137

FUJI INDUSTRIAL COMPANY, LIMITED
INDUSTRIAL BANK BUILDING
MARUNOUCHI, TOKYO

受 23.2.5. 付

富士

MEMORANDUM RE EXECUTION OF PLAN REORGANIZATION

1. As soon as the plan is approved by SCAP. all of the officers of Fuji Industrial Co. will tender their resignations.

Six new directors and one auditor will be elected at a meeting of shareholders to be held immediately thereafter.

The managing director and two other directors and the auditor will be nominees of the Industrial Bank of Japan.

The other directors will be nominees of the shareholders.

The names and salaries of all officers will be submitted to SCAP for approval.

2. Within fifteen days after the new directors take office, a plan for setting up the new companies as provided in the plan of reorganization will be submitted to SCAP for approval.

3. The directors will immediately take steps to dispose of the shares of other companies owned by Fuji Industrial Co. in the following manner:-

The shares of companies in which Fuji Industrial Co. holds more than 10% of the outstanding shares, shall first be offered to the employees of these companies pursuant to a notice to be approved by SCAP.

Reports will be made to SCAP of the shares disposed of in this manner.

All shares of companies in which Fuji Industrial Co. holds more than 10% of the outstanding shares, which are not disposed of to the employees of these companies, and all shares of companies in which Fuji Industrial Co. holds less than 10% of the outstanding shares, will be disposed of by sale through the Holding Company Liquidation Commission or in such other manner and at such price as the directors shall consider appropriate.

In case such shares are not disposed of through the Holding Company Liquidation Commission, monthly reports will be made to SCAP showing the number of shares sold, the price at which sold, and, if not sold through an authorized exchange, the names of the purchasers.

4. As soon as the new companies have been set up, Fuji Industrial Co. will petition for liquidation pursuant to the provisions of the Commercial Code of Japan.

5. The new directors will promptly investigate the existing state of the company's property and shall prepare an inventory of assets and balance sheets, copies of which will be submitted to SCAP.

6. Fuji Industrial Co. will immediately cease to exercise its voting rights as a shareholder in any company whose shares it holds, except where it is necessary to protect its investment and then only upon approval by SCAP.

For Fuji Industrial Co., Ltd.,

Kinihei Hasajima,
President.

Tokyo, June,5, 1946.

FUJI INDUSTRIAL COMPANY, LIMITED
INDUSTRIAL BANK BUILDING
MARUNOUCHI, TOKYO

GENERAL HEADQUARTERS
SUPREME COMMANDER FOR THE ALLIED POWERS

APO 500

AG 095 (29 Jun 46) ESS/AC

MEMORANDUM FOR : IMPERIAL JAPANESE GOVERNMENT

THROUGH : Central Liaison Office, Tokyo.

SUBJECT : Plan of Reorganization of Fuji Industrial Company, Ltd. (Fuji Sangyo K.K.)

1. Reference is made to Central Liaison Office Memorandum No.2428 (MF), dated 20 May 1946, subject: "Reorganization Plan of Fuji Industrial Co. (LO 524/237)," for warding plan of reorganization of Fuji Industrial Company, Ltd.

2. Except as to subparagraph 2d, no objection is offered to the above reorganization plan provided that it is executed in the manner proposed by Fuji Industrial Company, Ltd., in its "Memorandum re Execution of Plan of Reorganization," as follows:

a. All of the present officers of Fuji Industrial Company, Ltd., will tender their resignations. A meeting of shareholders will be held immediately thereafter, and six (6) new directors and one (1) auditor will be elected. The managing director, two (2) other directors and the auditor will be nomiees of the Industrial Bank of Japan. The other directors will be nominees of the shareholders. The names of all the new officers and the salaries to be paid to each will be submitted for approval.

b. Within fifteen (15) days after the new directors are elected they will submit, for approval, proposals for establishing new companies as provided in the plan.

c. The new directors will take steps immediately to dispose of the shares of stock owned by Fuji Industrial Company, Ltd., in other companies. In all cases where Fuji Industrial Company, Ltd., owns ten (10) percent or more of the shares of another company, such shares will be offered first to employees of such company. The offer will be made pursuant to a notice, the form of which will be submitted for approval. The Fuji Industrial Company, Ltd., will report the number of shares disposed of as a result of sucj offers. All shares of companies in which Fuji Industrial Company, Ltd., owns ten (10) percent or more of the outstanding shares not disposed of to employees of these companies and all less than ten (10) percent of the outstanding shares will be disposed of by sale through the Holding Company Liquidation Commission.

REGRADED UNCLASSIFIED PER DOD 5200.9 SEC. 3(E) AND 3(D) OR (E) AND

FUJI INDUSTRIAL COMPANY, LIMITED
INDUSTRIAL BANK BUILDING
MARUNOUCHI, TOKYO

Basic: Memorandum for the Imperial Japanese Government from GHQ, SCAP, file AG 095 (29 Jun 46) [illegible]/AG (SCAPIN -1601 -A), subject: "Plan of Reorganization of Fuji Industrial Company, Ltd., (Fuji Sangyo K.K.)," dated 29 June 1946.

d. As soon as the new companies have been set up, Fuji Industrial Company, Ltd., will file a petition for liquidation pursuant to the provisions of the Commercial Code of Japan.

e. The new directors will investigate promptly the existing state of the property of the Company and will prepare and submit a balance sheet and an inventory of assets.

f. The Fuji Industrial Company, Ltd., will cease immediately to exercise its voting rights as a shareholder in any other company whose shares it holds, except as may be necessary protect its investment and then only upon the approval of the Supreme Commander for the Allied Powers.

3. All balance sheets, inventories and reports required by this Memorandum will be furnished to General Headquarters, Supreme Commander for the Allied Powers, in quintuplicate, typed in English on "8 x 11" paper. As used in this Memorandum the term "for approval," shall be construed to mean for approval of the Supreme Commander for the Allied Powers.

4. To implement the above provisions, direct communication is authorized between Fuji Industrial Company, Ltd., and the Economic and Scientific Section, General Headquarters, Supreme Commander for the Allied Powers.

FOR THE SUPREME COMMANDER:

JOHN B. COOLEY,
Colonel, AGD,
Adjutant General

APPROVED Mar. 30, 1948
承　認　昭和23年3月30日

野村

NAME OKUMURA TSUNAO

受 23.2.5. 付

No. 854　Name of Company NOMURA SECURITIES COMPANY, LTD.

個人調査書

（記載上の一般的注意）

一、本調査書は、三通提出しなければならない。

二、調査書は、日本文及び英文で記入する。その場合、英文記載事項は對應頁の日本文に照應するものとする。日英兩文間に相違がある場合は、英文によるものとする。

三、記載事項は、楷書（英文の場合は大文字活字體）で明瞭に記入しなければならない。

四、各記載事項は、空白のまゝにしないよう正確に且つ良心的に記入しなければならない。

五、各記載事項中該當事項のない場合は「該當しない」又は「該當事項なし」等の文句を用いて記入しなければならない。

六、記載すべき空欄に充分の餘白がない場合は、補助紙を用い、「補助紙に續く」等の字句を記入して、いずれの記載欄の補助紙として用いたかを明かにしなければならない。

七、この調査表の重要な事項について虚僞の記載をし又は事實をかくした記載をした者は、財閥同族支配力排除法第三十一條の規定により處罰せられる。

英

野村證券株式會社　第　號

氏名　奥村綱雄

個人調査書

一、姓名（振假名をつけること）　奥村綱雄（オクムラツナオ）

二、從來使用し又は一般に通用している他の名稱（通稱、筆名等）　該當事項ナシ

三、生年月日（年齡數え年）　明治三十六年三月五日（四十六歳）

四、出生地（都道府縣）　大阪府堺市甲斐町一番地

五、現住所（略記しないこと）及び電話番號　京都市左京區岡崎西福川町一六番地

六、本籍地（略記しないこと）　横須賀市逗子町櫻山七九二

Questionnaire

1. Name (In full).

OKUMURA TSUNAO

2. Other names which you have used or by which you have been known. (alias or penname).

NONE

3. Date of birtn (age).

5TH, MARCH, 1903. (46)

4. Place of birth (prefecture).

OSAKA PREFECTURE

5. Present address (in full) and telephone number.

16, NISHIFUKUKAWA NOMACHI, OKAZAKI. SAKYO-KU, KYOTO-SHI

6. Permanent address (in full).

792. SAKURAYAMA. ZUSHI-MACHI, YOKOSUKA-SHI.

第二頁

七、現に保有し又は就こうとする財閥、制限、従属又は關係會社における役員としての地位
（一）會社の名稱及び財閥系統（昭和二十年九月二日以降稱號變更があつた場合は舊稱號を含む）
野村證券株式會社

（二）財閥會社、制限會社、従屬會社又は關係會社の區分（財閥會社の場合には更に直系、準直系又は傍系の區分）
野村合名準直系

（三）地位
專務取締役

（四）就任の豫定日
該當事項ナシ

八、前項の他本人の保有するすべての身分及び職業
該當事項ナシ

九、財閥としての指定者との親族關係
（一）關係の有無及び有りとすればその詳細（財閥同籍者との親族關係を含む。）
該當事項ナシ

（二）指定者が指定された日において指定者と同一戸籍内にあつたことの有無
該當事項ナシ

7. Position of official in company which you hold or for which you are under consideration.

a. Name of company and the lineage of Zaibatsu where the company belongs. (In case name of the company has been changed after 2 September 1945 the former name will also be given.)

NOMURA SECURITIES COMPANY, LTD

NOMURA

b. Classification of Zaibatsu, restricted, subsidiary or connected company (in the case of Zaibatsu company, the classification of the direct affiliate, indirect affiliate or associate company will also be given.)

THE INDIRECT AFFILIATE OF THE NOMURA GOMEI COMPANY.

c. Position:

MANAGING DIRECTOR

d. Scheduled date of assumption of the position.

NONE

8. All other positions snd professions which you hold now.

NONE

9. Family relationship with the persons designated as Zaibatsu.

a. Existence or not of the relationship and its details, if any. (includiug relationship with the Zaibatsu family members.)

NONE

b. Whether or not you were on the same family register with the designated persons on the day of their designation.

NONE

第三頁

七、職業の履歴

註一、本欄の會社團體とは財閥會社に限らずあらゆる會社團體を含むものとし、團體中特に組合、協會、協議會等の經濟團體については詳細に記入すること

註二、職務内容に關し本人の地位から當然豫想せられる職務を事實上擔當していなかつた場合には本人が實際に擔當していた職務内容及び本人に代わり當該地位の管轄たるべき職務を事實上擔當していた者の氏名を記入すること

註三、本人が役員として又は役員の待遇の地位にて勤務した會社が財閥會社たる場合には、左の事項を附記すること

(1)本人の役員としての就任及び退任の時における當該會社の株式の一割以上の所有者の氏名及び持株率

(2)本人が勤務した期間における他の役員の氏名、地位及び就任退任年月日

就職及び退職日附	會社團體等の名稱	地位（職員たる場合を含む）	職務内容（詳細に）	會社團體等の事業内容及び所在地
大正十五年四月十日	野村證券株式會社	社員（實習勤務）	公社債ノ賣買ヲナス。	野村證券株式會社ノ内容 (イ)公社債ノ引受募集 (ロ)公社債ノ賣買 (ハ)金融業 (ニ)株式ノ引受募集並ニ賣買（昭和十二年六月ヨリ開業） (ホ)投資信託業（昭和十五年十月ヨリ開業） 東京都中央區日本橋兜町一丁目一番地

補助紙ハ二續ク

第三頁 七 補助紙(一)

昭和七年七月一日	名古屋支店
昭和九年一月一日	大阪本店
昭和十二年十二月一日	
昭和十三年六月十六日	
昭和十四年一月一日	
昭和十七年六月一日	
昭和十七年十二月一日	
昭和十八年五月十日	東京本部
昭和十九年十二月十五日	大阪本部
昭和二十年三月二十七日	

社員（名古屋支店長代理兼相談係主任）
社員（業務部長代理兼計劃係主任）
社員（證券部長代理）
社員（株式部長代理兼市場調査係主任）
社員（調査部長代理）
社員（調査部長）
社員（上海駐在）
時令ノミニテ実現セズ
社員（企劃部長兼企劃課長）
社員（大阪副本部長）
社員（調査役兼企劃部長）

支店長補佐並ニ公社債ノ賣買相談事務
業務部長補佐並ニ公社債賣買ノ計劃事務
公社債引受並ニ賣買部長補佐
株式引受並ニ賣買部長補佐並ニ取引所上場株式ノ調査主任事務
経済界各種事項原因糺明並ニ惹起事項調査部長補佐
経済界各種事項原因糺明並ニ惹起事項調査部長事務
支那経済事情調査ノタメ組シ都合ニ依リ実現セズ
公社債株式ノ引受賣買等ノ企劃部長並ニ課長事務
大阪本店各事務ノ統轄事務部長補佐
各種経済並ニ社内事項調査監督事務並ニ株式公社債投資引受賣買ノ企劃部長事務

(1) 株式一割以上ノ所有者
野村合名會社
八八、四一%
(2) 役員氏名就退任年月日
取締役會長 就任 退任
原邦道 一九、一〇、三〇、一〇、三〇
取締役社長
飯田清三 一六、九、三〇、一三、八、三
専務取締役
高橋要 二〇、四、三〇、二三、八、三
大山清吉 二〇、四、三〇、一〇、三〇
常務取締役
小孫原友作 二〇、四、三〇、一三、八、三
雨森俊郎 二三、八、一三、一 在任中
平山亮太郎 二三、八、一三、一 在任中
取締役
杉元仞 八、六、二五、一〇、三〇
野村元五郎 一〇、三、一、一〇、三〇
雨森恒太郎 二〇、四、三〇、一三、八、三
富成曾吉 二〇、四、三〇、一〇、三〇
高垣五一 一六、六、二七、一〇、四、三〇
稲田実 八、六、六、一〇、四、三〇
平山亮太郎 二一、九、六、一三、八、三
辻岡正春 二一、九、六、一 在任中
柴田恭二 二一、九、六、一 在任中
阪本千足 二一、九、六、一 在任中

昭和二十年四月三十日 昭和二十年十月八日 昭和二十一年十二月十日 昭和二十二年八月十三日 昭和二十年六月十三日 昭和二十二年一月二十日 昭和十三年二月	京都支店 細字證券株式會社 経済クラブ 関西支部	取締役 (企劃部長嘱託) 取締役 (業務部長嘱託) 取締役 (京都支店支配人) 専務取締役 監査役 監査役辞任 會員	株式公社債引受賣買投資等ノ 企劃事務部長 社内業務各種ノ統轄事務 部長 京都支店長事務
瀬川美能留二六、九、六ノ桂中 関口隆太郎 二、九、六ノ桂中 東住監査役 太田博一郎 一百、四、一百、一三、一百 大山謙吉 一百、三、一百、二三、八、三 小島清司 二三、八、三ノ桂中 監査役 山内貢 元、一百、一百、一百、一百 橋本哲 二百、四、三百、一百、三百 平山東太郎 一百、二三、八、二二、九、六 有償證券業 大阪市東区北濱二丁目 経済人社交クラブ 大阪市東区			

10. Chronological record of profession and employment.

Note 1: "Organization or company" mentioned in this column include any organization or company other than Zaibatsu company. With reference to organizations, relationship with economic organizations such as union, association or conference etc. will particularly be given in detail.

