of identity, etc. is suspected

Article 11

(Transactions, etc. with a Customer, etc. Whose Identification Has Already Been Verified)

(1) The “transactions with a customer, etc. whose identification has already been verified” prescribed in Article 8 and the preceding Article, item (i) shall be transactions with a customer, etc. (including a natural person deemed to be a customer, etc. under Article 4, paragraph 3 of the Act; hereinafter the same shall apply in this paragraph (excluding items (ii), (iv), and (vi)) and the following paragraph) in the following cases, in which the said specified business operator (in the cases listed in items (iii) and (iv), another specified business operator prescribed in these items) has verified that the said customer, etc. is the one whose identification has already been verified by a method specified by an ordinance of the competent ministries:

(i) Where the said specified business operator has previously conducted identification, etc. with regard to the customer, etc. and preserves identification records with regard to said customer identification

(ii) Where the said specified business operator has previously carried out a transaction with any of the persons listed in the items of the following Article (excluding item (iii); hereinafter the same shall apply in this paragraph), and on that occasion, conducted identification with regard to the natural person who shall be deemed to be the customer, etc. pursuant to Article 4, paragraph 3 of the Act, and preserves identification records with regard to said customer identification

(iii) Where the said specified business operator carries out any of the transactions prescribed in Article 8, paragraph 1, item (i) (excluding transactions listed in (w) of the same item; the same shall apply in the following item) through entrustment to

another specified business operator, and the said other specified business operator has previously conducted identification with regard to the customer, etc. and preserves identification records with regard to said customer identification

(iv) Where the said specified business operator carries out any of the transactions prescribed in Article 8, paragraph 1, item (i) through entrustment to another specified business operator, and the said other specified business operator has previously carried out a transaction with any of the persons listed in the items of the following Article, and on that occasion, conducted identification with regard to the natural person who shall be deemed to be the customer, etc. under Article 4, paragraph 3 of the Act and preserves identification records with regard to said customer identification

(v) Where the said specified business operator takes over the business of another specified business operator through a merger, business transfer or other event equivalent thereto, and the said other specified business operator has previously conducted identification with regard to the customer, etc., and has transferred identification records that it had prepared with regard to the said customer identification to the said specified business operator, which then preserves the said identification records.

(vi) Where the said specified business operator takes over the business of another specified business operator through a merger, business transfer or other event equivalent thereto, and said other specified business operator has previously carried out a transaction with any of the persons listed in the items of the following Article, and on that occasion, conducted identification with regard to the natural person who shall be deemed to be the customer, etc. under Article 4, paragraph 3 of the Act, and has transferred identification records that it had prepared with regard to said customer identification to the said specified business operator, which then preserves the said identification records.

(2) The “transactions for which a disguise of identity, etc. is suspected” prescribed in Article 8, paragraph 1 or Article 10, item (ii) shall be the following:

(i) transactions in which a transaction partner is ~~suspected~~ of disguising himself/herself as the customer, etc. or representative person, etc. pertaining to the customer identification upon conclusion of a contract prescribed in Article 8, paragraph 1, item (i) (w), item (ii) (b), item (iii) (b), item (iv) (b), item (v)(b), item (vi)(b), and Article 10, item (ii) (in the case where the said conclusion of a contract falls under transactions with a customer, etc. whose identification has already been verified set forth in the preceding paragraph, customer identification set forth in the same paragraph; the same shall apply in the next item)

(ii) transactions with a customer, etc. or representative person, etc. who is suspected to have presented false identification data on the occasion of customer identification upon the conclusion of a contract.

Article 12

(State, Local Public Entities, Associations or Foundations without Legal Personality and Other Persons Specified by Cabinet Order)

The persons specified by a Cabinet Order as prescribed in Article 4, paragraph 3 of the Act shall be the following:

(i) State

(ii) Local public entity

(iii) Association or foundation without legal personality

(iv) Incorporated administrative agency prescribed in Article 2, paragraph 1 of the Act on General Rules for Incorporated Administrative Agencies (Act No. 103 of 1999)

(v) Corporations of which not less than a half of the stated capital, funds or those equivalent thereto is contributed by the State or a local public entity (excluding those listed in the preceding item, the following item and item (viii))

(vi) Foreign government, foreign governmental organization, foreign local public entity, foreign central bank or international organization of which Japan is a member state

(vii) Worker who concludes a contract for workers' property accumulation savings, etc.

(viii) Issuer of securities listed in the items of Article 27-2 of the Order for Enforcement of the Financial Instruments and Exchange Act (Cabinet Order No. 321 of 1965) (excluding those falling under the line of securities prescribed in Article 67-18, item (iv) of the Financial Instruments and Exchange Act)

(ix) Person specified by an ordinance of the competent ministries as being equivalent to any of the persons listed in the preceding items

Article 13 (Small Transactions, etc.)

