Form 1

Application for Certification of Research and Development Business Plan

YY/MM/DD

To the competent minister, Mr./Ms.

Address

Applicant's name and

representative's name Seal

Pursuant to the provisions of Article 4, paragraph (1) of the Act on Special Measures for Promotion of Research and Development Business, etc. by Specified Multinational Enterprises, I will apply for the certification of the plan as shown in the Attachment.

(Note)

The form shall be JIS A4-sized, and if you sign your name by hand, you do not need to affix your seal.

(Attachment)

1. Basic Information of the Applicant

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| (1) Basic Information of the Applicant | | | | |
|  | | (i) Name:  (ii) Address:  (iii) Representative's name:  (iv) Telephone number:  (v) Stated capital:  (vi) Number of regular employees:  (vii) Business type: | | |
| (2) Chart of Investment Flow concerning the Applicant | | | | |
|  | | Ultimate parent company  %  %  (Nationality:　 　)  %  %  %  (Nationality: )  (Nationality: )  (Nationality: )  %  (Nationality: )  (Note)  1. Enter information on the applicant's subsidiary corporations or other similar entities (juridical persons prescribed in Article 1 of the Ordinance for Enforcement of the Act on Special Measures for Promotion of Research and Development Business, etc. by Specified Multinational Enterprises), the juridical person which has the majority of the voting rights of all shareholders or others of the applicant, and its ultimate parent company.  (\* If it is difficult to describe the relationships using the chart above, the applicant may submit another document.)  2. Enter also information on the juridical person the applicant is going to establish for the purpose of engaging in research and development business.  3. "Nationality" shall be the country or the region where the head office or principal office of the relevant juridical person is located. | | |
| (3) Basic Information of Juridical Persons Entered in (2)  (\*excluding the domestic affiliated company to be engaged in research and development business) | | | | |
|  | Basic matters | | Business content | Full-time staff |
| 1 | (i) Name:  (ii) Country or region:  (iii) Address:  (iv) Representative's name:  (v) Telephone number:  (vi) Stated capital:  (vii) Number of regular employees:  (viii) Business type: | |  | Yes/No |
| Fixed facilities |
| Yes/No |
| (Note)  1. Enter information on the following juridical persons.  (i) Out of the applicant's subsidiary corporations or other similar entities (juridical persons prescribed in Article 1 of the Ordinance for Enforcement of the Act on Special Measures for Promotion of Research and Development Business, etc. by Specified Multinational Enterprises), two or more of them  (\*Regarding juridical persons entered, attach documents proving that they are engaged in substantial business.)  (ii) Out of juridical persons prescribed in Article 2 of the Order Concerning the Certification, etc. of Research and Development Business Plans, all that are domestic corporations  (\*Regarding juridical persons entered, attach documents proving that they have not been engaged in research and development business in Japan.)  2. Enter information by setting a new column for each juridical person. | | | | |
| (4) Considerable Record in the Implementation of Research and Development Business in a Country or Region Other than Japan | | | | |
|  | | | | |
| (Note)  1. Be sure to enter the content of the research and development business (the details, outcome, term, etc. of the business), and the country or region where the business was conducted.  2. If the applicant has any documents proving the content, attach such documents. | | | | |