Note 2: In case you did not, in fact, handle duties for which you have been authorized, duties and powers which you actually handled and name of the person who dealt with duties originally authorized for you will be given.

Note 3: With reference to the Zaibatsu company where you served as official or as a person accorded with the status of official, the following entries are additionally required.

a. Name and stock-holding percentage of stock-holders owning 10 per cent or more of the total stock of the company at the time of your assumption of office and retirement.

b. Name, position and dates of appointment and retirement of other officials of the company during the period when you served.

Dates of employment and retirement.	Name of company or organization where you served.	Status of the position (including position as ordinary personnel.)	Duties and powers (in detail).	Substance of business of organization or company where you served and its location.
10TH APR. 1926	NOMURA SECURITIES CO. LTD.	STAFF. (BUSINESS DEPT ON DUTY)	TO DEAL IN BONDS AND DEBENTURES.	SUBSTANCE OF BUSINESS OF THE NOMURA SECURITIES CO. (1) TO UNDERWRITE, SUBSCRIBE FOR THE BONDS AND DEBENTURES (2) TO DEAL IN THE BONDS AND DEBENTURES. (3) FINANCIAL BUSINESS (4) TO UNDERWRITE SUBSCRIBE FOR AND DEAL IN STOCKS (BEGINNING FROM JUN. 1938.) (5) INVESTMENT TRUST BUSINESS (BEGINNING FROM OCT, 1940) 1-1, KABUTOCHO NIHONBASHI. CHUO-KU, TOKYO.

CONTINUE TO THE SUPPLEMENTARY SHEET (1)

10.

SUPPLEMENTARY SHEET (1)

1ST. JUL. 1932	NAGOYA BRANCH.	STAFF. (MANAGER-ASSISTANT OF THE NAGOYA BRANCH AND THE HEAD OF THE INVESTMENT COUNSEL-DEPT)		(1) NAME OF STOCKHOLDER OWNING 10% OR MORE. NOMURA GOMEI CO. 88.41 % (2) NAME, POSITION, PERIOD OTHER OFFICERS SERVED. CHAIRMAN HARA KUNIMICHI (30 OCT. '40 – 30 OCT. '45 PRESIDENT IIDASEI 20 (30 OCT '41 – 13 AUG '47 MANAGING DIRECTOR TAKAHASHI-KANAME (30 APR. '45 – 13 AUG '47 OYAMA KENKICHI (30 APR. '45 – 8 DEC. '45 MANAGING DIRECTOR KOMATSUBARA-TOMOSAKU (30 APR '45 – 13 AUG '47 HIRAYAMA RYOTARO (13 AUG '47 – AMEMORI TSUNEJIRO (13 AUG '47 – DIRECTOR SUGIMOTO TAKASHI (25 JUN '43 – 10 DEC '45 NOMURA MOTOGORO (1 DEC. '25 – 30 OCT. '45 TOMINARI MIYAKICHI (30 APR '45 – 30 OCT. '45 TAKAGAKI GOICHI (27 JUN '41 – 30 APR '45 INADA MINORU (28 JUN '43 – 30 APR '45 HIRAYAMA RYOTARO (28 SEP. '46 – 13 AUG '47 TSUJIOKA MASAHARU (28 SEP '46 – SAKAMOTO CHITARU (28. SEP. '46 – SEGAWA MINORU (28 SEP. '46 – SHIBATA KYOJI (28 SEP. '46 – SEKIGUCHI KEITARO (28 SEP '46 – STANDING AUDITOR OTA TOKUJURO (30 APR. '45 – 10 DEC. '45 OYAMA KENKICHI (10 DEC '45 – 13 AUG '47 KOJIMA KIYOSHI (13 AUG '47 –
1ST. JAN. 1934.	OSAKA HEAD OFFICE	STAFF (CHIEF-ASSISTANT OF THE GENERAL AFFAIRS DEPT AND THE HEAD OF PLANNING DEPT)	TO DISCUSS AND MAKE PLANS ON BUSINESS.	
1ST. DEC. 1937		STAFF. (CHIEF-ASSISTANT OF THE BONDS DEALING. DEPT)	TO ASSIST THE CHIEF IN UNDERWRITING AND DEALING IN BONDS AND DEBENTURES.	
16TH. JUN. 1938		STAFF (CHIEF-ASSISTANT OF THE STOCK DEALING DEPT. AND THE HEAD OF THE MARKET RESEARCHING DEPT)	TO ASSIST THE CHIEF IN MANAGING BUSINESS AND TO INVESTIGATE THE FINANCIAL STATES OF CORPORATIONS.	
1ST. JAN. 1939		STAFF (CHIEF-ASSISTANT OF THE ECONOMIC RESEARCHING DEPT.)	TO ASSIST THE CHIEF TO INVESTIGATE THE ECONOMIC CONDITIONS AND FINANCIAL STATES OF CORPORATIONS.	
1ST, JUN. 1942		STAFF (CHIEF OF THE ECOMOMIC RESEARCH DEPT.)	TO RESEARCH THE ECONOMIC CONDITIONS AND THE FINANCIAL STATES OF THE CORPORATIONS.	
1ST, DEC, 1942		STAFF (APPOINTED TO STATION AT SHANGHAI)	IN ORDER TO INVESTIGATE THE ECONOMIC CONDITIONS OF CHINA. BUT. AFTERWARDS NOT REALIZED ON ACCOUNT OF CERTAIN REASONS. (THIS IS CANCELLED)	
10TH, MAY, 1943	TOKYO HEAD QUARTERS	STAFF (CHIEF OF THE PLANMAKING DEPT.)	TO MAKE PLAN HOW TO UNDERWRITE AND DEAL IN THE BONDS, DEBENTURES AND STOCKS.	
15TH DEC, 1944	OSAKA HEAD QUARTERS.	STAFF (SUB-CHIEF OF THE OSAKA HEAD QUARTERS)	THE CHIEF IN MANAGING THE GENERAL AFFAIRS IN OSAKA HEAD OFFICE.	
27TH. MAR. 1945		STAFF (ADMINISTRATOR AND THE CHIEF OF THE PLANNING DEPT.)	TO ARRANGE AND ADMINISTRATE GENERAL AFFAIRS, IN THIS COMPANY AND MAKE THE PLAN OF DEALING BUSINESS.	

30TH. APR. 1945		DIRECTOR (INCHARGE OF THE PLANNING DEPT.)	TOMAKE ALL PLANS WITH REGARD TO THE UNDERWRITING, SUBSCRIBING FOR AND DEALING IN BONDS, DEBENTURES AND STOCKS.	AUDITOR YAMAUCHI MITSUGU	(30 OCT '44 30 OCT '45
				HASHIMOTO TETSU	(30 APR '45 30 OCT '45
8TH OCT. 1945		DIRECTOR (INCHARGE OF THE CHIEF OF THE GENERAL AFFAIRS DEPT.)	TO ADMINISTRATE AND MANAGE THE GENERAL AFFAIRS IN THIS COMPANY	HIRAYAMA RYOTARD	(8 DEC. '45 28 SEP '46
10TH. DEC. 1946	KYOTO BRANCH.	DIRECTOR (IN CHARGE OF THE MANAGER OF THE KYOTO BRANCH)	TO MANAGE THE KYOTO BRANCH.		
13TH. AUG. 1947		MANAGING DIRECTOR.			
13TH JUN. 1948	HOSOJI SECURITIES CO., LTD	AUDITOR		SECURITIES DEALER.	
20TH JAN. 1947		RETIRED FROM THE AUDITOR OF THE HOSOJI		2CHOME, KITAHAMA, HIGASHI-KU, OSAKA.	
FEB. 1938	KEIZAI KURABU (THE ECONOMIC CLUB) KANSAI BRANCH.	MEMBER		SOCIAL CLUB OF THE BUSINESS MEN HIGASHI-KU, OSAKA.	

十一、本人の役員就任當時その勤務した財閥會社と財閥又は財閥直系會社との間に役員としての就任についての事前承認を必要とする旨の取極の有無

(一) 明文の取極の有無

社長選任に関し野村合名會社との間に明文の取極はあったが その他の役員に関しては何ら明文の取極はなかった。詳細は申請理由書を參照願ふ。

(二) 本人の役員としての就任の事情の詳細、特にその就任につき財閥又は財閥直系會社が關與した事實の有無

昭和二十年四月三十日 企劃部長であった私はその人物業績勤續年數その他全社員の支持の下に役員會に於て選任さ れた。かくの如く私は全く事務重役で財閥の支配を受けてゐない。詳細は申請理由書を參照願ふ。

11. At the time of your assnmption of office as official, whether or not the arrangement that the previous approval be obtained from the Zaibatsu or the direct Zaibatsu affiliate regarding assumption of the position of official existed between the Zaibatsu company where you served and the Zaibatsu or the direct Zaibatsu affiliates.

a. Whether or not the arrangemeut existed in writing.
ON THE ELECTION OF THE PRESIDENT, THERE EXISTED THE ARRANGEMENT WITH NOMURA GOMEI CO. IN WRITING. BUT ON THE OTHER OFFICERS, THERE WAS NOT ANY ARRANGEMENT IN WRITING.
I WISH TO SEE THE APPLICATION IN DETAIL.

b. Details of circumstances under whicn you assumed the position of official; particularly whether or not the Zaibatsu or the direct Zaibatsu affiliate was concerned in approving your assumption of office.

I WAS ELECTED ON 30TH. APRIL 1945, ON THE MEETING OF DIRECTORS FOR MY PERSONALITY, RESULT OF MY WORK, MY SERVICE FOR A LONG TIME, AND IN THE SUPPORT OF ALL STAFFS.

BY THIS TIME, I WAS THE CHIEF OF THE PLANNING DEPARTMENT.
SO I WAS ONLY AN OFFICER AS A BUSINESS MAN, AND WAS NOT CONTROLED BY ZAIBATSU.
I WISH TO SEE THE APPLICATION IN DETAIL.

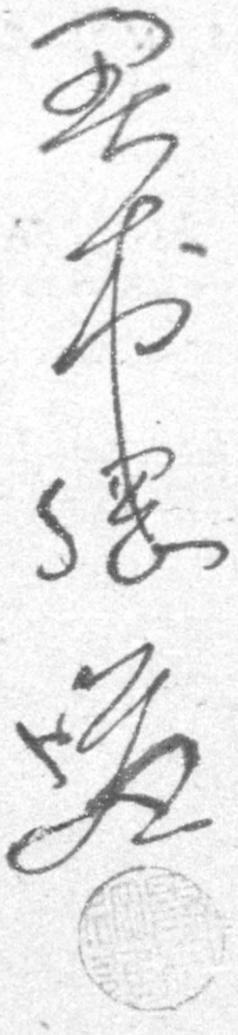
第六頁

十二、本調査書作成年月日

昭和二十三年二月五日

「この調査表の記載は眞實であり且つ完全であることを確言する、又私はこの調査表の重要な事項について虚僞又は事實をかくした記載があるときは財閥同族支配力排除法第三十一條の規定により處罰せられることを諒承してをる旨申し添える」

署名



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12. Date

5TH. FEBRUARY, 1948.

13. I hereby certify that entries made in this questionnaire are true and complete. I further add that I understand that entries false or lacking full and cemplete disclosure on relevant or material matters in this questiornaire will subject me to penaly in accordance with the provisions of Article 31 of the Law for Termination of the Zaibatsu Family Control.

Signa ture

Kumura Tsunao

854

February 5, 1948.

Mr. Tetsu Katayama,
Prime Minister.

APPROVED Mar. 30, 1948
承　認　昭和23年3月30日

Application For Recognization that I do not belong to the "Officers of Zaibatsu Interest."

I was elected a director of the Nomura Securities Company Ltd. on 30 April 1945 and held concurrently the position of Chief of the Planning Department of the same company. Subsequently I was appointed Chief of the Business Department and later on manager of the Kyoto Branch which position I held on 2 September 1945.

Because of the position of directorship I held during this period, I hereby submit this application.

Tsunao Okumura

(Mr. Tsunao Okumura)
Director,
The Nomura Securities Company, Ltd.
Born on 5 March 1903.
Permanent Adress: 792, Sakurayama,
Zushi-machi, Yokosuka-shi.
Present Adress: 16, Nishi Fukunokawa-cho, Okazaki, Sakyo-ku,
Kyoto-shi.

In applying for not falling under the provisions of the " Law for Termination of Zaibatsu Family Controls ",that is to say for your recognization that I am not an officer of Zaibatsu interest , I wish to submit my explanations in two parts,firstly in general explanation and secondly in specific explanation.

(I) In the general explanation, I wish to clarify the facts that the general relation between the Nomura Zaibatsu and the Nomura Securities Company has been very remote and that the position of the later Company in the pyramidal constitution of the Nomura Zaibatsu has been extremely low, contrary to the general belief of the public; and by clarifying the above facts I wish to testify that the Nomura Zaibatsu has had very little influence, in fact no influence at all, over the personnel matters of the Nomura Securities Company, in other words the former has exercised almost no control over the personnel matters of the latter.

(2) In the specific explanation, I wish to testify with comprehensive distinct documents under the provisions of Item I and 2, Article 6 of the Law, and furthermore I wish to testify with clear proof that all the requirements specified in Item I to 4 respectively are completely satisfied.

With a support of such explanations and proof I submit this application requesting your recognization that I am not an officer of Zaibatsu interest.

I. General Explanation.

I. Historical account of the position of the Nomura Securities Company in the Nomura Zaibatsu.

The Nomura Securities Company was originally established in January 1926 as a securities company (Subscribed capi-

tal ¥ 5,000,000; a half of which was paid up) specializing in underwriting of bonds and debentures. Prior to this time the Nomura Bank (established in 1918 with a capital of ¥ 10,000,000) had had a securities Department,which was at that time separated and made an independent firm of the Nomura Securities Company. It is, therefore, a complete misunderstanding to believe, as often is so believed, that the Nomura Securities Company is the origin from which the Nomura Zaibatsu has expanded. (The reason why the Nomura Gomei Company has come to own the stocks of the Nomura Securities will be explained later on).