(1) The transactions specified by a Cabinet Order as prescribed in Article 7, paragraph 1 of the Act shall be the following:

(i) Transactions without transfer of property

(ii) Transactions for transfer of property, which amounts to not more than 10,000 yen

(iii) In addition to what are listed in the preceding item, transactions prescribed in (a) or (b) below, according to the categories of specified business operators listed in (a) or (b) below:

(a) Specified business operators listed in Article 2, paragraph 2, items (i) to (xxxiii) of the Act: exchange among Japanese currency which amounts to not more than two million yen, exchange of Japanese currency and foreign currencies which amount not more than two million yen, or sale or purchase of traveler's checks which amount to not more than two million yen

(b) Specified business operators listed in Article 2, paragraph 2, item (xxxvii) of the Act: buying and selling of precious metals, etc. which amount to not more than two million yen

(iv) In addition to what are listed in the preceding three items, transactions specified by an ordinance of the competent ministries for which records prescribed in Article 7, paragraph 1 of the Act need not be prepared for recognizing the transfer of property

(2) The agent work, etc. for specified mandated acts specified by a Cabinet Order as prescribed in Article 7, paragraph 2 of the Act shall be the following.

(i) Agent work, etc. for specified mandated acts pertaining to the management or disposition of property listed in item (iii) of the middle column of the row of persons listed in Article 2, paragraph 2, item (xl) in the table of Article 4, paragraph 1 of the Act, which amounts to not more than two million yen

(ii) In addition to what are listed in the preceding item, agent work, etc. for specified mandated acts specified by an ordinance of the competent ministries for which records prescribed in Article 7, paragraph 2 of the Act need not be prepared for recognizing the transfer of property

Article 14 (Methods, etc. for Reports of Suspicious Transactions, etc.)

(1) A specified business operator who intends to make a report of suspicious transactions shall do so in accordance with the form specified by an ordinance of the competent ministries in writing or by other means specified by an ordinance of the competent ministries.

(2) The matters specified by a Cabinet Order as prescribed in Article 9, paragraph 1 of the Act shall be the following.

(i) The name and location of the specified business operator who makes a report of suspicious transactions

(ii) The date and the place that the transaction subject to the obligation to make a report of suspicious transactions (hereinafter referred to as a “subject transaction” in this Article) took place

(iii) The contents of the business affairs in which the subject transaction took place

(iv) The contents of the property pertaining to the subject transaction

(v) The name and address or location of the customer, etc. or representative person, etc. pertaining to the subject transaction

(vi) The reasons for making a report of suspicious transactions

(vii) Other matters specified by an ordinance of the competent ministries

Article 15 (Methods for Foreign Exchange Transactions Not Subject to the Obligation of Notification)

The methods specified by a Cabinet Order as prescribed in Article 10, paragraph 1

of the Act shall be the writing of checks or negotiable instruments or other methods specified by an ordinance of the competent ministries as being equivalent thereto.

Article 16 (Methods for Requesting Consultation)

A request for consultation under Article 17, paragraph 5 of the Act shall be made in writing or by way of telecommunications using facsimile.

Article 17 (Delegation of Authority to Area Public Safety Commissions)

The affairs within the authority of the Hokkaido Public Safety Commission under the provisions of the Act shall be carried out by the relevant Area Public Safety Commissions in the areas other than those including the location of the Hokkaido Police Headquarters. In this case, the notification to the National Public Safety Commission under Article 9, paragraph 3 of the Act shall be made via the Hokkaido Public Safety Commission.

Article 18 (Delegation of Authority to Conduct Inspection, etc. to Securities and Exchange Surveillance Commission)

(1) Part of the authority delegated to the Commissioner of the Financial Services Agency pursuant to Article 20, paragraph 5 of the Act (excluding the part delegated to the Securities and Exchange Surveillance Commission pursuant to paragraph 6 of the same Article), which is prescribed in Article 13, and Article 14, paragraph 1 of the Act and which is to be exercised with regard to any of the specified business operators listed in Article 2, paragraph 2, items (xxi), (xxx), and (xxxi) of the Act, shall be delegated to the Securities and Exchange Surveillance Commission; provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising him/herself the authority to order the submission of reports or materials.

(2) The Securities and Exchange Surveillance Commission shall, when having exercised the authority delegated under the preceding paragraph, report the result thereof to the Commissioner of the Financial Services Agency.

Article 19 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Banks, etc.)