2. Details of the Research and Development Business Plan

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| (1) Title of the Business | | | | |
|  | | | | |
| (2) Details of the Research and Development Business | | | | |
| □ We decided to engage in the business on or after the effective date of the Act (November 1, 2012). | | | | |
| (3) Basic Information of Domestic Affiliated Company to be Engaged in the Research and Development Business (prospects) | | | | |
| (i) Name:  (ii) Address:  (iii) Representative's name:  (iv) Objective of the business:  (v) Stated capital:  (vi) Account closing month:  (vii) Registration of the establishment: YY/MM (scheduled)  (viii) Form of the establishment:  □ Not a juridical person established by incorporating an individual enterprise  □ Not a juridical person established by the merger, etc. of a domestic enterprise | | | | |
| (4) Status of the Research and Development Business in Japan | | | | |
| The research and development business has not been conducted in Japan by any entity including domestic subsidiary corporations or other entities. | | | | □ |
| (5) Matters concerning Novelty and Advanced Features of the Research and Development Business | | | | |
| (i) Novelty and advanced features  (Note) Enter such facts as the business is to develop technology that has unprecedented features or products or services using such technology.  (ii) Plans for collaboration with domestic business operators | | | | |
| (6) Financial Forecast for Each Business Year during the Business Term  (Unit: million yen, people)   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | |  | | First year  (YY/MM to  　YY/MM) | Second year  (YY/MM to  　YY/MM) | Third year  (YY/MM to  　YY/MM) | Fourth year  (YY/MM to  　YY/MM) | Fifth year  (YY/MM to  　YY/MM) | | Sales | |  |  |  |  |  | | Expenditure | |  |  |  |  |  | |  | R&D costs |  |  |  |  |  | | Operating profit | |  |  |  |  |  |   (Note) "R&D costs" refers to the total of the research and development costs specified in the "Accounting Standards for Research and Development Costs" (Business Accounting Council, 1998) and the expenses relating to contract research. | | | | | |
| (7) Whether or Not to Seek the Application of the Special Provisions | | | | |
|  | Article 8 of the Act  (Shortening of the period in the case of making a notification under the Foreign Exchange and Foreign Trade Act) | | □ Yes　　　　□ No | |
|  | Article 9, paragraph (1), item (i) of the Act  (Subscription for shares, etc. which have been issued in order to incorporate a stock company with stated capital exceeding 300,000,000 yen, under the Small and Medium-sized Enterprise Investment Business Corporation Act) | | □ Yes　　　　□ No | |
|  | Article 9, paragraph (1), item (ii) of the Act  (Subscription for shares or share options, etc. which have been issued by a stock company with stated capital exceeding 300,000,000 yen for the purpose of raising the funds, under the Small and Medium-sized Enterprise Investment Business Corporation Act) | | □ Yes　　　　□ No | |
|  | Article 10, paragraph (1) of the Act  (Reduction of patent fees) | | □ Yes　　　　□ No | |
|  | Article 10, paragraph (2) of the Act  (Reduction of fees for requesting the examination of the patent application) | | □ Yes　　　　□ No | |
| (8) Whether or Not the Domestic Affiliated Company is to Operate Any Business Other than Research and Development Business | | | | |
|  | □ To operate | □ Not to operate | | |
| (9) Whether or Not to Agree to the Expedition of Examination Procedures for an Application for the Issuance of a Certificate of Eligibility  \*When seeking the expedition of examination procedures for an application for the issuance of a certificate of eligibility conducted by the Ministry of Justice, with regard to foreigners whom the applicant is going to employ at the domestic affiliated company, the applicant needs to agree to send the documents relating to the application for the research and development business plan to the Ministry of Justice. | | | | |
|  | □ Agree | □ Do not agree | | |
| (10) Whether or Not to Agree to the Utilization of the Comprehensive Special Zone System  \*When it is expected that the domestic affiliated company is to be located in an area designated as a comprehensive special zone for international competitiveness (meaning the comprehensive special zone for international competitiveness prescribed in Article 8, paragraph (1) of the Comprehensive Special Zone Act (Act No. 81 of 2011)) by the prime minister based on said Article, the applicant needs to state whether or not to agree to send the documents relating to the application for the research and development business plan to the relevant local government. | | | | |
|  | □ Agree | □ Do not agree | | |

3. Number, etc. of Employees Employed for the Research and Development Business on a Regular Basis

(1) Matters concerning Employees Employed for the Research and Development Business on a Regular Basis (prospects)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| (i) Number of employees employed for the research and development business on a regular basis  (people)   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | |  | | First year  (YY/MM to  　YY/MM) | Second year  (YY/MM to  　YY/MM) | Third year  (YY/MM to  　YY/MM) | Fourth year  (YY/MM to  　YY/MM) | Fifth year  (YY/MM to  　YY/MM) | | Number of employees | |  |  |  |  |  | |  | Number of foreigners |  |  |  |  |  |   (ii) Chart of personnel allocation  \* Prepare the chart to clearly show the system to conduct the research and development business. |
|  |
| (iii) List of major employees out of those indicated in (ii)   |  |  |  |  | | --- | --- | --- | --- | | Name | Post | Research field in charge | Career and expertise, etc. concerning research | |  |  |  |  |   (iv) Employees to be accepted from overseas juridical persons in the applicant's corporate group   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Name | Name of the juridical person that dispatches the employee and his/her post and major role at said juridical person | The employee's post and major role at the juridical person that accepts him/her | Biographical outline | Period for the dispatch within the term of the plan | |  |  |  |  |  |   (Note) When the applicant employs multiple employees from overseas juridical persons in the applicant's corporate group, enter information by setting a new column for each employee. |

(2) Residence Management System for Foreigners

|  |  |
| --- | --- |
| When the applicant employs foreigners, he/she must observe the following and develop a residence management system for them.  1. The applicant shall make a report regularly once a year to the competent minister concerning the status of operation of foreign employees, etc. (status of the performance of contracts, including the location of the workplace and attendance, and the business condition of the domestic affiliated company (including a list of foreign employees, etc.)).  2. When the applicant has made any changes to the content of a contract with a foreign employee, etc. or has terminated a contract (including dismissal), he/she shall make a report to the competent minister promptly.  3. When any violation of the Immigration Control Act or criminal laws and regulations by a foreign employee, etc. is found, the applicant shall make a report to the competent minister promptly.  4. When the applicant has terminated a contract with a foreign employee, etc. (including dismissal), he/she shall have said foreign employee, etc. depart from Japan promptly (excluding the case where said foreign employee, etc. has filed an application for permission for change of status of residence).  5. The applicant shall instruct and supervise foreign employees, etc. so that they observe laws and regulations in Japan. | □ |