Ever since its establishment the Company confined its activities in the transaction of bonds and debentures and the business of bill brokers until about the autumn of 1924 when the severe economic depression drove the securities bisiness into the state of helpless stagnancy. Having been forced by the absolute necessity to find the way to pull out the Company from such crisis and having observed the Yamaichi Securities Company overcoming the difficulties by transacting stocks in addition to bonds and debentures, the Company finally decided to go into the bisiness of stock dealing.

The Nomura families originally (1874) started business by establishing Osakaya Money Exchange Store (established in 1874 and is still in existence in the name of K. K, Osakaya Shoten), which was engaged mainly in the business of investing in and dealing of stocks. This store (which was renamed as K. K, Nomura Kabushikiten in 1917) consolidated its position by establishing the Nomura Bank in 1918, but was later on severely hit by the collapse of stock prices in 1923. This in turn caused the depositors of the Nomura Bank entertain

deep anxiety over the standing of the Bank as the Bank was closely connected with the Osakaya.

As the depositors began to withdraw their money out of the Bank and the amount of withdrawal increased daily, the managers of the Bank came to realize that the only way to save the Bank was to sever its relation with Osakaya or Nomura Kabushikiten (Nomura Stocks Dealers). Thereupon they made the public announcement that the Bank had severed its connection with the Nomura Kabushikiten and finally succeeded in regaining depositor's confidence, narrowly escaping complete collapse of the Bank. (Reference book: Shoken Zaibatsu Tokuhon by M. Kuribayashi).

Ever since the above incident the financial connection between the Nomura Bank and The Nomura Kabushikiten has been completely extinguished, although the latter retained the same relation with the Nomura families. (The Nomura Kabushikiten subsequently was renamed to K. K. Osakaya Shoten which is still in operation in Kitahama Osaka).

Thus, the Nomura families, whose success had been obtained mainly from investment in stocks, were nearly driven into bankruptcy by the same cause, i, e, investment in stocks. This fact was deeply impressed in the mind of the Nomura families. It was for this reason that when the Securities Department of the Nomura Bank was made an independent company as the Nomura Securities Company, the Bank insisted to avoid any risk which might result from the failure in securities dealing, although the new company confined its activities to such conservative business as underwriting of bonds and debentures. Accordingly, the Bank flatly refused to subscribe to any shares of stocks in the new Company and requested that the Nomura Gomei should

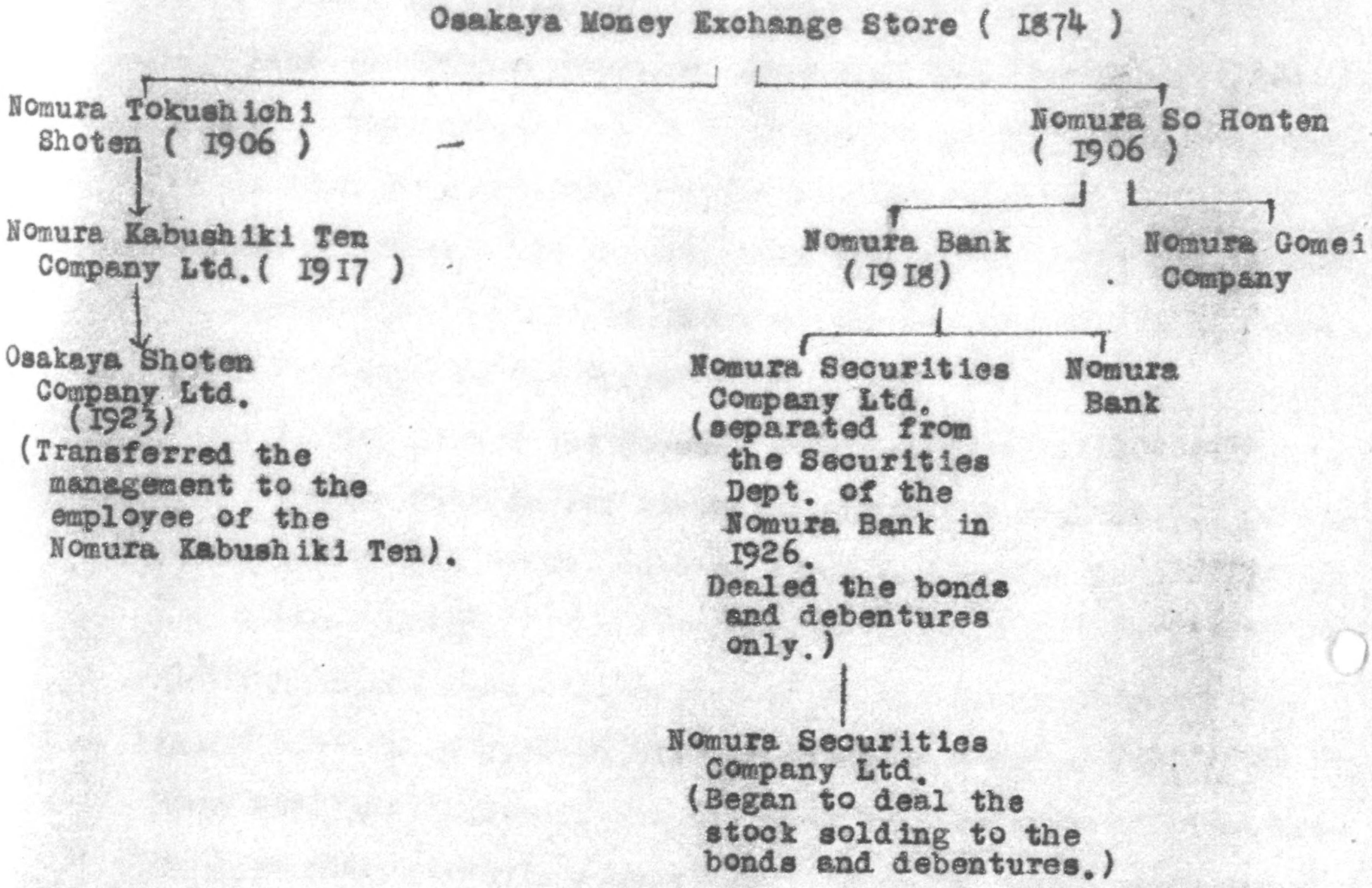
hold stocks of the Company.

Even the Nomura Gomei,for fear that the previous failure might be repeated,saw to it that the Nomura Securities Company be treated as a separate and independent organization from the Nomura Zaibatsu. It is said that the Nomura Gomei gave strict instruction to the president of the newly established Securities Company to the effect that

> " Nomura Securities Company shall never rely upon the Nomura Bank in its financial operation so that the latter should by no means be disturbed by the failure of the former".

The subsequent financial operation of the Nomura Securities Company,of which account will be given in a later chapter of this application,clearly proves that the above instruction has in fact been strictly adhered to. When the Company commenced dealing of stocks in 1936 in order to overcome critical difficulties,the above policy was naturally re-emphasized for stricter adherence.

The remoteness of the Nomura Securities Company's connection with the Nomura Zaibatsu can also be proved by the fact (which will be narrated later on) that while the directors of the Nomura Gomei which is the controlling organization in the Nomura Zaibatsu were chosen from among the directors of the Nomura Life Insurance Company,Nomura Mining Company,etc., none was chosen from the persons who represented the Nomura Securities Company,although the former companies are of later establishment than the Securities Company.


Osakaya Money Exchange Store (1874)
Nomura Tokushichi Shoten (1906)
Nomura Kabushiki Ten Company Ltd.(1917)
Osakaya Shoten Company Ltd. (1923) (Transferred the management to the employee of the Nomura Kabushiki Ten).
Nomura So Honten (1906)
Nomura Bank (1918)
Nomura Gomei Company
Nomura Securities Company Ltd. (separated from the Securities Dept. of the Nomura Bank in 1926. Dealed the bonds and debentures only.)
Nomura Bank
Nomura Securities Company Ltd. (Began to deal the stock solding to the bonds and debentures.)

2. <u>The present position of the Nomura Securities Company in the Nomura Zaibatsu.(Vertical relation with the Nomura Gomei Company).</u>

The remoteness of the Nomura Securities Company's relation with the Nomura Zaibatsu having resulted from the above-mentioned historical development,compelled the Company to sever its relation with the Nomura families and the Nomura Gomei Company. As is indicated in the attached list of the directors of the Nomura Gomei Company since 1937,no representation has ever been made by the Nomura Securities Company to the board of the Nomura Gomei which included representatives of principal subsidiary companies.

As for the business development and financial accomodation of its subsidiary companies,the Nomura Gomei kept the Nomura Securities Company entirely out of scope. Such was the case when the Nomura affiliates were established,important Nomura Companies, subscribed to their stock respectively,while the Nomura Securities Company was entirely left out of such subscription. Such facts proves in how inferior position the Nomura Securities Company was placed in the development and the pyramidal composition of the Nomura Zaibatsu.

It is true that a great proportion of the Company's stocks was owned by the Nomura Gomei,but those were the stocks which should have been owned by the Nomura Bank in 1926 as was explained above. Furthermore,the Nomura Gomei has never exercised its voting rights as a large shareholder in order not to assume leading responsibilities. As a share-holder the Nomura Gomei invariably agreed upon whatever decision made by the board of directors of the Nomura Securities Company.

Since the Nomura Gomei did not in fact exercise its voting

power as a share-holder, it naturally refrained from controlling personnel matters except that, according to the custom of a large share-holder, the Gomei placed a few non-standing directors on the board of the Nomura Securities Company.

In the securities business "personnel" is its only property and the only source of its activities. In view of such peculiarity of this business, the Gomei took a policy of " isolationism " by avoiding to control personnel matters and assume responsibility thereof. (This is a very important point and will further be described in detail in the chapter of the specific explanation)

3. <u>The position of the Nomura Securities Company in the Nomura Zaibatsu.(Horizontal relation with other affiliate companies).</u>

In the following lines I intend to testify that the Nomura Securities Company maintained only remote relation with the other affiliate Companies of the Nomura Zaibatsu.

Firstly, in the matter of personnel, it is evident by the testimony (Appendix No.) given by the Nomura Gomei, which was regarded as a controlling organization, that there has never been exchange of personnel between the Nomura Securities and the other affiliate companies of Nomura.

This is due to the peculiar nature of security business and also due to the fact that with the establishment of its foundation as a financial Zaibatsu the Nomura began to look down a security company as a mere " stock broker ". Of course such was not the case with the Nomura Securities only. It is understandable in view of the general tendency that a security dealer is apt to be treated inferior to the other financial institutions (bank , insurance or trust).

It is a fact that in the economic circle of Japan, a banker and a security dealer are never treated on the same level.

Secondly, in the financial aspect it can be clearly proved that the Nomura Securities had remotest relation with the other affiliate companies of the Nomura Zaibatsu.

As everybody knows, security business depends a great deal upon its financial back ground. A failure of its financing would shake the very foundation of the business.

It should be specifically pointed out that in spite of such importance of financial back ground, almost no firm of Nomura interest appears in the list of the Nomura Securities' principal financial source, which list shows the " persons from whom money was borrowed and the " persons from whom securities were borrowed " since 1937.

The attached document proves the peculiarly significant fact that in spite of the Nomura Zaibatsu having always been known as a financial Zaibatsu, it never permitted the Nomura Bank or the Nomura Life Insurance Company to make any commitment on the Nomura Securities Company in the matter of financing which is of vital importance to a security dealer. Consequently, in August 1946 when the Nomura Securities Company became a " Special Accounting Company " in accordance with the Company Accounting Emergency Measure Act, the large creditors who were nominated " Special Administrators " in accordance with the legal specification, were Nanto Bank (as a creditor) and Gumma Daido Bank (as a securities lender), which fact also proves for the above assertion.

In conclusion I wish to summarize the above statement as follows:

(I) Historically, the Nomura Securities Company was created as a subsidiary of the Nomura Bank, but in order to protect the credit and stability of the Zaibatsu the Company was given such discriminatory treatment as that of a step-son.

(2) In its vertical relation,the Nomura Gomei treated the Nomura Securities quite separately from other affiliate firms; it has never permitted the Securities Company's representation to its board; it has never permitted the Securities to participate in the conversion of Nomura Zaibatsu from financial to industrial activities. The Company was only permitted to use the name of " Nomura " in considerationof the initial circumstances of the Company's establishment.

(3) In its horizontal relation,the Nomura Bank and the Nomura Life Insurance Company gave little, if any at all,financially aid to the Company and then with no special favor or convenience at all as a firm in the same Zaibatsu.

From the above statement I believe that it has sufficiently been proved that the Company was given a lowest position in the Nomura Zaibatsu and accordingly was subject to little control or influence on its personnel matters.

II. Specific Explanation

Supported by the documents of proof and reference, I shall first prove in accordance with Item I and 2 of the first Paragraph of Article 6 that I am not an officer of Zaibatsu interest.

(A) Item I of Article 6

While in all other arguements I can produce clear evidence, it is difficult to do so for the Item I of Article 6. At the time when I was elected a director in May 1945 maintaining the position of Chief of the Planning Department, I must frankly admit that the Nomura Gomei held 38% of the total number of stocks of the Nomura Securities Company.

Yet, I wish to contend that the Nomura Securities Company was not controlled by the Nomura Zaibatsu for the reason that while there existed "Perfunctory Zaibatsu control " over the Nomura Securities Company there never existed " actual Zaibatsu control " which I presume is the real meaning of the words in this Law. The peculiar position of the Company was fully explained in the previous chapter but I wish to repeat it here once again.

I wish to testify that the Company was not under actual control of Zaibatsu by the facts that no shareholder's meeting was ever called by the request of Nomura Gomei as a large shareholder; that the execution of the voting right of the Gomei was entirely entrusted to the board of the Nomura Securities Company and that the board of Directors was invariably held only by the standing directors who were always appointed from among the employees of the Company (Reference: Article 21 of the Articles of Incorporation).

As was explained in the chapter of the general explanation (Reference: Vertical relation), the Nomura Securities Company never played an important role in the constitution and the mainte-

nance of the Nomura Zaibatsu. When the Nomura Zaibatsu tried to convert its position from financial capitalism to industrial capitalism so that to conform with the requirement of the war development, the Nomura Securities Company never utilized the stock market for the Zaibatsu nor was it used by the Zaibatsu for that purpose. It is evident, therefore, the Nomura Securities Company never played an important part in the execution of economic control of Zaibatsu. On the contrary as was explained before, the Company was placed in a position entirely outside of the economic control of Zaibatsu.