(1) Part of the authority delegated to the Commissioner of the Financial Services Agency pursuant to Article 20, paragraph 5 of the Act (hereinafter referred to as the “authority of the Commissioner of the Financial Services Agency”), which is prescribed in Article 13, Article 14, paragraph 1, Article 15 and Article 16 of the Act (excluding the part concerning the matters pertaining to registered financial institution business (which means registered financial institution business prescribed in Article 20, paragraph 3 of the Act; the same shall apply in the following paragraph); hereinafter referred to as the “authority of the Commissioner of the

Financial Services Agency to conduct an inspection or order rectification, etc.”) and which is to be exercised with regard to any of the specified business operators listed in Article 2, paragraph 2, items (i), (ii), (vi), (xxiii) and (xxiv) (hereinafter referred to as a “bank, etc.” in this Article), shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its head office (including the principal branch office of a foreign bank prescribed in Article 47, paragraph 1 of the Banking Act and the principal branch office prescribed in Article 53, paragraph 1 of the Trust Business Act (Act No. 154 of 2004)) or its principal office or business office (hereinafter referred to as the “head office, etc.” in this Article) (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(2) Part of the authority of the Commissioner of the Financial Services Agency, which is prescribed in Article 13 and Article 14, paragraph 1 of the Act (excluding the part concerning the matters pertaining to registered financial institution business; hereinafter referred to as the “authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc.”) and which is to be exercised with regard to an office or a business office or facility other than the head office, etc. (hereinafter referred to as a “branch office, etc.”) of a bank, etc., may be exercised not only by the Director-General of the Local Finance Bureau or the Director-General of the Fukuoka Local Finance Branch Bureau prescribed in the preceding paragraph but also by the Director-General of the Local Finance Bureau who has jurisdiction over the location of the branch office, etc. (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau).

(3) The Director-General of the Local Finance Bureau or the Director-General of the Fukuoka Local Finance Branch Bureau who has requested a branch office, etc. of a bank, etc. to submit reports or materials or asked questions or conducted an on-site inspection thereof (hereinafter referred to as an “inspection, etc.” in this paragraph) may, when he/she finds it necessary to conduct an inspection, etc. with regard to the head office, etc. of the bank, etc. or its branch office, etc. other than the said branch office, etc., conduct an inspection, etc. with regard to the said head office, etc. or another branch office, etc.

Article 20 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Labor Banks, etc.)

(1) The Commissioner of the Financial Services Agency and the Minister of Health, Labour and Welfare shall not, upon exercising their authority prescribed in Article 13 and Article 14, paragraph 1 of the Act (in the case of the Commissioner of the

Financial Services Agency, the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc.) with regard to any of the specified business operators listed in Article 2, paragraph 2, items (iv) and (v) of the Act, be precluded from exercising their authority independently.

(2) The Commissioner of the Financial Services Agency shall, when having exercised his/her authority independently pursuant to the preceding paragraph, promptly notify the Minister of Health, Labour and Welfare of the result thereof.

(3) The Minister of Health, Labour and Welfare shall, when having exercised his/her authority independently pursuant to paragraph 1, promptly notify the Commissioner of the Financial Services Agency of the result thereof.

(4) The authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (iv) of the Act shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its principal office (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(5) The affairs within the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. or the authority of the Minister of Health, Labour and Welfare prescribed in Article 13 and Article 14, paragraph 1 of the Act, which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (iv) of the Act, shall be administered by the prefectural governor, if they are related to a specified business operator listed in Article 2, paragraph 2, item (iv) of the Act whose service area is within the boundary of a single prefecture (hereinafter referred to as a “prefectural labor bank” in this Article); provided however, that this shall not preclude the Commissioner of the Financial Services Agency or the Minister of Health, Labour and Welfare from exercising the authority themselves.

(6) Where a prefectural governor has, based on the main clause of the preceding paragraph, collected reports from a prefectural labor bank or requested it to submit materials pursuant to Article 13 of the Act, or inspected a prefectural labor bank pursuant to Article 14, paragraph 1 of the Act, he/she shall report the result thereof to the Commissioner of the Financial Services Agency and the Minister of Health, Labour and Welfare.

(7) The business of receiving a report of suspicious transactions by a specified business operator listed in Article 2, paragraph 2, item (iv) of the Act shall be carried out by the prefectural governor if it is related to a prefectural labor bank.

Article 21 (Delegation, etc. of Authority of Administrative Agency for Transactions

Involving Agricultural Cooperatives, etc.)

(1) The Commissioner of the Financial Services Agency and the Minister of Agriculture, Forestry and Fisheries shall not, upon exercising their authority prescribed in Article 13 and Article 14, paragraph 1 of the Act (in the case of the Commissioner of the Financial Services Agency, the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc.) with regard to any of the specified business operators listed in Article 2, paragraph 2, items (viii) and (ix) of the Act (hereinafter referred to as an “agricultural cooperative, etc.” in this Article) or the specified business operators listed in items (x) to (xiii) of the same paragraph (hereinafter referred to as a “fishery cooperative, etc.” in this Article), be precluded from exercising their authority independently. In this case, the provisions of paragraph 2 and paragraph 3 of the preceding Article shall apply *mutatis mutandis*.

