

## 特定投資家制度について

金融商品取引法で定める特定投資家とは、一般投資家と異なり、適切な投資判断を行うことができると典型的に考えられる、いわゆる「プロ」投資家のことをいいます。特定投資家の範囲は以下のとおりですが、④以下は選択により一般投資家に移行可能です。なお、一定の要件を満たす個人（下表）も特定投資家になることができます。

- ①適格機関投資家
- ②国
- ③日本銀行
- ④特殊法人や独立行政法人など特別の法律により特別の設立行為をもって設立された法人
- ⑤投資者保護基金
- ⑥預金保険機構
- ⑦農水産業協同組合貯金保険機構
- ⑧保険契約者保護機構
- ⑨特定目的会社
- ⑩金融商品取引所に上場されている株券の発行者である会社
- ⑪取引の状況その他の事情から合理的に判断して資本金の額が5億円以上であると見込まれる株式会社
- ⑫金融商品取引業者又は特例業務届出者、海外投資家等特例業務届出者である法人
- ⑬外国法人

以下の類型1～5において全条件を満たす個人は特定投資家になることができます。

	条件 1	条件 2	共通条件
類型①	純資産 3 億円以上	金融資産※の合計額が 3 億円以上	当該金融商品取引契約を締結してか

## About the Professional Investor System

"Professional Investors," as defined under the Financial Instruments and Exchange Act, refer to so-called "professional" investors who are generally considered capable of making appropriate investment decisions, unlike general investors. The scope of Professional Investors is as outlined below, with investors in category ④ and beyond having the option to transition to general investor status. Additionally, individuals who meet certain requirements (see table below) may also qualify as Professional Investors.

- ① Qualified Institutional Investors
- ② The government
- ③ Bank of Japan
- ④ Corporations established by special acts of establishment under special laws, such as special corporations and independent administrative agencies
- ⑤ Investor Protection Fund
- ⑥ Deposit Insurance Corporation
- ⑦ Agriculture, Forestry and Fisheries Cooperative Savings Insurance Corporation
- ⑧ Insurance Policyholders Protection Corporation
- ⑨ Special purpose companies
- ⑩ Companies that are issuers of stock listed on financial instruments exchanges
- ⑪ Corporations whose capital is expected to be 500 million yen or more, based on a reasonable judgment in light of the conditions of the transaction and other circumstances.
- ⑫ Corporations that are financial instruments business operators, special business notifiers, or special business notifiers for overseas investors, etc.
- ⑬ Foreign corporations

Individuals who meet all the conditions for either of the following types 1 to 5 may choose to become Professional Investors.

	Condition 1	Condition 2	Common Condition
Type 1	Net assets of 300 million yen or more	Total financial Assets※ of 300 million yen or more	More than one year has passed since

類型②	純資産 5 億円以上 or 金融資産※の合計額 が 5 億円以上 or 前年の収入金額 1 億 円以上		ら 1 年以上経過し ていること
類型③	純資産 3 億円以上 or 金融資産※の合計額 が 3 億円以上		
類型④	純資産 1 億円以上 or 金融資産※の合計額 が 1 億円以上 or 前年の収入金額 1 千 万円以上		
類型⑤	匿名組合の営業者、民法組合の業務執行組員又は有限責任事 業組合の重要な業務執行決定に関与し自ら執行する組員であ る個人(出資合計額 3 億円以上の組合の場合、全組員の同意取 得が要件)		

※金融資産は、有価証券やデリバティブ取引に係る権利等の「金融商品取  
引業等に関する内閣府令」第 62 条第 1 項第 1 号ロに掲げる資産の合計額を  
いいます。

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Type 2	Net assets of 500 million yen or more, or total financial assets※ of 500 million yen or more, or income in the previous year of 100 million yen or more		the last financial instruments transaction contract was concluded	
Type 3	Net assets of 300 million yen or more, or total financial assets※ of 300 million yen or more			Average of 4 or more transactions per month related to financial assets※ in the past year
Type 4	Net assets of 100 million yen or more, or total financial assets※ of 100 million yen or more, or income in the previous year of 10 million yen or more			Possessing specific knowledge and experience
Type 5	An individual who is an operator of a silent partnership, an operating partner of a civil law partnership, or a partner who is involved in and executes important business decisions of a limited liability partnership (in the case of a partnership with a total investment of 300 million yen or more, consent of all partners is required)			

※Financial assets refer to the total amount of assets listed in Article 62, Paragraph 1,  
Item 1 (b) of the Cabinet Office Ordinance on Financial Instruments and Exchange  
Business, etc., such as securities and rights related to derivative transactions.

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以上