(B) Item 2 of Article 6.

For this item all the items of Article 7, I can sufficiently testify with detailed and clear evidences.

(I) Regarding the "circustances of the appointment", my professional carreer shows, as stated in page 3 of the "Questinair" submitted separately, that I was employed by the Nomura Securities Company immediately after I graduated from Kyoto University in 1926 and from then until I was elected a Director I have assumed various positions such as branch head, assistant section head, section head and chief of Department. My long and consistent services for the Company exceeding twenty years and also my clerical and managerial ability finally landed me to the position of Director-ship. The above circustances are testified by the attached memorandum written by Mr. Seizo Iida, the former president of the Company.

(2) Regarding the " Actual manner of the execution of the duties", I can clearly testify that I am not a Zaibatsu officer. The following fact will show how the duties were nothing but clerical or operational while I was chief of Planning Department. Immediately after the Headquarter of the Company in Tokyo was destroyed by the first night air-raid over Tokyo in November 1944, the Company's Headquarter was removed to a fire-proof building of Osaka Head Office in order to reorganize whole organization. Starting with the reorganization of the Tokyo Branch, a plan had to be drawn up to rehabilitate and put the whole plant together and continue to operate. Communication with all the branches which were destroyed one after another (Offices of Osaka, Okayama, Shizuoka, Takamatsu, Fukuoka, Moji, Kobe and Hiroshima) had to be maintained under the worst possible conditions. In addition to this, his duties involved information service for the people who came to consult for the purchase and sale of stocks, bonds and debentures and also for all offices for the same purpose.

Even after I was concurrently appointed director in April 1945, I was still in charge of those strenuous works,all in operational level. So, mine was the duties assigned to an executive employee. Subsequantly in October 1945 immediately after the surrender I was transfered to become chief of Business Department with the object of completing fundamental rehabilitation of the Company's business,and later in December 1946 I was appointed Manager of the Kyoto Branch still maintaining the position of director-ship. I had been Manager of that Branch until August 1947 when President and three other directors were purged and I was assigned to the position of the director stationed in Tokyo Headquarters.

From the above development you will understand that I have always been assigned with the tasks of an executive employee rather than that of a Zaibatsu officer.

(3) Regarding the "personal position in the Nomura Zaibatsu" I would mention that in the Nomura Zaibatsu just like in the other Zaibatsu there was a controling organization of Zaibatsu,namely the Nomura Gomei Company.

The board of the Nomura Gomei was headed by the General Directors who were the full time directors and there were Directors consisted of the representatives of the affiliate companies. In addition to this there were what was called consultant Directors (Sanyo Riji) who held only nominal position having no power of say or participation in the organization of Gomei.

I held none of the above positions of the directorship of the Nomura Gomei Company. In fact my position was out of the scope or the lowest of the pyramidal constitution of the Nomura Zaibatsu. It is indeed unconceivable that the Zaibatsu organization should have highly appreciated a man who,although a director,was merely a manager of a local branch office. If I were considered as an important man by Zaibatsu, I should have been given a position on the board of the Gomei Company or at least a position of a executive director of the Headquarters of the Securities Company instead of a mere director assigned with internal business matters. All these should prove that mine was the lowest of all the positions of directorship. Of course,the fact that the Nomura Securities Company was compelled to assume an isolated position in the Nomura Zaibatsu (as explained in the first chapter) should also be considered in this connection.

I shall now testify in accordance with Item I to 4 of Article 7, accompanied by clear evidences,that I am not an officer of Zaibatsu interest.

(A) <u>Item I of Article 7</u>.

It is quite evident,as is proved by the attached document(Koseki Tohon or family record of Tsunao Okumura),that I am not a member of

Nomura families nor a husband of any member of such families,nor a father or a brother of any such persons,nor a husband of a mother or a sister of any such persons.

(B) Item 2 of Article 7.

I believe this is the most important item of all. In this connection the attached certificate of the Nomura Gomei Company testifies that before the end of war presidents of the Nomura Securities Company might have been appointed by the Gomei Company,but all other directors were appointed at the responsability of the president of the Nomura Securities Company.

The so-called "directors dispatched by Zaibatsu"(please refere to Note I) were in no way in actual service in the company, their names being merely printed on the list of the board as perfunctory representatives of Zaibatsu shareholder. They never participated in the management and other matters of the Company, invariably entrusting their voting rights in the hand of the president of the Securities Company. Consequently they seldom attended they uttered nothing more than agreeing on the decisions made by the directors who were promoted from employees.

(Note I) " Directors dispatched by Zaibatsu " means those directors who were selected by recommendation of the Securities Company's president from among the officers of the Nomura Gomei,Bank,Insurance or other affiliate companies, instead of from among the employees of the Company. The member of such directors never exceeded one-third of the total number of directors of the Company.

Incidentally,the board of the Company as of 15 August 1945 consisted of fourteen directors out of which only five were the " dispatched directors" who of course held the position in non-standing capacity.

However, the present board of the Company consists of all " employee directors" headed by Okumura and Amemori, all of whom have been promoted from among employees of the Company by virtue of their superior ability and experiences.

All the directors who are promoted from employees are standing directors in charge of daily business. The board of directors selects from the employees such persons as are considered superior in their character, ability, term of services and also who are considered to have full confidence by all the employees. Such person as are thus recommended by the board are elected, as a matter of formality, by the shareholders' general meeting. As the election by the shareholder's meeting is entirely a matter of formality, the choice of the board actually effectuates the final decision and in fact there has never been an instance where the shareholder's general meeting declined to elect a person who had been recommended by the board of directors.

Such are the actual circumstances under which a director of the Nomura Securities Company elected. However, in order to prove it more clearly, I am attatching a memorandum (Appendix No.) written by the former president Mr. Seizo Iida who was the highest responsible person at the time of my election to the board.

With this memorandum together with the explanation under (I) (2) and (3) of Item 2, Article 6, I believe you will be satisfied to conclude that I was elected a director by the board of the Company by virtue of my long services, ability and character, and my election had nothing to do with the Zaibatsu interest.

(C) <u>Item 3 of Article 7.</u>

Article 21 of the Company's Article of Incorporation provides that as a rule only the president is authorized to represent the Company, but the second paragraph of the same Article also provides that " if necessary" the Company may appoint representative directors.

At the time when air-raid were frequent and intensified, the company naturally felt it necessary to appoint representative directors stationed at such important cities as Tokyo and Osaka. During this period the Company appointed Kaname Takahashi (Managing Director) in Osaka and Yusaku Komatsubara in Tokyo, and empowered them in addition to the president with the authority to represent the Company(Appendix No.).

However as I was newly elected director and actually was engaged in the internal business as chief of Planning or Business Department or branch manager, I could not have been empowered with the authority to represent the Company. Especially, if I was authorized to represent the Company while I was a branch manager, my authority as a representative director and a branch manager would have been confused. From this aspect it is quite evident that I was not given such authority or controlling power as is mentioned in Item 3 of Article 7.

(D) Item 4 of Article 7.

The fact that I did not hold at any time more than four positions of directorship in Zaibatsu affiliate companies may easily be deduced from the explanation regarding the Nomura Securities' position in Zaibatsu and my position and assignement of my works in the Company. However, to take clearer method of proof I attach a copy of certificate written by the Nomura Gomei Company to which kindly make your reference.

Supplementaly Statement.

1. I have gone through the screening by the " Committee on Examination of Desirability for Public Offices " and received a certificate of approval under the date of 14 April 1947.

2. On 13 August 1947 I was promoted to become Managing Director to fill the vacancy resulted from the purge of Seizo Iida, President and three Managing Directors. On this occasion my appointment was approved by the Holding Company Liquidation Commission.

List of Appendix

Title of Appendix	Object to be testified
1. Certificate by the Nomura Gomei Co. regarding its Appointment of Directors.	To testify that Nomura Zaibatsu did not appoint any Director of the Nomura Securities Co. except President (the highest responsible director).
2. Memorandum written by the former President, Mr. Seizo Iida.	The same as above.
3. List of the Directors of Gomei.	To testify that the representatives of the Securities' Company had no connection with Gomei.
4. Certificate indicating there was no inter-company exchange of personnel. (Memorandum of Gomei No. 2)	To testify that Nomura Securities' never exchanged its personnel with other companies.
5. List of subscribers to stocks at the time of the expansion of the Nomura Zaibatsu enterprises.	To testify that Nomura Securities did not participate in the expansion of Zaibatsu enterprises.
6. List of the Directors of the Company.	To testify that the "dispatched directors" held minor weight.
7. A part of the Company's Articles of Incorporation.	The same as above.
8. Certificate by the Nomura Gomei to testify I did not hold position of directorship in more than four affiliate companies. (Memorandum of Gomei No. 1)	To testify in regard to Item 4, Article 7.
9. Koseki Tohon (family record).	To testify in regard to Item I, Article 7.
10. Certificate indicating that my appointment as Managing Director was approved by H. O. L. C.	
11. List of the Nomura Securities principal financial source.	To testify that the financial relation with Nomura Zaibatsu was remote.

12. Certificate that the Gomei excercised no share voting (Memorandum of Gomei No. 3)	To testify that in actuality the Gomei Co., big shareholder of the Securities Co. had entirely entrusted the excercise of her voting power to the Securities Co. (It was particularly the case when Okumura and Amenemori were elected directors, for all the voting powers connected with the Nomura, including that of the Gomei were wholly entrusted to the Nomura Securities Co. In other words the Nomura Zaibatsu had nothing to do with the election.
13. Certificate to indicate that no shareholder meeting was held in the period between April 12, 1945 and Sept. 2, the same year.	To testify that since Okumura and Amenemori assumed directorship the Gomei has in no way participated in the policies of the Securities Co.

List of Appendix

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9. Koseki Tohon (Family record)	To testify in regard to Item I, Article 7.
IO. Certificate indicating that my appointment as Managing Director was approved by H. C. L. C.	
II. List of the Nomura Securities' principal financial source.	To testify that the financial relation with Nomura Zaibatsu was remote.

This is to certify that in the nomination and election of the highest responsible officers of the related companies, the Nomura & Co., have made suggestions and recommendations up to the time of the surrender.

However, the policy of the Nomura & Co., after the surrender was changed to comply with the objective of removing all zaibatsu control in which it was decided that there shall be no involvement in the affairs of the related companies.

As evidence of this act, the Articles of Incorporation was amended on December 5, 1945 which abolished the clause dealing with the Regulation for Direction and Control of the Related Companies.

Since then, the Nomura & Co., has not had any connections with the election of officers of the related companies.

The above is a true and correct statement of facts.

For the NOMURA & CO.

Kamada.

January __ 1948.

5 February 1948

To The Screening Committee of the Officers of Zaibatsu Interest.

Memorandum

I was President of the Nomura Securities Company,Ltd. during the period between 3 October 1941 and 13 August 1947. During this period I have often selected Directors of said Company. They were first selected as candidates for Directors upon my recommendation and after having obtained the agreement of the board of Directors,their appointments were confirmed in the share-holder's general meetings.

I testify that their appointments have never been subject to approval of Nomura Gomei Company or any member of Nomura families either prior to or after such appointments.

Especially in regard to the Directors promoted from employees, the appointments were made after taking consideration of such factors as the period of their services,their merits in works and their characters. Most of them were the Directors in charge of business matters. In addition to President,sometimes Managing Directors (Senmu or Jomu) were authorized to represent the Company but nobody else was given the power to represent the Company.

I hereby take oath and certify that the above was my policy on the selection of Directors and that was what actually took place during my office as President of the Nomura Securities Company Ltd.

Seizo Iida.

Mr. Seizo Iida

Former President of Nomura Securities Company Ltd.
Born on 22. August 1894
Adress : No. 1-Chome, Fukasawa-cho, Setagaya-ku, Tokyo.

List of Directors of the Nomura Gomei From 1937.

Year	Position	Name	Incorporation represented by	Position in Incorporation
1937	President	Nomura Tokushichi	Nomura Gomei Co.	President
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman
	Manager	Nomura Keiji	Nomura Life Insurance Co.	President
	Managing Director	Yamanouchi Mitsugu	Nomura Gomei Co.	
1938	President	Nomura Yoshitaro	Nomura Gomei Co.	President
	Staff	Nomura Fumihide	Nomura Gomei Co.	
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman
	Manager	Hirose Yasutaro		
	Managing Director	Yamanouchi Mitsugu	Nomura Gomei Co.	
1939	President	Nomura Yoshitaro	Nomura Gomei	President
	Staff	Nomura Fumihide	Nomura Gomei	
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman
	Manager	Nomura Keiji	Nomura Life Insurance Co.	President
	Manager	Hirose Yasutaro		
1940	President	Nomura Yoshitaro	Nomura Gomei	President
	Staff	Nomura Fumihide		
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman

	Manager	Nomura Keiji	Nomura Lif Insurance Co.	President
	Manager	Hirose Yasutaro		
	Managing Director	Yamanouchi Mitsugu	Nomura Gomei Co.	
	Director	Nishimura Katsutaro		
	Executive Director	Hosoda Shuzo	Nomura East Indies Colonial Co.	Managing Director
1941	President	Nomura Yoshitaro	Nomura Gomei Co.	President
	Staff	Nomura Fumihide		
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman
	Manager	Nomura Keiji	Nomura Life Insurance Co.	President
	Managing Director	Yamanouchi Mitsugu	Nomura Gomei Co.	
	Executive Director	Tsutsumi Kazuyuki		
	"	Hosoda Shuso	Nomura East Indies Colonial Co.	
	Director	Yoshino Kumata	Nomura Gomei Co.	
1942	President	Nomura Yoshitaro	Nomura Gomei Co.	President
	Staff	Nomura Fumihide		
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman
	Manager	Nomura Keiji	Nomura Life Insurance Co.	President
	"	Nomura Kozo	Nomura East Indies Colonial Co.	Executive Director
	Director	Kumada Yoshiro	Nomura Mining Co.	Managing Director

	Managing Director	Yamanouchi Mitsugu	Nomura Gomei	
	Executive Director	Tsutsumi Kazuyuki	Nomura Gomei	
	"	Hosoda Shuzo	Nomura East Indies Colonial Co.	Managing Director
1943	President	Nomura Yoshitaro	Nomura Gomei Co.	
	Staff	Nomura Fumihide	Nomura Gomei	
	Vice - President	Nomura Motogoro	Nomura Bank	Chairman
	Manager	Nomura Keiji	Nomura Life Insurance Co.	President
	"	Nomura Kozo	Nomura East Indies Colonial Co.	Executive Director
	Managing Director	Yamanouchi Mitsugu	Nomura Gomei	
	Executive Director	Tsutsumi Kazuyuki	Nomura Gomei Co.	
	"	Hosoda Shuzo	Nomura East Indies Colonial Co.	Managing Director
1944	President	Nomura Yoshitaro	Nomura Gomei	
	Staff	Nomura Fumihide		
	Vice - President	Nomura Keiji	Nomura Life Insurance Co.	
	Manager	Nomura Motogoro	Nomura Bank	Chairman
	"	Nomura Kozo	Nomura East Indies Colonial Co.	Executive Director
	General Affairs Director	Hara Kunimichi	Nomura Bank	Chairman

	Managing Director	Yamanouchi Mitsugu	Nomura Gomei	
	Executive Director	Hosoda Shuzo	Nomura East Indies Colonial Co.	Managing Director
	Director	Noguchi Tomizo	Nomura Gomei Co.	
	Director	Bunya Koichi	Nomura Gomei Co.	
1945	Staff	Nomura Fumihide	Nomura Gomei Co.	
	President	Nomura Motogoro	Nomura Bank	Chairman
	Vice - President	Nomura Keiji	Nomura Life Insurance Co.	President
	Manager	Nomura Kozo	Nomura East Indies Colonial Co.	Vice-President
	General Affairs Director	Hara Kunimichi	Nomura Bank	Chairman
	Managing Director	Yamanouchi Mitsugu	Nomura Gomei Co.	