(3) Status of Residence of Foreigners the Applicant Intends to Employ (prospects)

|  |  |
| --- | --- |
| When employing foreigners, they shall have any of the following statuses of residence: Investor/business manager; Legal/accounting services; Researcher (limited to Ph.D.s, university graduates with research experience not shorter than five years after graduation, or those with research experience not shorter than ten years); Specialist in humanities/international services (limited to Ph.D.s, university graduates with business experience not shorter than five years after graduation, or those with business experience not shorter than ten years); Intra-company transferee; or Permanent resident | □ |

4. Term of the Business

YY/MM/DD　to　YY/MM/DD

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Research item (sub-theme) | Time to carry out research  (indicate the commencement and termination by arrows) | | | | |
| Content | First year  (YY/MM to  　YY/MM) | Second year  (YY/MM to  　YY/MM) | Third year  (YY/MM to  　YY/MM) | Fourth year  (YY/MM to  　YY/MM) | Fifth year  (YY/MM to  　YY/MM) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

5. The Amount of Funds Necessary to Conduct the Research and Development Business and Financing Methods

(Unit: million yen)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Method  Costs | Borrowing | Own funds | Others | Total | Remarks |
| Amount |  |  |  |  |  |

(Note)

1. Enter the amount of borrowings from financial institutions, etc. in the "Borrowing" column, and the amount raised through means other than borrowing or by own funds, such as capital contributions, issue of bonds, or leasing, in the "Others" column while indicating the names of the sources and the breakdown of the amounts.

2. If the applicant expects to receive capital contributions, etc. from a small and medium-sized enterprise investment business corporation for funds necessary to conduct the research and development business, enter to that effect in the "Remarks" column.

Form 2

Notice of Certification of Research and Development Business Plan

YY/MM/DD

To

　　　　　　　　　　　　　　　　Name of the competent minister　　　　　　　Seal

The research and development business plan, for which an application was filed dated YY/MM/DD, was certified pursuant to the provisions of Article 4, paragraph (3) (including the case applied mutatis mutandis pursuant to Article 5, paragraph (4)) of the Act on Special Measures for Promotion of Research and Development Business, etc. by Specified Multinational Enterprises.

1. Content of the certified research and development business plan

As shown in the Attachment.

2. Whether or not the plan conforms to Article 4, paragraph (3), item (v) of the Act

□ Conforms　　　　□ Does not conform

(Note) Please carefully preserve this notice.

The fact that the plan was certified will be publicized on METI's website concerning the Act on Special Measures for Promotion of Research and Development Business, etc. by Specified Multinational Enterprises.

　　　 Form 3

Application for Change to Certified Research and Development Business Plan

YY/MM/DD

To the competent minister, Mr./Ms.

Address

Applicant's name and

representative's name Seal

With regard to the research and development business plan certified dated YY/MM/DD, "Business Name," I would like to make a change as follows, and will apply for the certification pursuant to the provisions of Article 5, paragraph (1) of the Act on Special Measures for Promotion of Research and Development Business, etc. by Specified Multinational Enterprises.

Note

1. Details of the matters to be changed

2. Reasons for the change

3. Documents omitted (documents that have already been submitted and have no changes in the details stated therein)

(Note)

1. The form shall be JIS A4-sized, and if you sign your name by hand, you do not need to affix your seal.

2. Indicate the content changed by comparing before and after the change.

Form 4

Notice of Instruction to Change the Certified Research and Development Business Plan

YY/MM/DD

To

　　　　　　　　　　　　　　　　Name of the competent minister　　　　　　　Seal

With regard to the research and development business plan certified dated YY/MM/DD, it shall be changed due to the following reasons.

Note

Reasons for instruction to change

(Note)

1. The form shall be JIS A4-sized.

2. Under Article 5, paragraph (3) of the Act, specific reasons for instruction to change shall be stated.

Form 5

Notice to Rescind Certification of Research and Development Business Plan

YY/MM/DD

To

　　　　　　　　　　　　　　　　Name of the competent minister　　　　　　　Seal

With regard to the research and development business plan certified dated YY/MM/DD, the certification will be rescinded due to the following reasons.

Note

Reasons for rescinding the certification

1. The form shall be JIS A4-sized.

2. Under Article 5, paragraph (2) and paragraph (3) of the Act, specific reasons for rescinding the certification shall be stated.