(2) The authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. with regard to an agricultural cooperative, etc. and a fishery cooperative, etc. shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its principal office (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(3) The authority of the Minister of Agriculture, Forestry and Fisheries prescribed in Article 13 and Article 14, paragraph 1 of the Act, which is to be exercised with regard to an agricultural cooperative, etc. (limited to the part to be exercised with regard to an agricultural cooperative, etc. whose service area is within the jurisdictional district of a Regional Agricultural Administration Office (hereinafter referred to as a “regional agricultural cooperative” in this paragraph)), shall be delegated to the Director-General of the Regional Agricultural Administration Office who has jurisdiction over the location of the principal office of the regional agricultural cooperative; provided however, that this shall not preclude the Minister of Agriculture, Forestry and Fisheries from exercising the authority him/herself.

(4) The affairs within the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. or the authority of the Minister of Agriculture, Forestry and Fisheries prescribed in Article 13 and Article 14, paragraph 1 of the Act, which is to be exercised with regard to an agricultural cooperative, etc. and fishery cooperative, etc., shall be administered by the prefectural governor, if they are related to any of the specified business operators listed in Article 2, paragraph 2, item (ix), item (xi), or item (xiii) whose service area is within the prefectural boundary (hereinafter referred to as a “prefectural federation” in this Article); provided however, that this shall not preclude the Commissioner of the Financial Services Agency or the Minister of Agriculture, Forestry and Fisheries from

exercising the authority themselves.

(5) Where a prefectural governor has, based on the main clause of the preceding paragraph, collected reports from a prefectural federation or requested it to submit materials pursuant to Article 13 of the Act, or inspected a prefectural federation pursuant to Article 14, paragraph 1 of the Act, he/she shall report the result thereof to the Commissioner of the Financial Services Agency and the Minister of Agriculture, Forestry and Fisheries.

(6) The Commissioner of the Financial Services Agency and the Minister of Agriculture, Forestry and Fisheries shall, when having collected reports from a prefectural federation or requested it to submit materials pursuant to Article 13 of the Act, or having inspected a prefectural federation pursuant to Article 14, paragraph 1 of the Act, notify the relevant prefectural governor of the result thereof.

Article 22 (Exercise of Authority by Administrative Agency for Transactions Involving Norinchukin Bank)

The Commissioner of the Financial Services Agency and the Minister of Agriculture, Forestry and Fisheries shall not, upon exercising their authority prescribed in Article 13 and Article 14, paragraph 1 of the Act (in the case of the Commissioner of the Financial Services Agency, the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc.) with regard to a specified business operator listed in Article 2, paragraph 2, item (xiv) of the Act, be precluded from exercising their authority independently. In this case, the provisions of Article 20, paragraph 2 and paragraph 3 shall apply *mutatis mutandis*.

Article 23 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Insurance Companies, etc.)

(1) The authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. with regard to any of the specified business operators listed in Article 2, paragraph 2, items (xvi) and (xvii) of the Act and the authority of the Commissioner of the Financial Services Agency to conduct an inspection or order rectification, etc. with regard to a specified business operator listed in item (xviii) of the same paragraph shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its head office or principal office or its principal branch in Japan prescribed in Article 187, paragraph 1, item (iv) of the Insurance Business Act (hereinafter referred to as the “head office, etc.” in this Article) (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(2) The provisions of Article 19, paragraph 2 and paragraph 3 shall apply *mutatis*

mutandis to the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc., which is to be exercised with regard to an office or a business office or facility other than the head office, etc. of any of the specified business operators listed in Article 2, paragraph 2, items (xvi) to (xviii) of the Act.

Article 24 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Financial Instruments Business Operators, etc.)

(1) Part of the authority of the Commissioner of the Financial Services Agency, which is prescribed in Article 13, Article 15 and Article 16 of the Act and which is to be exercised with regard to any of the specified business operators listed in Article 2, paragraph 2, items (i) to (xvii), and items (xxvi) and (xxviii) of the Act (limited to those who have obtained the registration prescribed in Article 33-2 of the Financial Instruments and Exchange Act) and the specified business operators listed in items (xx) to (xxii) of the same paragraph (hereinafter referred to as a “financial instruments business operator, etc.” in this Article), shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its head office or principal office (in the case of a foreign legal person or an individual who has his/her address in a foreign country, its principal business office or office in Japan; hereinafter referred to as the “head office, etc.” in this Article) (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(2) The provisions of Article 19, paragraph 2 and paragraph 3 shall apply mutatis mutandis to the part of the authority of the Commissioner of the Financial Services Agency which is prescribed in Article 13 of the Act and is to be exercised with regard to a business office or an office or facility other than the head office, etc. (hereinafter referred to as a “branch office, etc.” in this Article) of a financial instruments business operator, etc.