Certification

February 5 , 1948.

Mr. Okumura and Mr. Amemori, in the application already submitted for recognition as non-official of Zaibatsu state that there has been no inter-affiliate change of personnel in the Zaibatsu. Of cause the fact can be reasonably certified on the side of the Nomura Securities Company. We, the Nomura Gomei, also certify that it has held true to the Nomura Securities Company.

Mk.

Secretary of the Nomura Gomei.

Kamada.

List of subscribers to stocks at the expansion of the Nomura Zaibatsu enterprises.

I. Nomura Gomei Company.

Capital : ¥ 20,000,000

The Date of establishment : IIth March I922.

Names of subscribers and their each amount of investment :

Nomura Tokuichi	¥ II,333,334
Nomura Minoru	6,666,666
Nomura Motogoro	2,000,000
Total	20,000,000

2. Nomura Bank.

Capital : ¥ I0,000,000

200,000 shares.

Date of establishment : I5 May I9I8.

Names of subscribers and their each amount of subscription :

Nomura Tokushichi	I05,750 shares
Nomura Jitsusaburo	66,I00
Nomura Motogoro	26,600
Shibayama Washio	750
Hashimoto Kisaku	500
Mishima Narajiro	I50
Ozawa Fukusaburo	I50
Total	200,000 shares.

3. Nomura East Indies Colonial Company Limited.

Simplified history of this Company :

The original corporation of this Company was established on July I9I7, changed the system to the stock company called Holland Dominion

Borneo Rubber Company Ltd. (Juridical person in Holland) on March 1920. On march 1930, it changed the name to Nomura East Indies Colonial Company Ltd. and its nationality was removed into Japan on 1st April 1944, and set out as a Juridical person in Japan proper on 15th April 1944.

Date of establishment : 15th April 1944.

Names of subscribers and their each amount of subscription :

Nomura Tokushichi	280,000 shares
Nomura Yoshitaro	5,000
Nomura Keiji	113,330
Nomura Motogoro	40,000
Yamanouchi Mitsugu	1,270
Nomura Kouzo	20,000
Hosoda Shuzo	200
Mitsutake Yuma	200
Nomura Gomei	140,000
Total	600,000 shares.

4. Nomura Securities Company Ltd. (separated from the Security Department of Nomura Bank).

Date of establishment : 27th November 1925

Capital : ¥ 5,000,000

100,000 shares.

Names of promoters and their each amount of subscription :

Representative
Staff Nomura Gomei Co.

Nomura Tokushichi	98,000 shares
Nomura Tokushichi	800
Nomura Motogoro	200
Shibayama Washio	200

Kataoka Otogo	200
Matsushima Juukichi	200
Hashimoto Kisaku	200
Hashimoto Shozo	200
Total	I00,000

5. Nomura Shoe manufacturing Company Ltd.

Capital : ¥ 350,000

Simplyfied history of the Company :

October I924, Mr. Miyazawa Taneo and one hundred members established the Tokyo Standard Shoe Manufacturing Company with the authorised capital ¥ 500,000 and the capital paid up ¥ 375,000. The promoters subscribed to 7,980 shares and the remainder of them were subscribed publicly.

Whole number of stocks : I0,000 shares.

November I927, Nomura Lineage participated with the management of this enterprise.

Holding stock of the Nomura Gomei Co. 3,989 shares

Stock held by the directors (Okazaki and Ozawa) I04

Total 4,093 shares.

- Date of establishment :

Oct. I924.	Tokyo Standard Shoe Manufacturing Company Ltd.
Nov. I927.	Participation of Nomura Lineage with the management.
Oct. I942.	changed the name to " Nomura Shoe Manufacturing Company Ltd."
Feb. I946.	change the name to " Standard Shoe Manufacturing Company Ltd."

Names of Stock holders and their each holding stocks at Nov. I927.

Nomura Gomei Co. Representative staff Nomura Tokushichi	3,989 shares

Okazaki Ippei	52
Ozawa Fukusaburo	52

6. Nomura Trading Company Ltd.

Simplified history :

6th March I929 Established with the trade mark " Yamato Toohi Sangyo Kabushiki Kaisha (Yamato Estate Industrial Company)

(Capital : ¥ 5,000,000 fully paid up)

2nd June I930 Increased the capital amount to ¥ I0,000,000 (fully paid up).

I0th July I936 Changed the name to " Yamato Industrial Company "

Ist March I94I Amalgamated with the Nomura Forestry Company Ltd.(established on August I924. Fully paid up) Capital amount became ¥ I5,000,000 carried out the forestry business in Korea.

Ist June I94I Decreased the capital ¥ 5,000,000 to ¥ I00,000,000

Ist Jan. I942 Changed the name to Nomura Colonial Trading Company ltd.

3rd June I943 Amalgamated with the " Nihon Kato Trading Company (capital ¥ 300,000 fully paid up). Tha capital became ¥ I0,300,000.

I6th Aug. I943 Decreased the capital to ¥ I0,000,000.

I0th Oct. I946 Changed the name to Nomura Trading Company.

The date of establishment :

6th March I929

Names of subscribers and the number of shares subscribed.

Nomura Tokushichi	43,055 shares
Nomura Minoru	3I,746
Nomura Motogoro	4,688

Ozawa Fukusaburo	50
Ozaki Tanetaro	50
Sato Tetsu	50
Imai Josaburo	30
Okazaki Ippei	30
Kosasa Jirokichi	30
Maeda Kinya	30
Nomura Gomei Co.	20,241
Total	100,000

7. Choya Shirts Manufacturing Company Ltd.

Simplified history :

October 1921	Succeeded the " Shioya Shokai "Company Ltd (established on 1885)
November 1932	Established new company with the capital ¥ 500,000 fully paid up.
January 1940	provided the control of transfere of the Company's Stock in the 10th Article of the company's constitution.
June 1943	Increased the capital ¥ 400,000 and the capital became ¥ 900,000 fully paid up.

The Date of establishment : 28th November 1932.

Promoters:

Yamanouchi Mitsugu
Kumada Yoshiro
Nomura Yoshitaro
Fuji Ryoji
Shibayama Yoshiji
Kobayashi Tokichi
Fujisawa Saburo
Noguchi Tomizo
Uemura Osamu

Subscribers:

Nomura Gomei Co.	9,250 shares
Yamanouchi Mitsugu	100
Kumada Yoshiro	100
Nomura Yoshitaro	100
Fuji Ryoji	100
Shibayama Yoshiji	100
Kobayashi Tokichi	100
Fujisawa Saburo	50
Noguchi Tomizo	50
Uemura Osamu	50
Total	10,000 shares

8. Nomura Life Insurance Company Ltd.

Capital ¥ 2,000,000

Date of establishment : I9th February I895.

The Name	Shinshu Shinto Life Insurance Co.Ltd.
July I9I4	changed to Kyoto Life Insurance Co.
I6th April I934	Nomura Zaibatsu participated with the management of the business.
20th Sep. I934	Changed the Name to Nomura Life Insurance Co. Ltd.

Names of stock holders and the numbers of shares held by them who are interested with the Nomura Zaibatsu on 30th September I934.

Nomura Gomei Co. representative Staff

Nomura Tokushichi	7,550 shares
Nomura Tokushichi	I,000
Nomura Motogoro	I,000
Nomura Yoshitaro	I,000
Nomura Keiji	I,000
Kataoka Otogo	500
Shibayama Washio	500
Yamanouchi Mitsugu	500
Matsushima Junkichi	500
Nishimura Katsutaro	500
Tominari Miyakichi	50

9. Nomura Mining Company Ltd.

Date of establishment : 5th April I939.

Capital:

April I939 when established
¥ 2,000,000

May I94I when the capital increased
¥ 4,000,000

April I942 when the capital increased
¥ I0,000,000

February I944 when the capital increased
¥ 25,000,000

Subscribers:

Nomura Tokushichi	I4,000 shares
Nomura Yoshitaro	6,000
Nomura Keiji	6,000
Nomura Motogoro	5,000
Yamanouchi Mitsugu	2,000
Kumada Yoshiro	2,000
Aoki Torao	2,000
Bunya Kooichi	500

Noguchi Tomizo	2,000
Uemura Osamu	500

10. Nomura Steel Manufacturing Company Ltd.

Date of establishment : 25th May 1938.

Removed the management to Nomura Zaibatsu : 20 August 1940.

Changed the Name : 1st June 1941.

Capital : ¥ 7,500,000

11. Nomura Construction Industry Company Ltd.

Date of establishment : 31st August 1945.

Promoters :

Nomura Tokushichi
Nomura Keiji
Nomura Motogoro
Hara Kunimichi
Yamanouchi Mitsugu
Hayashi Masao
Hirai Jiichi

Subscribers and the amount subscribed :

Nomura Tokushichi	6,000 shares
Nomura Keiji	1,000
Nomura Motogoro	1,000
Hara Kunimichi	500
Yamanouchi Mitsugu	500
Hayashi Masao	500
Hirai Jiichi	500
Nomura Bank	50,000
Nomura Gomei	160,000
Nomura Life Insurance Co. Ltd.	180,000
Total	400,000 shares

12. Nitto Kogyo Company Ltd.

Simplified history :

March 1939	Started as the "Nitto Seiko Company Ltd."
October 1943	Changed the name to the Nitto Koku Kogyo Company Ltd.
November 1943	Changed the name to theNitto Kogyo Co. Ltd.

Date of establishment : 25th March 1939.

Promoters:

Nomura Hachiro
Shiba Toyojiro

Noguchi Tomizo
Bunya Kooichi
Mitsutake Yuma

Although there exist Meiji Seikaku Company ,Toyo Paper Manufacturing Company appointed from Nomura Zaibatsu, Nomura Securities Company has not subscribed to their stock at the establishment.

List of Directors of the Nomura Securities Co. to Sept. 1946 from 1942.

Note :

I. Persons who were marked (x) in this List are "directors dispatched by Zaibatsu" and other persons marked (o) to be screened.

2. Ratio stated in this List is of directors dispatched by Zaibatsu against disectors from employees. Although this ratio is of construction of all directors, actual management of the company is provided in Corporation Law and Constitution of this company Article 26 to be taken by the board of directors.

Then please look at the ratio of construction of the board of directors. You should be able to know that directors dispatched by Zaibatsu is one third of all directors and how low their weights at the decision of board might be.

Particularly the following fact will testify that the appointment of Mr. Okumura and Amemori was not controlled by Zaibatsu personaly. The board of directors in October 1944 in which they, two persons, were appointed, was constructed with 2 directors dispatched by Zaibatsu and 8 directors from employees.

June 1942.

I.	directors dispatched		4
II.	directors from employees		7
	Ratio of construction of	I.	2
	the board of directors	II.	6

President	Iida Seizo
Managing Director	Niwa Minoru
" "	Oyama Kenkichi
Director (x)	Nomura Motogoro
" (x)	Yamanouchi Mitsugu

Director		Ota Tokujuro
"		Takagaki Goichi
"		Takahashi Kaname
Standing Auditor	(x)	Nomura Yoshitaro
"	(x)	Matsushima Junkichi

December 1942.

I.	Directors dispatched by Zaibatsu	5
II.	Directors from employees	6
	Ratio of construction of the board of directors	I. 3 II. 6
President		Iida Seizo
Managing Director		Niwa Minoru
" "		Oyama Kenkichi
Director (x)		Nomura Motogoro
" (x)		Yamanouchi Miteugu
" (x)		Kumamoto Ishizo
"		Ota Tokujuro
"		Takagaki Goichi
"		Takahashi Kaname
Auditor (x)		Nomura Yoshitaro
"		Matsushima Junkichi
"		Hamano Eiichi

June 1943.

I.	Directors dispatched by Zaibatsu	5
II.	Directors from employees	7
	Ratio of construction of the board of directors	I. 3 II. 6
President		Iida Seizo
Managing Director		Niwa Minoru

Managing Director		Takahashi Kaname
Director	(x)	Nomura Motogoro
"	(x)	Yamanouchi Mitsugu
"		Kumamoto Ishizo
"		Takagaki Goichi
Auditor	(x)	Nomura Yoshitaro
"	(x)	Matsushima Junkichi
"		Hamano Eiichi

October 1943.

I.	Directors dispatched by Zaibatsu	5
II.	Directors from employees	9
	Ratio of construction of the board of directors	I. 2 II. 6

President		Iida Seizo
Managing Director		Oyama Kenkichi
"		Ota Tokujuro
"		Takahashi Kaname
Director	(x)	Nomura Motogoro
"	(x)	Yamanouchi Mitsugu
"		Takagaki Goichi
"		Sugimoto Takashi
"		Inada Minoru
"		Komatsubara Yusaku
Auditor	(x)	Nomura Yoshitaro
"	(x)	Matsushima Junkichi
"		Niwa Minoru
"	(x)	Kumamoto Ishizo

April 1944.

I. Directors dispatched by Zaibatsu	5	
II. Directors from employees	8	
Ratio of construction of the board of directors	I. 2	II. 8
President		Iida Seizo
Managing Director		Oyama Kenkichi
"		Ota Tokujuro
"		Takahashi Kaname
Director (x)		Nomura Motogoro
" (x)		Yamanouchi Mitsugu
"		Takagaki Goichi
"		Sugimoto Takashi
"		Inada Minoru
"		Komatsubara Yusaku
Auditor (x)		Nomura Yoshitaro
" (x)		Matsushima Junkichi
" (x)		Kumamoto Ishizo

October 1944.

