

## INVESTOR WARNING

*(Vienna, 29 September 2012)*

Pursuant to Article 92 para. 11 first sentence of the 2007 *Wertpapieraufsichtsgesetz* (WAG 2007; Securities Supervision Act), the Austrian Financial Market Authority (FMA) may disclose to the general public by publication on the Internet, in the official gazette “*Amtsblatt zur Wiener Zeitung*”, or in any other newspaper with nationwide circulation, that a particular natural or legal person is not entitled to carry out certain investment services (Article 3 para. 2 nos. 1 to 4 WAG 2007), provided that said person has given cause for such action and informing the general public is deemed necessary and reasonable with regard to possible disadvantages of the person concerned.

By publication in the official gazette “*Amtsblatt zur Wiener Zeitung*” of 29 September 2012, the FMA informs that

**Aozora Alliance**

with alleged business location in  
World Udagawa Building,  
3F, 36-6 Udagawa-cho,  
Shibuya-Ku,  
Tokyo 150-0042,  
Japan

International Client Call Number: + 81 3 4496 6021  
International Client FAX Number: + 81 3 4496 6031  
Email: [contactus@aozoraalliance.com](mailto:contactus@aozoraalliance.com)  
Web: [www.aozoraalliance.com](http://www.aozoraalliance.com)

former

**Shinsei Associates**

with alleged business location in  
7th F, Kyodo Tsushin Kaikan  
2-5, Toranomom 2-chome  
Minato-ku  
Tokyo 105-0001  
Japan

Tel: +81 3 4496 6021  
Fax: +81 3 4496 6031  
Email: [contactus@shinseiassociates.com](mailto:contactus@shinseiassociates.com)  
Web: [www.shinseiassociates.com](http://www.shinseiassociates.com)

is not entitled to provide investment services in Austria requiring a licence. The provider is therefore not entitled to provide investment advice in relation to financial instruments pursuant to Article 3 para. 2 no. 1 WAG 2007.