(3) Part of the authority of the Commissioner of the Financial Services Agency delegated to the Securities and Exchange Surveillance Commission pursuant to Article 20, paragraph 6 of the Act and the authority delegated to the Securities and Exchange Surveillance Commission pursuant to Article 18, paragraph 1 (limited to the authority to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xxi) of the Act) shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of the head office, etc. of a financial instruments business operator, etc. (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Securities and

Exchange Surveillance Commission from exercising the authority itself.

(4) Part of the authority of the Securities and Exchange Surveillance Commission, which is prescribed in the preceding paragraph and is to be exercised with regard to a branch office, etc. of a financial instruments business operator, etc., may be exercised not only by the Director-General of the Local Finance Bureau or Director-General of the Fukuoka Local Finance Branch Bureau prescribed in the preceding paragraph but also by the Director-General of the Local Finance Bureau who has jurisdiction over the location of the said branch office, etc. (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau).

(5) The Director-General of the Local Finance Bureau or Director-General of the Fukuoka Local Finance Branch Bureau who has requested the branch office, etc. of a financial instruments business operator, etc. to submit reports or materials or has asked questions or conducted an on-site inspection thereof (hereinafter referred to as an “inspection, etc.” in this paragraph) pursuant to the preceding paragraph may, when he/she finds it necessary to conduct an inspection, etc. of the head office, etc. of the said financial instruments business operator, etc. or its branch office, etc. other than the said branch office, etc., conduct an inspection, etc. of the said head office, etc. or other branch office, etc.

(6) The provisions of paragraph 3 shall not apply to the authority of the Securities and Exchange Surveillance Commission prescribed in the same paragraph with regard to a financial instruments business operator, etc. designated by the Securities and Exchange Surveillance Commission. In this case, with regard to the application of the provisions of paragraph 4, the term “Director-General of the Local Finance Bureau and Director-General of the Fukuoka Local Finance Branch Bureau prescribed in the same paragraph” shall be deemed to be replaced with “Securities and Exchange Surveillance Commission.”

(7) The Securities and Exchange Surveillance Commission shall, when having made a designation under the preceding paragraph, give notice to that effect. The same shall apply where the Securities and Exchange Surveillance Commission has rescinded it.

Article 25 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Real Estate Specified Joint Enterprise Operators)

(1) The authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc., which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xxv) of the Act (hereinafter referred to as a “real estate specified joint enterprise operator” in this Article), shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its principal office (in the case where the said location exists

within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(2) The provisions of Article 19, paragraph 2 and paragraph 3 shall apply *mutatis mutandis* to the part of the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc., which is to be exercised with regard to an office other than the principal office of a real estate specified joint enterprise operator.

(3) The affairs within the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. and the authority of the Minister of Land, Infrastructure and Transport prescribed in Article 13 and Article 14, paragraph 1 of the Act, which is to be exercised with regard to a real estate specified joint enterprise operator, shall be administered by the relevant prefectural governor, if they are to be administered within the boundary of a prefecture; provided however, that this shall not preclude the Commissioner of the Financial Services Agency and the Minister of Land, Infrastructure and Transport from exercising the authority themselves.

(4) Where a prefectural governor has, based on the main clause of the preceding paragraph, collected reports from a real estate specified joint enterprise operator or requested it to submit materials pursuant to Article 13 of the Act, or inspected a real estate specified joint enterprise operator pursuant to Article 14, paragraph 1 of the Act, he/she shall report the result thereof to the Commissioner of the Financial Services Agency and the Minister of Land, Infrastructure and Transport.

(5) The business of receiving a report of suspicious transactions by a real estate specified joint enterprise operator shall be administered by a prefectural governor if it is related to a person who has obtained a license from the prefectural governor prescribed in Article 3, paragraph 1 of the Real Estate Specified Joint Enterprise Act.

Article 26 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Money Lenders)

(1) The authority of the Commissioner of the Financial Services Agency to conduct an inspection or order rectification, etc., which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xxvii) of the Act (hereinafter referred to as a “money lender” in this Article), shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its principal business office or office (hereinafter referred to as the “principal business office, etc.” in this Article) (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however,

that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(2) The provisions of Article 19, paragraph 2 and paragraph 3 shall apply *mutatis mutandis* to the part of the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc., which is to be exercised with regard to a business office or office other than the principal business office, etc. of a money lender.

(3) The affairs within the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc. shall be administered by a prefectural governor if they are related to a person who has obtained registration from the prefectural governor under Article 3, paragraph 1 of the Money Lending Business Act (hereinafter referred to as a “prefectural money lender” in this Article); provided, however, that this shall not preclude the Commissioner of the Financial Services Agency from exercising the authority him/herself.