I. Directors dispatched by Zaibatsu	5	
II. Directors from employees	8	
Ratio of construction of the board of directors	I. 2	II. 8
President		Iida Seizo
Managing Director		Oyama Kenkichi
"		Ota Tokujuro
"		Takahashi Kaname

Director	(x)	Nomura Motogoro
"	(x)	Yamanouchi Mitsugu
"		Takagaki Goichi
"		Sugimoto Takashi
"		Inada Minoru
"		Komatsubara Yusaku
Auditor	(x)	Nomura Yoshitaro
"	(x)	Matsushima Junkichi
"	(x)	Kumamoto Ishizo

May 1945.

I. Directors dispatched by Zaibatsu	4
II. Directors from employees	8
Ratio of construction of the board of directors	I. 2 II. 7

Chairman	(x)	Hara Kunimichi
President		Iida Seizo
Managing Director		Oyama Kenkichi
"		Takahashi Kaname
"		Komatsubara Yusaku
Director	(x)	Nomura Motogoro
"		Sugimoto Takashi
(o) Director		Okumura Tsunao
(o) Director		Amemori Tsunejiro
Standing Auditor		Ota Tokujuro
Auditor	(x)	Nomura Yoshitaro
"	(x)	Yamanouchi Mitsugu

October 1945.

I. Directors dispatched by the board of directors		0
II. Directors from employees		7
Ratio of construction of the board of directors	I.	0
	II.	5
President		Iida Seizo
Managing Director		Takahashi Kaname
"		Komatsubara Yusaku
Director		Okumura Tsunao
"		Amemori Tsunejiro
Standing Auditor		Oyama Kenkichi
Auditor		Hirayama Ryotaro

May 1946.

I. Directors dispatched by the board of directors		0
II. Directors from employees		7
Ratio of construction of the board of directors	I.	0
	II.	5

September 1946.

I. Directors dispatched by Zaibatsu		0
II. Directors from employees		12
Ratio of construction of the board of directors	I.	0
	II.	II
President		Iida Seizo
Managing Director		Takahashi Kaname

Managing Director	Komatsubara Yusaku
Director	Okumura Tsunao
"	Amemori Tsunejiro
"	Hirayama Ryotaro
"	Tsujioka Masaharu
"	Shibata Kyoji
"	Sakamoto Chitaru
"	Segawa Minoru
"	Sekiguchi Keitaro
Standing Auditor	Oyama Kenkichi

A copy of a part of the constitution provided "officers".

Chapter IV
Officers

Article 20. The number of Directors shall not exceed ten and that of Auditors five. They shall be elected at the general meetings of shareholders.

The election, release or retirement of Directors shall be approved by the incorporation of Japan Securities Exchange.

Article 21. One Chairman, one President and some Managing and Executives Directors shall be elected from among the Directors.

The President of Directors shall represent the Company and moreover some Representative Directors may be elected from among the directors if it is necessary.

Article 22. One Standing Auditors may be elected from among the Auditors.

Article 23. On the recommendation of the board of Directors and Councellors may be appointed.

Article 24. The term of office of a Director shall be three years, and that of the Auditors two years. If their term of office however, should be expired before the ordinary general meeting, the term of office shall be postponed until the meeting shall be ended.

Article 25. Even in the vacancy of any Director or Auditor, by election may not be necessary so long as the member remaining in office makes the requisite quorum, provided their number be deemed sufficient for the due performance of their duties.

The term of officers elected by the by-election shall be the remaining period of its predecessor.

Article 26. Questions submitted to the meeting of the board of Directors shall be decided by a majority of votes of more than half of the Directors present and in case of a tie, the President of Directors shall have a casting vote.

Article 27. Any Director, with an approval of the Board of Directors, may accept a membership of unlimited liability or a directorship of other company engaging in business similar to that of this company.

Article 28. The rewards of Directors and Auditors shall be decided by a resolution of the general meetings of shareholders.

Certification

February 5 , 1948.

We hereby certify that with regard to " positions concurrently held in Zaibatsu companies " as stipulated in Article 7, Item 4 of the Law for Termination of the Zaibatsu Family Control , the following two persons have never been any more than plain directors without occupying any other position in any other company of the Nomura:

Okumura Tsunao,

Director of the Nomura Securities Company.

Amemori Tsunejiro,

same.

Secretary of the Nomura Gomei.

M Kawada.

Borrowed Money

Nomura Securities Co., Ltd.

Date of closing Balance	Total Amount	Sum of money borrowed from Nomura Bank	Ratio to the total Amount	Order	Chief lender for Nomura Securities Co.	Amount
1937/5	60,384	500	0,8	21	Ueda Firm	12,400
					National City Bank	4,800
					Mitsubishi Bank	3,650
					Mitsui Trust Co.	3,350
					Kobe Bank	3,100
1937/11	48,475	0	-		Ueda Firm	8,100
1937/11	48,475	0	-		Mitsubishi Trust Co.	3,260
					Koden Securities Co.	3,000
					Mitsui Trust Co.	2,500
1938/5	61,372	2,800	4,6	6	Ueda Firm	11,500
					Mitsubishi Bank	9,500
					Daiichi Bank	5,600
					Mitsubishi Trust Co.	5,260
					Mitsui Bank	2,850
1938/11	72,062	1,500	2,1	13	Mitsubishi Bank	9,800
					Daiichi Bank	9,000
					Ueda Firm	7,150
					Mitsui Trust Co.	7,050
					Mitsui Bank	5,150
					Sanwa Bank	4,000
1939/5	89,955	3,900	4,3	8	Ueda Firm	12,300
					Mitsubishi Bank	11,100
					Mitsui Bank	8,350
					Daiichi Bank	8,200
					Mitsui Trust Co.	8,150
1939/11	97,616	0	-		Ueda Firm	25,280
					Mitsui Bank	4,600
					Kanagawa Agriculture & Industry Bank	3,900
					Nihon Insurance Co.	3,000
1940/5	55,429	0	-		Ueda Firm	3,500
					Mitsui Trust Co.	3,100

					Mitsubishi Bank	9,590
					Daiichi Bank	5,600
					Mitsubishi Trust Co.	5,260
					Mitsui Bank	2,850
1938/II	72,062	1,500	2,1	13	Mitsubishi Bank	9,800
					Daiichi Bank	9,000
					Ueda Firm	7,150
					Mitsui Trust Co.	7,050
					Mitsui Bank	5,150
					Sanwa Bank	4,000
1939/5	89,955	3,900	4,3	8	Ueda Firm	12,300
					Mitsubishi Bank	11,100
					Mitsui Bank	8,350
					Daiichi Bank	8,200
1939/II	97,616	0	-		Mitsui Trust Co.	8,150
					Ueda Firm	25,280
					Mitsui Bank	4,600
					Kanagawa Agriculture & Industry Bank	3,900
1940/5	55,429	0	-		Nihon Insurance Co.	3,000
					Ueda Firm	3,500
					Mitsui Trust Co.	3,100
					Mitsui Bank	3,000
					Kanagawa Agriculture & Industry Bank	3,000
1940/II	82,405	0	-		Ueda Firm	13,450
					Nanto Bank	5,600
					Kanagawa Agriculture & Industry Bank	3,900
					Nikko Securities Co.	3,760
					Mitsubishi Trust Co.	3,150
					Sumitomo Bank	3,000
1941/5	51,903	0	-		Kogyo Bank	5,549
					Mitsubishi Trust Co.	5,000
					Ueda Firm	4,700
					Nanto Bank	4,600
					Mitsubishi Bank	3,200
1941/II	75,022	0	-		Ueda Firm	23,650
					Kogyo Bank	7,043
					Nanto Bank	5,000
					Mitsubishi Trust Co.	3,200
					Daiichi Chohei Life Insurance Co.	3,000

1942/5	86,085	0	-		Ueda Firm	31,400
					Nanto Bank	6,000
					Daiichi Chohei Life Insurance Co.	5,300
					Kobe Bank	5,800
					Mitsubishi Bank	3,500
1942/11	117,170	400	0,3	20	Ueda Firm	57,050
					Nanto Bank	6,000
					Daiichi Chohei Life Insurance Co.	5,300
					Mitsui Trust Co.	4,000
					Kobe Bank	3,700
					Mitsubishi Trust Co,	3,450
					Sumitomo Trust Co.	3,000
					Nikko Securities Co.	3,110
1943/5	115,824	1,000	0,9	15	Ueda Firm	57,150
					Nikko Securities Co.	6,814
					77 Bank	6,000
					Daiichi Chohei Life Insurance Co.	5,300
					Nanto Bank	5,100
					Mitsui Trust Co.	3,000
1943/9	115,658	0	-		Nikko Securities Co.	9,447
					Nanto Bank	5,100
					Daiichi Chohei Life Insurance Co.	5,300
					Ueda Firm	4,980
					Kinki Mujin	2,570
1944/3	119,600	0	-		Ueda Bill Broker	39,250
					Nikko Securities Co.	7,936
					77 Bank	6,000
					Daiichi Chohei Life Insurance Co.	5,300
					Nanto Bank	5,100
					Kinki Mujin	4,700
1944/9	76,569	0	-		Ueda Bill Broker	11,300
					Kinki Mujin	10,500
					Mitsubishi Trust Co.	9,500
					Nanto Bank	5,100
					Bank of Japan	5,000

					Mitsui Trust Co.	3,000
	I943/9	II5,658	0	-	Nikko Securities Co.	9,447
					Nanto Bank	5,I00
					Daiichi Chohei Life Insurance Co.	5,300
					Ueda Firm	4,980
					Kinki Mujin	2,570
	I944/3	II9,600	0	-	Ueda Bill Broker	39,250
					Nikko Securities Co.	7,936
					77 Bank	6,000
					Daiichi Chohei Life Insurance Co.	5,300
					Nanto Bank	5,I00
					Kinki Mujin	4,700
	I944/9	76,569	0	-	Ueda Bill Broker	II,300
					Kinki Mujin	I0,500
					Mitsubishi Trust Co.	9,500
					Nanto Bank	5,I00
	[illegible]	[illegible]	[illegible]	[illegible]	Bank of Japan	5,000
	I945/3	I08,50I	300	0,3	Ueda Bill Broker	40,I00
					Kinki Mujin	I5,I00
					Kogyo Bank	II,200
					Nikko Securities Co.	9,398
					Nanto Bank	6,I00
					Daiehi Bank	4,700
					77 Bank	4,000
					Ikeda Trading Co.	3,600
	I945/9	78,069	300	0,4	Ueda Bill Broker	26,200
					Nikko Securities Co.	I5,0I6
					Nanto Bank	9,400
					Kinki Mujin	6,230
					Sumitomo Bank	2,500
					Daiichi Chohei Life Insurance Co.	2,500
	I946/3	42,087	0	-	Ueda Bill Broker	I2,I00
					Nanto Bank	5,300
					Kinki Mujin	2,830
					Daiichi Chohei Life Insurance Co.	2,500
					Kiyo Bank	2,500
	I946/8	20,460	0	-	Nanto Bank	7,I00
					Yagi Bill Broker	3,500
					Kinki Mujin	2,830
					Kiyo Bank	2,000

Borrowed Securities

Nomura Securities Co., Ltd.

Date of closing balance	Total Amount	Sum of Securities borrowed from Nomura Bank	Ratio to the total amount	Chief lender for Nomura securities Co.	Amount
I937/5	900	0	-		
I937/II	5,342	0	-		
I938/5	I0,749	0	-		
I938/II	I7,657	I,I70	6,6	Takamatsu II4 Bank	2,250
I939/5	I8965	0	-		
I939/II	25,725	0	-		
I940/5	2I,4I6	0			
I940/II	I8,734	0			
I94I/5	I9,05I	0			
I94I/II	I9,8I9	0			
I942/5	29.305	0			
I942/II	40,397	0			
I943/5	52,2I8	0			
I943/9	49,295	0			
I944/3	46,426	0			
I944/9	37,823	0			
I945/3	44,536	0			
I945/9	36,947	2,700	7.3	Shizuoka Bank	6,300
				Yasuda Trust Co.	3,600
I946/3	36,045	2,700	7,5	Mitsui Trust Co.	4,500
				Yasuda Trust Co.	3,600
I946/8	4I,8I7	2,700	7,5	Gunma Daido Bank	I3,500
				Mitsui Trust Co.	4,500
				Yasuda Trust Co.	3,600

Copy

February 5 1948

Mr. Tadao Sasayama,
Chairman,
The Holding Company Liquidation Commission.

Request for Certification

Dear Sir,

In accordance with the Imperial Ordinance of January 4, 1947, all officers of our Company who were at that time on the Board of Directors were placed under examination for the qualifi cation to maintain their offices. As a result of such examination or screening, four officers, i.e. Mr. Seizo Iida, President; Mr. Kaname Takahashi, Managing Director (Semmu-Torishimariyaku); Mr. Tomosaku Komatsubara, Managing Director (Jomu-Torishimariyaku); and Mr. Kenkichi Oyama, Standing Auditor were designated as purgees, while the remaining eight officers (all ex-employees), including Mr. Tsunao Okumura, Kyoto Branch Manager and Mr. Tsunejiro Amenomori, Chief of Business Department of Osaka Head Office were given decision as not falling under purge directive.

Having been necessitated to reorganize the Board of Directors, the General Shareholders' Meeting was held on August 13, 1947 and voted to appoint Mr. Tsunao Okumura as Managing Director (Semmu-Torishimariyaku) and Mr. Tsunejiro Amenomiya as Managing Director (Jomu-Torishimariyaku), both of them to be stationed at Tokyo Office and Seiji Kojima (ex-employee) as Standing Auditor.

We hereby request you to certify that the above procedure was approved by the Holding Company Liquidation Commission which had become a large share-holder of our Company.

Yours respectfully,

The Nomura Securities Company, Ltd.

Tsunao Okumura

(Tsunao Okumura)
Managing Director (Semmu-Torishi-mariyaku)

Tsunejiro Amenomiya

(Tsunejiro Amenomiya)
Managing Director (Jomu-Torishi-mariyaku)

Certified by

T Sasayama

Chairman Holding
Company Liquidation
Commission

Date 15 March 19 48

ASSIGNED CES 24.5. 4105- SEC. 3(E) AND 3(D) OR (E) AND # 75-672

Certification

date

It is true that the Nomura Gomei(Partner-ship) is listed as a big shareholder of the Nomura Securities Company. In actuality,however,the voting has seldom been exercised. Whenever a general shareholder meeting is called for, almost all votes have been delegated to the Securities Company. The fact will be evidently identified with the resolution of the general shareholder meetings of the Company. We,under the name of the Nomura Gomei, also certify the above. It might be added that all the votes of the Nomura interest were delegated entirely to the Securities Company in the general shareholder meeting of April 30 , 1945 when Mr. Okumura and Mr. Amemori, both filing application for recognition of non Zaibatsu official,were elected directors of the Company.