Form 6

Report on Implementation Status of Certified Research and Development Business Plan

YY/MM/DD

To the competent minister, Mr./Ms.

Address

Applicant's name and

representative's name Seal

With regard to the research and development business plan certified dated YY/MM/DD, "Business Name," I will report the implementation status as follows

Note

1. Information of the applicant and the domestic affiliated company engaged in the research and development business

2. Details of the research and development business conducted and details of applied support measures

3. Employment during the period covered by this report

4. Research and development expenditures

(Note)

1. The form shall be JIS A4-sized, and if you sign your name by hand, you do not need to affix your seal.

2. Enter the information of the applicant and the domestic affiliated company engaged in the research and development business by comparing the plan and the performance.

3. Details of the research and development business conducted and details of applied support measures

(1) When a person making capital contributions to the established domestic affiliated company engaged in the research and development business has received the application of special provisions of the Foreign Exchange and Foreign Trade Act, enter to that effect.

(2) When the applicant has received capital contributions, etc. from a small and medium-sized enterprise investment business corporation, enter to that effect.

(3) When the applicant has received the application of special provisions for taxation as prescribed in the paragraphs of Article 11 of the Act, enter to that effect.

Attach any other document deemed necessary to explain the implementation status of the research and development business during the period covered by this report.

1. Details of the Research and Development Business Conducted

(1) Details of the Research and Development Business Conducted

|  |  |  |
| --- | --- | --- |
| Category | Plan | Performance |
| <Basic information of the domestic affiliated company>  (i) Name:  (ii) Address:  (iii) Representative's name:  (iv) Objective of the business:  (v) Stated capital:  (vi) Account closing month:  (vii) Registration of the establishment:  (viii) Form of the establishment:  <Content of the business> |  |  |

(2) Information of the participants of the business

|  |  |  |
| --- | --- | --- |
|  | (i) Name and representative's name; (ii)Address; (iii) Occupation or content of the business; (iv) Contact point; (v) Content of the cooperation | Content of the regulations, etc. concluded with the participant |
| 1 |  |  |

(Note) When there are multiple participants, enter information by setting a new column for each of them.

2. Details of Applied Support Measures

|  |  |  |
| --- | --- | --- |
| (1) Whether or Not the Application of Special Provisions of the Foreign Exchange and Foreign Trade Act has been Received | | |
|  | □ Received | □ Not received |
| (2) Details when Having Received Capital Contributions from a Small and Medium-sized Enterprise Investment Business Corporation | | |
|  | Amount of capital contributions | yen |
| (3) Details when Having Received Reduction of Patent Fees and Fees for Requesting the Examination of the Patent Application | | |
|  | Amount of fees reduced | yen |
|  | Amount of fees exempted | yen |
|  | Amount of fees whose payment is deferred | yen |

3. Employment

(1) Number of Employees Employed for the Research and Development Business on a Regular Basis for Each Business Year

(Unit: people)

|  |  |  |  |
| --- | --- | --- | --- |
|  | | Plan  (YY/MM to YY/MM) | Performance  (YY/MM to YY/MM) |
| Number of employees | |  |  |
|  | Number of foreigners |  |  |

(2) Matters concerning Employees Employed from the Applicant's Subsidiary Corporations or Other Similar Entities to the Domestic Affiliated Company during the Period

|  |  |
| --- | --- |
| No. | (i) Name; (ii) The employee's post and major role at the juridical person that dispatched him/her; (ii) The employee's post and major role at the juridical person that accepts him/her; (iv) Biographical outline; (v) Period for the dispatch within the period |
| 1 |  |

(Note) When the applicant employed multiple employees from subsidiary corporations or other similar entities, enter information by setting a new column for each employee.

(3) Number of Foreigners Employed by Their Status of Residence

(Unit: people)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Investor/  business manager | Legal/  accounting services | Researcher | Specialist in humanities/  international services | Intra-company transferee | Permanent resident | Others |
|  |  |  |  |  |  |  |

4. Research and Development Expenditures

Research and Development Costs

(Unit: yen)

|  |  |  |
| --- | --- | --- |
|  | Plan  (YY/MM to YY/MM) | Performance  (YY/MM to YY/MM) |
| Research and Development Costs |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Breakdown of the research and development costs | | |  |
|  | <Account title> | [Entity to pay the amount] |  |

(Note)

1. Research and development costs refers to the total of the research and development costs specified in the "Accounting Standards for Research and Development Costs" (Business Accounting Council, 1998) and the expenses relating to contract research. Enter the breakdown in line with account titles in the profit and loss statement that the applicant attached.

2. Enter the breakdown by setting a new column for each account title and entity to pay the amount.