(4) Where a prefectural governor has, based on the main clause of the preceding paragraph, collected reports from a prefectural money lender or requested it to submit materials pursuant to Article 13 of the Act, or inspected a prefectural money lender pursuant to Article 14, paragraph 1 of the Act, he/she shall report the result thereof to the Commissioner of the Financial Services Agency.

(5) The business of receiving a report of suspicious transactions by a money lender shall be administered by a prefectural governor if it is related to a prefectural money lender.

Article 27 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Futures Commission Merchants)

(1) The authority of the Minister of Agriculture, Forestry and Fisheries and the Minister of Economy, Trade and Industry prescribed in Article 13, Article 14, paragraph 1, Article 15 and Article 16 of the Act, which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xxix) of the Act (hereinafter referred to as a “futures commission merchant” in this Article), shall be delegated to the Director-General of the Regional Agricultural Administration Office and the Director-General of the Regional Bureau of Economy, Trade and Industry who have jurisdiction over the location of its head office (in the case of a corporation established in accordance with laws and regulations of a foreign state, its principal business office in Japan; hereinafter the same shall apply in this Article); provided, however, that this shall not preclude the Minister of Agriculture, Forestry and Fisheries and the Minister of Economy, Trade and Industry from exercising the authority themselves.

(2) Part of the authority of the Minister of Agriculture, Forestry and Fisheries and the Minister of Economy, Trade and Industry prescribed in Article 13 and Article 14, paragraph 1 of the Act, which is to be exercised with regard to a branch office or

other business office of a futures commission merchant other than its head office (in the case of a corporation established in accordance with laws and regulations of a foreign state, its secondary business office in Japan; hereinafter referred to as a “branch office, etc.” in this Article), may be exercised not only by the Director-General of the Regional Agricultural Administration Office and the Director-General of the Regional Bureau of Economy, Trade and Industry prescribed in the preceding paragraph but also by the Director-General of the Regional Agricultural Administration Office and the Director-General of the Regional Bureau of Economy, Trade and Industry who have jurisdiction over the location of the said branch office, etc.

(3) The Director-General of the Regional Agricultural Administration Office and the Director-General of the Regional Bureau of Economy, Trade and Industry who have requested a branch office, etc. of a futures commission merchant to submit reports or materials or asked questions or have conducted an on-site inspection thereof (hereinafter referred to as an “inspection, etc.” in this paragraph) pursuant to the preceding paragraph may, when they find it necessary to conduct an inspection, etc. with regard to the head office or a branch office, etc. other than the said branch office, etc. of the futures commission merchant, conduct an inspection, etc. with regard to the said head office or other branch office, etc.

Article 28 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Currency Exchangers)

(1) The authority of the Minister of Finance prescribed in Article 14, paragraph 1 of the Act, which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xxxiii) of the Act (hereinafter referred to as a “currency exchanger” in this Article), shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of its head office or principal office (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Minister of Finance from exercising the authority him/herself.

(2) Part of the authority of the Minister of Finance prescribed in the preceding paragraph, which is to be exercised with regard to a business office or the office of a currency exchanger other than its head office or principal office (hereinafter referred to as a “branch office, etc.” in this Article), may be exercised not only by the Director-General of the Local Finance Bureau prescribed in the same paragraph but also by the Director-General of the Local Finance Bureau who has jurisdiction over the location of the said branch office, etc. (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau).

(3) The Director-General of the Local Finance Bureau or Director-General of the

Fukuoka Local Finance Branch Bureau who has asked questions or conducted an on-site inspection with regard to the branch office, etc. of a currency exchanger pursuant to the preceding paragraph may, when he/she finds it necessary to ask questions or conduct an on-site inspection with regard to the head office or principal office or a branch office, etc. other than the said branch office, etc. of the currency exchanger, ask questions or conduct an on-site inspection with regard to the said head office or principal office or the said other branch office, etc.

(4) The authority of the Minister of Finance prescribed in Article 13 of the Act which is to be exercised with regard to a currency exchanger may, to the extent necessary for the exercise of the authority delegated to the Director-General of the Local Finance Bureau and Director-General of the Fukuoka Local Finance Branch Bureau to ask questions or conduct an on-site inspection with regard to the currency exchanger pursuant to the preceding three paragraphs, also be exercised by the said Director-General of the Local Finance Bureau and Director-General of the Fukuoka Local Finance Branch Bureau.

(5) The provisions of the preceding paragraphs shall not apply to the part of the authority of the Minister of Finance prescribed in paragraph 1, paragraph 2 and the preceding paragraph, which is to be exercised with regard to a money exchanger designated by the Minister of Finance.