In this connection we also certify that in the designated period there has never been made any proposal on our side toward the Securities Company calling for a general shareholder meeting in an intent to show any interest of the Gomei who is a big shareholder of the Securities Company.

We.

Secretary of the Nomura Gomei.

Nomura.

February 5, 1948

MEMORANDUM

Since April 12, 1945 when the Board of Directors Meeting of the Company recommended the appointment of Mr. Tsunao Okumura and Mr. Tsunejiro Amemiya as new directors which was subsequently decided by the General Share-holders' Meeting on April 30, 1945 until October 10, 1945 when the 40th Board of Directors Meeting was held, this Company never held a Board of Directors Meeting.

The fact that the Board of Directors Meeting was never held during the period between April 30, 1945 when the above-mentioned persons were elected the directors and September 2, 1945 which date is designated by the Elimination of Zaibatsu Family Control Law, proves that the above-mentioned persons never participated in the policy making matters of the Company during this period.

I am fully prepared to submit the official records of the resolutions made by the Board of Directors Meetings of the Nomura Securities Company, Ltd. (during the period between 1930 and August 1947), whenever I am requested to do so in order to prove the above-mentioned facts.

The Nomura Securities Company, Ltd.

Kotaro Onoki

Chief of the Miscellaneous Matters Department

(The responsible man to keep the records of the resolutions of the Board of Directors Meetings)

住友

APPROVED Apr. 5, 1948
承　認　昭和23年4月5日

受 23.2.5. 付

NAME Koichi Sano

No. 1449　Name of Company Tohoku Metal Industries Ltd.

個人調査書

（記載上の一般的注意）

一、本調査書は、三通提出しなければならない。

二、調査書は、日本文及び英文で記入する。その場合、英文記載事項は對應頁の日本文に照應するものとする。日英兩文間に相違がある場合は、英文によるものとする。

三、記載事項は、楷書（英文の場合は大文字活字體）で明瞭に記入しなければならない。

四、各記載事項は、空白のまゝにしないよう正確に且つ良心的に記入しなければならない。

五、各記載事項中該當事項のない場合は「該當しない」又は「該當事項なし」等の文句を用いて記入しなければならない。

六、記載すべき空欄に充分の餘白がない場合は、補助紙を用い、「補助紙に續く」等の字句を記入して、いずれの記載欄の補助紙として用いたかを明かにしなければならない。

七、この調査表の重要な事項について虚僞の記載をし又は事實をかくした記載をした者は、財閥同族支配力排除法第三十一條の規定により處罰せられる。

東北金屬工業株式會社　第　號

氏名　佐野廣一

個人調査書

一、姓名（振假名をつけること）　佐野廣一（ユウイチ）

二、從來使用し又は一般に通用している他の名稱（通稱、筆名等）　無し

三、生年月日（年齡數え年）　明治二十九年九月四日（五十三才）

四、出生地（都道府縣）　三重縣

五、現住所（略記しないこと）及び電話番號　宮城縣亘理郡亘理町舘南八三番地

六、本籍地（略記しないこと）　青森縣弘前市大字北瓦町二十七番地

Questionnaire

1. Name (In full).

KOICHI SANO

2. Other names which you have used or by which you have been known. (alias or penname).

NAUGHT

3. Date of birtn (age).

SEPTEMBER 4, 1896 (53)

4. Place of birth (prefecture).

MIE-KEN

5. Present address (in full) and telephone number.

83 TATEMINAMI, WATARIMACHI, WATARI-GUN, MIYAGI-KEN

6. Permanent address (in full).

27 KITAKAWARAMACHI, HIROSAKI, AOMORI-KEN

七、現に保有し又は就こうとする財閥、制限、従屬又は關係會社における役員としての地位

（一）會社の名稱及び財閥系統（昭和二十年九月二日以降稱號變更があつた場合は舊稱號を含む）

東北金屬工業株式會社　住友系

（二）財閥會社、制限會社、従屬會社又は關係會社の區分（財閥會社の場合には更に直系、準直系又は傍系の區分）

財閥會社（傍系）　従屬會社

（三）地位

專務取締役

（四）就任の豫定日

現任

八、前項の他本人の保有するすべての身分及び職業

無し

九、財閥としての指定者との親族關係

（一）關係の有無及び有りとすればその詳細（財閥同籍者との親族關係を含む。）

無し

（二）指定者か指定された日において指定者と同一戸籍内にあつたことの有無

無し

7. Position of official in company which you hold or for which you are under consideration.

a. Name of company and the lineage of Zaibatsu where the company belongs. (In case name of the company has been changed after 2 September 1945 the former name will also be given.)

TOHOKU KINZOKU KOGYO KABUSHIKIKAISHA
(TOHOKU METAL INDUSTRY CO., LTD.)

b. Classification of Zaibatsu, restricted, subsidiary or connected company (in the case of Zaibatsu company, the classification of the direct affiliate, indirect affiliate or associate company will also be given.)

ZAIBATSU COMPANY (~~INDIRECT AFFILIATE~~ ASSOCIATE
SUBSIDIARY

c. Position.

MANAGING DIRECTOR

d. Scheduled date of assumption of the position.

PRESENT

8. All other positions snd professions which you hold now.

NAUGHT

9. Family relationship with the persons designated as Zaibatsu.

a. Existence or not of the relationship and its details, if any. (including relationship with the Zaibatsu family members.)

NAUGHT

b. Whether or not you were on the same family register with the designated persons on the day of their designation.

NO

七、職業の履歴

註一、本欄の會社團體とは財閥會社に限らずあらゆる會社團體を含むものとし、團體中特に組合、協會、協議會等の經濟團體については詳細に記入すること

註二、職務內容に關し本人の地位から當然豫想せられる職務を事實上擔當していなかつた場合には本人が實際に擔當していた職務內容及び本人に代わり當該地位の管轄たるべき職務を事實上擔當していた者の氏名を記入すること

註三、本人が役員として又は役員の待遇の地位にて勤務した會社が財閥會社たる場合には、左の事項を附記すること
(1)本人の役員としての就任及び退任の時における當該會社の株式の一割以上の所有者の氏名及び持株率
(2)本人が勤務した期間における他の役員の氏名、地位及び就任退任年月日

就職及び退職日附	會社團體等の名稱	地位（職員たる場合を含む）	職務內容（詳細に）	會社團體等の事業內容及び所在地
大正一〇・四・五	住友電氣工業株式会社			大阪市 各種電燈電線製造
昭和一〇・五・一三	日本電氣株式会社	庶務課長		東京都 各種通信機器製造
〃 一三・二・八	〃	総務部副長 兼庶務課長	総務部―庶務課 會計課	
〃 一五・五・一	〃	人事部副長 兼人事課長	人事部―人事課、労務課 厚生課（部長補佐）	
〃 一七・六・二五	〃	三田製造所 事務部長	三田製造所ニ関スル庶務。原価、勤労、倉庫	

補即紙二枚中ノ一

附記

(一)私の役員としての就任の時に於ける本會社の株式の一割以上の所有者の氏名及び持株率

株主名	持株率
日本電氣株式會社	三九・八%
扶桑金屬工業株式會社	一二・九%

(二)私の勤務した期間に於ける他の役員の氏名、地位及び就任、退任年月日

氏名	地位	就任年月日	退任年月日
梶井剛	取締役會長	昭一三 九一七	昭二七 一三一
多田潔	取締役	〃	〃二二 一二三
米城榮一郎	監査役	〃	現任
榛葉久吉	取締役	昭一八 七三一	〃一九 九二九
	常務取締役	〃一九 九三〇	現任
六所靜一	取締役	〃一九 一三一	〃二〇 五三〇
渡邊直行	取締役	〃一九 一三一	〃二二 一一三
	常務取締役	〃二二 一一四	現任

補助紙二枚中ノ二

松田政	社長	昭二〇・一・二〇	現任
佐伯長生	取締役	〃	昭二一・二・八
湯井勇三	〃	〃	〃二一・二・五
竹内龜次郎	〃	〃	〃二一・一〇・九
尾見半左右	〃	〃二一・八・五	〃二一・一二・三
渡邊斌衡	〃	〃	〃二一・二・五
大西定彦	〃	〃二一・一〇・九	〃二二・一二・三
大野嘉市	〃	〃二二・二二〇	現任

〃一八・六・三	〃	玉川向製造所 副所長兼事務部長 勤労部長	玉川向製造所ニ関スル庶務 原価・勤労・倉庫	
〃二〇・九・二九	東北金属工業株式会社	総務部長	人事・労務・経理・庶務	仙台市 通信機用材料製造
〃二〇・一一・三〇	〃	事務取締役 総務部長		

補助紙二枚続ク

10. Chronological record of profession and employment.

Note 1: "Organization or company" mentioned in this column include any organization or company other than Zaibatsu company. With reference to organizations, relationship with economic organizations such as union, association or conference etc. will particularly be given in detail.

Note 2: In case you did not, in fact, handle duties for which you have been authorized, duties and powers which you actually handled and name of the person who dealt with duties originally authorized for you will be given.

Note 3: With reference to the Zaibatsu company where you served as official or as a person accorded with the status of official, the following entries are additionally required.

a. Name and stock-holding percentage of stock-holders owning 10 per cent or more of the total stock of the company at the time of your assumption of office and retirement.

b. Name, position and dates of appointment and retirement of other officials of the company during the period when you served.

Dates of employment and retirement.	Name of company or organization where you served.	Status of the position (including position as ordinary personnel.)	Duties and powers (in detail).	Substance of business of organization or company where you served and its location.
Apr 25/21	Sumitomo Electric Industries, Ltd.			Osaka Manufacture of wire & cables
May 13/35	Nippon Electric Co., Ltd.	General Affairs Division chief		Tokyo Manufacture of communication equipments
Feb 8/38	"	Assistant Chief of General Affairs Dept. & General Affairs Division Chief		
			General Affairs Dept. - General Affairs Div. - Accounting Div. - Purchase Div. - Labor Div.	
May 1/40	"	Asst Chief of Personnel Dept. & Personnel Division Chief		
			Personnel Dept. - Personnel Div. - Labor Div. - Welfare Div.	

Continued from Page 5.

a. Name and stock-holding percentage of stockholders owning 10% or more of the total stock of company at the time of my assumption of office.

Name of stockholders	Stock-holding percentage
Nippon Denki K.K.	39.8 %
Fuso Kinzoku Kogyo K.K.	12.9 %

b. Name, position and dates of appointment and retirement of other officials of the company during the period when you served.

Name	Position	Date of Appointment	Date of Retirement
Takeshi Kajii	Chairman of Board	Sept.17, 1938	Jan. 31, 1946
Kiyoshi Tada	Director	Sept.17, 1938	Jan. 23, 1947
Eiichiro Yoneki	Auditor	Sept.17, 1938	
Kyukichi Shimba	Director	July 31, 1943	Sept. 29, 1944
"	Standing Managing Director	Sept.30, 1944	
Seiichi Rokusho	Director	Jan. 31, 1944	May 28, 1946
Naoyuki Watanabe	Director	Jan. 31, 1944	Jan. 13, 1947
"	Standing Managing Director	Jan. 14, 1947	
Tsutomu Matsuda	President	Nov. 30, 1945	
Nagao Saeki	Director	Nov. 30, 1945	May 28, 1946
Yuzo Yanai	Director	Nov. 30, 1945	Dec. 15, 1946
Kamejiro Takeuchi	Director	Nov. 30, 1945	Oct. 9, 1947
Hanzo Omi	Director	Aug. 5, 1946	Jan. 23, 1947
Toshihide Watanabe	Director	Aug. 5, 1946	Dec. 15, 1946
Sadahiko Onishi	Director	Oct. 9, 1946	Jan. 15, 1947
Kaichi Ono	Director	Feb. 20, 1947	

June 25/42	"		General affairs, labor, warehouse	General Affairs Dept. Chief of Mita Plant cost accounting, mf for Mita Plant
June 3/43	"		General affairs, labor, warehouse	Assistant Manager, Tamagawa Plant cost accounting, for Tamagawa Plant
Sept.25/45	Tohoku Metal Industry Co., Ltd.	Sendai	General affairs, personnel, labor, accounting, general affairs	General affairs Dept. Chief manufacture of metallic materials for communication equipments
Nov.11/45	"		Managing Director	

continued to seperate sheet

第五頁

十一、本人の役員就任當時その勤務した財閥會社と財閥又は財閥直系會社との間に役員としての就任についての事前承認を必要とする旨の取極の有無

（一）明文の取極の有無

無し

（二）本人の役員としての就任の事情の詳細、特にその就任につき財閥又は財閥直系會社が關與した事實の有無

私が專務取締役就任の事情の詳細は別紙申請書に記述してあります
当社前專務矢次氏の空襲犠牲による專務の空職を補ふため選任
せられたのである　そして当時專務の仕事の大部分は会社事務面の
統括・就中　勤労、經理事務の整備にあったので私が過去の関厂經験
を他の当社役員から認められ　総務部長から抜擢を受けたものである
尚　その就任については住友財閥は勿論　その直系会社たる日本電気が
これに関與した事実はない（別紙日本電氣証明書参照）

11. At the time of your assnmption of office as official, whether or not the arrangement that the previous approval be obtained from the Zaibatsu or the direct Zaibatsu affiliate regarding assumption of the position of official existed between the Zaibatsu company where you served and the Zaibatsu or the direct Zaibatsu affiliates.

a. Whether or not the arrangemeut existed in writing. Not existed.

~~As explained in detail in my application for exemption from related officials of Zaibatsu, circumstances where I was elected Managing Director of Tohoku Metal Industry~~

b. Details of circumstances under whicn you assumed the position of official; particularly whether or not the Zaibatsu or the direct Zaibatsu affiliate was concerned in approving your assumption of office.

As explained in detail in my application for exemption from related officials of Zaibatsu, circumstances where I was elected Managing Director of Tohoku Metal Industry Company were that I was elected to that office in order to fill the vacancy caused by the death of former Managing Director Mr. Yatsugi who was included in the number of victims of the air raid in July 1945 of Sendai City.

At the time of my appointmnet, the main duty of Managing Director was ~~management~~ rearrangement and management of personnel and labor affairs and accounting, and I was selected and promoted from the position of General Affairs Department chief to that office through recognition and approval by the company's board of directors of my past experience and records.