(6) The Minister of Finance shall, when having made a designation under the preceding paragraph, give notice to that effect. The same shall apply where the Minister has rescinded such designation.

Article 29 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Building Lots and Buildings Transaction Business Operators)

(1) The authority of the Minister of Land, Infrastructure and Transport prescribed in Article 13, Article 14, paragraph 1, Article 15, and Article 16 of the Act, which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xxxvi) of the Act (hereinafter referred to as a “building lots and buildings transaction business operator” in this Article), shall be delegated to the Director-General of the Regional Development Bureau and Director-General of the Hokkaido Development Bureau who have jurisdiction over the location of its head office or principal office; provided, however, that this shall not preclude the Minister of Land, Infrastructure and Transport from exercising the authority him/herself.

(2) Part of the authority of the Minister of Land, Infrastructure and Transport prescribed in the preceding paragraph, which is to be exercised with regard to a branch office, secondary office or office listed in Article 1-2, item (ii) of the Order for Enforcement of the Building Lots and Buildings Transaction Business Act (Cabinet Order No. 383 of 1964) of a building lots and buildings transaction business operator (hereinafter referred to as a “branch office, etc.” in this Article), may be exercised not only by the Director-General of the Regional Development Bureau and

Director-General of the Hokkaido Development Bureau prescribed in the same paragraph but also by the Director-General of the Regional Development Bureau and Director-General of the Hokkaido Development Bureau who have jurisdiction over the location of the said branch office, etc.

(3) The business of receiving a report of suspicious transactions by a building lots and buildings transaction business operator shall be administered by the Director-General of the Regional Development Bureau and Director-General of the Hokkaido Development Bureau prescribed in paragraph 1, if it is related to a person who has obtained a license from the Minister of Land, Infrastructure and Transport prescribed in Article 3, paragraph 1 of the Building Lots and Buildings Transaction Business Act (Act No. 176 of 1952).

Article 30 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Judicial Scriveners, etc.)

(1) The authority of the Minister of Justice prescribed in Article 13, Article 14, paragraph 1, and Article 15 of the Act, which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xl) of the Act, shall be delegated to the Director-General of the Legal Affairs Bureau and Director-General of the District Legal Affairs Bureau who have jurisdiction over the location of its office (in the case of a judicial scrivener corporation, its principal office); provided, however, that this shall not preclude the Minister of Justice from exercising the authority him/herself.

(2) Part of the authority of the Minister of Justice prescribed in the preceding paragraph, which is to be exercised with regard to an office of a specified business operator listed in Article 2, paragraph 2, item (xl) of the Act (limited to judicial scrivener corporations; the same shall apply in the following paragraph) other than its principal office (hereinafter referred to as a “secondary office” in this Article), may be exercised not only by the Director-General of the Legal Affairs Bureau and Director-General of the District Legal Affairs Bureau prescribed in the preceding paragraph but also by the Director-General of the Legal Affairs Bureau and Director-General of the District Legal Affairs Bureau who have jurisdiction over the location of the said secondary office.

(3) The Director-General of the Legal Affairs Bureau or Director-General of the District Legal Affairs Bureau who has requested a secondary office of a specified business operator listed in Article 2, paragraph 2, item (xl) of the Act to submit reports or materials, asked questions or conducted an on-site inspection thereof, or provided guidance or advice or made suggestions (hereinafter referred to as to “conduct an inspection and provide guidance, etc.” in this Article and the following Article) pursuant to the preceding paragraph may, when he/she finds it necessary to conduct an inspection and provide guidance, etc. with regard to its principal office or a secondary office other than the said secondary office, conduct an inspection and

provide guidance, etc. with regard to the said principal office or other secondary office.

Article 31 (Delegation, etc. of Authority of Administrative Agency for Transactions Involving Certified Tax Accountants, etc.)

(1) The authority of the Minister of Finance prescribed in Article 13, Article 14, paragraph 1, and Article 15 of the Act, which is to be exercised with regard to a specified business operator listed in Article 2, paragraph 2, item (xlili) of the Act, shall be delegated to the Commissioner of the National Tax Agency; provided, however, that this shall not preclude the Minister of Finance from exercising the authority him/herself.

(2) The authority delegated to the Commissioner of the National Tax Agency pursuant to the preceding paragraph shall be delegated to the director of the Regional Taxation Bureau and the chief of the tax office who have jurisdiction over the location of an office of the said specified business operator (in the case of a certified tax accountant corporation, its principal office); provided, however, that this shall not preclude the Commissioner of the National Tax Agency from exercising the authority him/herself.

(3) Part of the authority of the Minister of Finance prescribed in paragraph 1, which is to be exercised with regard to an office of a specified business operator listed in Article 2, paragraph 2, item (xlili) of the Act (limited to certified tax accountant corporations; the same shall apply in the following paragraph) other than its principal office (hereinafter referred to as a “secondary office” in this Article), may be exercised not only by the director of the Regional Taxation Bureau and the chief of the tax office prescribed in the preceding paragraph but also by the director of the Regional Taxation Bureau and the chief of the tax office who have jurisdiction over the location of the said secondary office.

(4) The director of the Regional Taxation Bureau and the chief of the tax office who have conducted an inspection and provided guidance, etc. with regard to the secondary office of a specified business operator listed in Article 2, paragraph 2, item (xlili) of the Act pursuant to the preceding paragraph may, when he/she finds it necessary to conduct an inspection and provide guidance, etc. with regard to a principal office or secondary office other than the said secondary office of the specified business operator, conduct an inspection and provide guidance with regard to the said principal office or other secondary office.

Article 32 (Delegation, etc. of Authority of Administrative Agency for Obligation of Notification pertaining to Foreign Exchange Transactions)

(1) The administrative agency for the matters prescribed in Article 10 of the Act with regard to a specified business operator prescribed in Article 10, paragraph 1 of the Act (hereinafter referred to as a “foreign exchange dealer” in this Article) shall

not, upon exercising its authority prescribed in Article 13 and Article 14, paragraph 1 of the Act (in the case of the Commissioner of the Financial Services Agency, the authority of the Commissioner of the Financial Services Agency to conduct an inspection, etc.) with regard to the said foreign exchange dealer, be precluded from exercising its authority independently.

(2) The administrative agency prescribed in the preceding paragraph shall, when having exercised its authority independently pursuant to the same paragraph, promptly notify the result thereof to any other administrative agency which has the authority with regard to the said foreign exchange dealer.

(3) Part of the authority of the Minister of Finance as the administrative agency prescribed in paragraph 1 which is prescribed in Article 14, paragraph 1 of the Act shall be delegated to the Director-General of the Local Finance Bureau who has jurisdiction over the location of the head office or principal office of a foreign exchange dealer (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau); provided, however, that this shall not preclude the Minister of Finance from exercising the authority him/herself.

(4) Part of the authority of the Minister of Finance prescribed in the preceding paragraph, which is to be exercised with regard to a business office or the office of a foreign exchange dealer other than its head office or principal office (hereinafter referred to as a “branch office, etc.” in this Article), may be exercised not only by the Director-General of the Local Finance Bureau prescribed in the same paragraph but also by the Director-General of the Local Finance Bureau who has jurisdiction over the location of the said branch office, etc. (in the case where the said location exists within the jurisdictional district of the Fukuoka Local Finance Branch Bureau, the Director-General of the Fukuoka Local Finance Branch Bureau).

(5) The Director-General of the Local Finance Bureau or Director-General of the Fukuoka Local Finance Branch Bureau who has asked questions or conducted an on-site inspection with regard to a branch office, etc. of a foreign exchange dealer pursuant to the preceding paragraph may, when he/she finds it necessary to ask questions or conduct an on-site inspection with regard to the head office or principal office or a branch office, etc. other than the said branch office, etc., ask questions or conduct an on-site inspection with regard to the said head office or principal office or the said other branch office, etc.

(6) Part of the authority of the Minister of Finance as the administrative agency prescribed in paragraph 1 which is prescribed in Article 13 of the Act may, to the extent necessary for the exercise of the authority delegated to the Director-General of the Local Finance Bureau and Director-General of the Fukuoka Local Finance Branch Bureau to ask questions or conduct an on-site inspection with regard to a foreign exchange dealer pursuant to the preceding three paragraphs, also be exercised by the said Director-General of the Local Finance Bureau and

Director-General of the Fukuoka Local Finance Branch Bureau.

(7) The provisions of paragraph 3 to the preceding paragraph shall not apply to the authority of the Minister of Finance prescribed in paragraph 3, paragraph 4 and the preceding paragraph with regard to a foreign exchange dealer designated by the Minister of Finance.

(8) The provisions of Article 28, paragraph 6 shall apply mutatis mutandis to the designation under the preceding paragraph.

Article 33 (Statutory Entrusted Affairs, etc.)

(1) The affairs to be administered by prefectural governments pursuant to Article 20, paragraphs 5 to 7, Article 21, paragraphs 4 and 5, Article 25, paragraphs 3 to 5, and Article 26, paragraphs 3 to 5 shall be item 1 statutory entrusted affairs prescribed in Article 2, paragraph 9, item (i) of the Local Autonomy Act (Act No. 67 of 1947).

(2) Where a prefectural governor is to administer the affairs prescribed in the preceding paragraph, the provisions of the Act concerning an administrative agency with regard to the affairs prescribed in the same paragraph shall be applied to prefectural governors as the provisions applicable to prefectural governors.