In fact, Nippon Electric Company, which is directly affiliated with Sumitomo Zaibatsu, had nothing to do with may above appoint, nor, of course, had Sumitomo anything to do with it. (Refer to attached statement by Nippon Electric Company

十二、本調査書作成年月日

昭和二十三年二月五日

「この調査表の記載は眞實であり且つ完全であることを確言する、又私はこの調査表の重要な事項について虚僞又は事實をかくした記載があるときは財閥同族支配力排除法第三十一條の規定により處罰せられることを諒承してをる旨申し添える」

署名　佐野廣一　㊞

12. Date FEBRUARY 5, 1948

13. I hereby certify that entries made in this questionnaire are true and complete. I further add that I understand that entries false or lacking full and cemplete disclosure on relevant or material matters in this questiornaire will subject me to penaly in accordance with the provisions of Article 31 of the Law for Termination of the Zaibatsu Family Control.

Signa ture

Koichi Saito

Please add the accompanying papers to those of SANO, Koichi, submitted to GHQ on 6/4/48.

住友 1447

受 23.2.5. 付

APPROVED Apr. 5, 1948
承 認 昭和23年4月5日

Feb. 5, 1948

83 Tataminami, Watarimachi,
Watari-gun, Miyagi-ken

Mr. T. Katayama,
Prime Minister

Application For Exemption From the
Related Officials Of Zaibatsu.

I hereby apply for your approval that, under the provision of Paragraph 1, Article 7 of the Law for Termination of Zaibatsu Family Control, I am not an official related to the Zaibatsu for reasons as stated in attached paper, though I have been holding the position of the Managing Director of Tohoku Metal Industry Co., Ltd., since November 30, 1945 and fall under the catergory of No.2, Paragraph 2, Article 3 of the Law.

Koichi Sano

KOICHI SANO

Reasons For Application

1) I have no family relationship with the persons designated as Zaibatsu.

2) As stated in columns of profession and employment and personal history of my Questionaire, I entered into the employ of Sumitomo Electric Industries, Ltd. (then Sumitomo Electric Wire & Cable Works, Ltd.) immediately after I graduated from the Tokyo Commercial College in 1920 and served in the Purchase Department and Investigation Department of the company, then, in May 1935, I moved to Nippon Electric Co., Ltd. In the employ of Nippon Electric Company, I was at first appointed as chief of the General Affairs Department (Shomu-Kacho), then became Assistant to Chief of the General Affairs Department (Somubu-Fukucho) and was in charge of general affairs, accounting, labor, and Material and supply purchasing. When the Personnel Affairs Department (Jinjibu) was inaugurated in the company's organization, I was appointed as Assistant to Chief of that department (Jinjibu-Fukucho) and concurrently as the Personnel Affairs Division Chief (Jinji-Kacho). Thereafter, when the company's various manufacturing departments were reorganized into several plants, I was appointed as Chief of General Affairs Department of Mita Plant (Jimubucho), then moved to the office of Assistant Manager of Tamagawamukai Plant (Tamagawamukai-Seizosho Fukushocho) and appointed concurrently as Chief of General Affairs Department (Jimubu) and Personnel and Labor Department (Kinrobu) of the plant, where I remained until the surrender of Japan. In the Tamagamukai Plant, I was chiefly assigned with duties of handling internal management, particularly personnel and labor affairs and accounting. Personally I feel deep interest and also have some confidence in handling personnel and labor management and accounting.

In Tohoku Metal Industry Co., Ltd., at the time of Japan's surrender, its executive officials were composed of President, Dr. Hiromu Takagi (engineer), Managing Director, Mr. Fukugoro Yatsugi (manager) and Standing Managing Director, Dr. Kyukichi Shimba (engineer), and under these officials were following staff

employees who were handling various duties regarding management:

General Affairs Department Chief (in charge of general affairs and accounting)

This position was held concurrently by the Managing Director

Personeel & Labor Department Chief

Mr. Shochi Ishii (retired army officer)

Welfare Department Chief

Mr. Kyubei Hatanaka

Sales & Purchase Department

Mr. Magoji Tsuba

The three department chiefs, Mr. Ishii, Mr. Hatanaka, and Mr. Tsuba expressed their intention to resign of their own accords, and the company, under the necessity of post-war reorganization, was eagerly looking for a person capable of handling general affairs of the company's business. Under the circumstance I was invited by the Tohoku Company to enter into its employ and assume the office of General Affairs Department Chief under its new post-war organization and filled the position on September 25, 1945.

Mr. Yatsugi, Managing Director, was missing ever since the air raid of Sendai city in July 1945, and afterwards he was officially recognized as a war victime. In order to fill the vacancy of his post, I was elected as Managing Director at the stockholders meeting of November 30th of the same year and have been assuming the office concurrently with the post of General Affairs Department Chief until this date.

I was elected Managing Director of Tohoku Company under the above circumstances, and my election to the office was made by the unanimous approval of the entire board of directors, as then constituted, of my being one most capable of handling the company's internal management, and this approval was under the basic principle of virutal independence of Tohoku Company from Nippon Electric Company. (Referr to the attached statement No 1 & No 2) Therefore, there was no

agreement between two companies providing for Nippon Electric's approval, to say nothing of an approval of Sumitomo Zaibatsu, and,in fact, no approval was obtained from these two bodies. (Refer to the attached statement by Nippon Electric Company.)

3) Since my assuming the position of the Managing Director (on November 30, 1945), I have been under my president, who have been making daily attendance to the company to handle his presidential business, and I have not been given any authority or controlling power other than those equal to that of highest representing officials.

4) I have never assumed any concurrent position of an official of any company of Sumitomo Zaibatsu lineage, nor that of any other company.

As mentioned above, I have all and every reasons for exemption from related officials of Zaibatsu, as provided in Paragraph 1, Article 7 of the Law, and hereby submit this application for your approval.

No 1

The Tohoku Metal Industry Co., Ltd., was establishedin April 1938. The establishment was acomplished by Japan's first class communications equipment manufacturers, such as Nippon Electric Co., Ltd., Oki Electric Co, Ltd., Fusi Communication Equipment Manufacturing Co., Ltd., Hitachi Works, Ltd., etc., and also by such large producers of metalic materials as Sumitomo Metal Industries, Ltd., Furukawa Electric Industries, Ltd., etc., with the aim to expedite development of Japan's electric communication through betterment of communication equipments of domestic manufacture based upon stabilized home supply of superior communicati on materials, particularly of tungsten, molybdenum, magnetic steel, nickel plate and wire, dust core, etc., and also in consideration of increasing demand by the Communications Department of the government.

The above companies, in joint action, established a new corporation, Nippon Special Metal Co., Ltd. (former name of Tohoku Metal Industry Company) in Sendai. The new corporation was located in Sendai because its business needed engineering guidance and help from the Metal Laboratories of Tohoku Imperial University of Sendai and also because that the new body would contribute to the industrization of the Tohoku(North-eastern) district of Japan.

At the time of the above establishment, Nippon Electric Company played the role of standing committee for promoting companies and made an investment in kind to the Thhoku Company with most modern equipments and machinery newly imported by Nippon Electric from Molybdenum Company of Austria. The fact incidentally resulted in Nippon Electric'c ownership of considerably large Portion of Tohoku Company's stock. However, in consideration of the aim of its establishment, Tohoku Company have never been placed in a position of an affiliated or subordinate body of any one specific company, but have been

operated under the joint management of its promoting companies, as mentioned above. This principle of joint management was emphasized at the time of establishment of the Tohoku Company, and has since been followed without any change or modification.

Election and aoppointment of company's officials and staff members has never been performed by unilateral opinion of Nippon Electric, but its board of directors has always been composed of officials each representing his respective companies. Each promoting company has always been given an equal opportunity regarding Tohoku Company's business.

For the above reasons, it is very clear that the Tohoku Metal Industry Company is not an organization to be termed as an affiliated or subordinate company of Nippon Electric Company.

August 2, 1947

KOICHI SANO
Managing Director
Tohoku Metal Industry Co., Ltd.

We certify that the above statement is true and accurate to our best knowledge.

August 5,1947

NOBORU SHINOHARA
Director,
Engineering Bureau,
Communications Ministry

ICHIRO HAYASHI
Director,
Material & Supply Bureau,
Communications Ministry.

August 18, 1947

To: Ministry of Finance

No.2 Subject: Tohoku Metal Industries, Ltd.

It is a well known fact that the communication equipment manufacturing industry requires a wide range of materials of special specifications and of small quantities. Most of the Japanes manufacturers of communication equipments and apparatus, therefore, depended on the importation of such materials for a long time. However, during the past two decades, the Ministry of communications adopted the policy of encouragement of domestic produce and discouraged the importation. Uneconomical and difficult, as it was, the manufacturers began to equip themselves with necessary facilities in order to be in a better competitive position. The Ministry, howecer, seeing the economical fallacy and technical difficulties of having multilicity of similar activities established among the manufacturers for such a small requirements, conducted a promotion of unifying such individual efforts by cooperation among manufacturers. As the result, a new company was organized by such manufacturers for production of special metallic materials to be supplied to the market with the definite principle that the new company should not be controlled or influenced to be controlled by any one company or a group of companies, irrespective of their investments, as it is a cooperative organization established among the competitive companies. These competitive manufacturers, therefore, elected their representatives as directors who laid the principles of the management of the company. Those directors, in turn, elected men among themselves who are best qualified to carry out the principles set forth as executive directors. The Ministry paid a deep interest in the development of this company as it shared a moral responsibility to keep the company neutral among the component members. This company is what is now known as the Tohoku Metal Industries, Ltd.

We, the undersigned, as members of interest holders in the Tohoku Metal Industries, Ltd., do, hereby, declare, in virtue of the history of the organization of this company above stated, that the company is not a subsidiary organization of the Nippon Electric Co., or any of the Sumitomo Organization and, submit, herewith, our petition to consider and treat the Tohoku Metal Industries, Ltd. as an independent company instituted and managed by cooperation of investing companies for the benefit and interest of the industries of the country at large.

KIYOSHI TADA
Managing Director
Yokokawa Electric Manufacturing Works, Ltd

HIDEO TAKENOUCHI
Managing Director
Fusi Communication Equipments Manufacturing Co., Ltd.

SUTEJI KAMBE
Managing Director
Oki Electric Co., Ltd.

SADAHIKO ONISHI
Managing Director
Hitachi Works, Ltd.

RYOKICHI KOYA
President
Anritsu Electric Co., Ltd.

SAIJIRO MINATO
President
Nippon Communication Industry Co., Ltd.

CHUZO OSAWA
President
Toyo Communication Equipments Co., Ltd.

No. 3

Mr. Koichi Sano moved from Nippon Electric Co., Ltd. into the employ of Tohoku Metal Industry Company to enter upon the duty of the Chief of the General Affairs Department (Somubucho) by the request of the latter company immediately after Japan's surrender (September 8, 1945). Nippon Electric Company agreed to his move without any intention of securing personnel links with Tohoku Company, but the agreement was given solely through Nippon Electric's understanding of Tohoku Company's post-war situation and its urgent need for staff employees. Mr. Sano's assumption was also realized through development of the state of affairs within his company, and not through any suggestion by Nippon Electric Company.

I hereby certify that the above statement is true and accurate to my best knowledge.

February 5, 1948

T. WATANABE
President
Nippon Electric Co., Ltd.

No. 4

We, the undersigned, hereby certify that, at the meeting of the Board of Directors of Tohoku Metal Industry Co., Ltd., held on November 30, 1945, we elected by mutual vote Mr. Koichi Sano, who was elected to the Company's Board of Directors at the stockholders meeting of the same date, as Managing Director and this election was made as a result of our unanimous recognition of his being capable ~~of~~ of assuming the office of Managing Director because of his past experience and records, and not through any request of Nippon Electric Co., Ltd., or of Sumitomo Zaibatsu, nor was it necessary to obtain any approval of Nippon Electric or of Sumitomo of his appointment.

February , 1948

Former Directors of Tohoku Metal Industry Co., Ltd.

YUSO YANAI
(Former Director of Oki Electric Co., Ltd.)

KAMEJIRO TAKEUCHI
(Former Director of Hitachi Works, Ltd.)

SEIICHI ROKUCHO
(Former Director of Fuji Communication Equipments Manufacturing Co., Ltd.)

KIYOSHI TADA
(Former Director of Yokokawa Electric Co., Ltd.)

住友 1447

APPROVED 1948
承 認 昭和23年4月5日

Feb. 5, 1948

83 Tatsuminami, Watarimachi,
Wateri-gun, Miyagi-ken

Mr. T. Katayama,
Prime Minister

上田操

Application For Exemption From the
Related Officials Of Zaibatsu.

I hereby apply for your approval that, under the provision of Paragraph 1, Article 7 of the Law for Termination of Zaibatsu Family Control, I am not an official related to the Zaibatsu for reasons as stated in attached paper, though I have been holding the position of the Managing Director of Tohoku Metal Industry Co., Ltd., since November 30, 1945 and fall under the catergory of No.2, Paragraph 2, Article 3 of the law.

Koichi Sano

KOICHI SANO

Reasons For Application

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2) As stated in columns of profession and employment and personal history of my Questionaire, I entered into the employ of Sumitomo Electric Industries, Ltd. (then Sumitomo Electric Wire & Cable Works, Ltd.) immediately after I graduated from the Tokyo Commercial College in 1920 and served in the Purchase Department and Investigation Department of the company, then, in May 1935, I moved to Nippon Electric Co., Ltd. In the employ of Nippon Electric Company, I was at first appointed as chief of the General Affairs Department (Shomu-Kacho), then became Assistant to Chief of the General Affairs Department (Somubu-Fukucho) and was in charge of general affairs, accounting, labor, and Material and supply purchasing. When the Personnel Affairs Department (Jinjibu) was inaugurated in the company's organization, I was appointed as Assistant to Chief of that department (Jinjibu-Fukucho) and concurrently as the Personnel Affairs Division Chief (Jinji-Kacho). Thereafter, when the company's various manufacturing departments were recrganized into several plants, I was appointed as Chief of General Affairs Department of Nita Plant (Jimubucho), then moved to the office of Assistant Manager of Tamagawamukai Plant (Tamagawamukai-Seizosho Fukushocho) and appointed concurrently as Chief of General Affairs Department (Jimubu) and Personnel and Labor Department (Kinrobu) of the plant, where I remained until the surrender of Japan. In the Tamagamukai Plant, I was chiefly assigned with duties of handling internal management, particularly personnel and labor affairs and accounting. Personally I feel deep interest and also have some confidence in handling personnel and labor management and accounting.

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