

KATY CAPITAL会社情報確認（金融庁）

- 1) 金融庁のホームページを開きます。 <https://www.fsa.go.jp/link/>
- 2) 主要国監督当局の項目から ASIC（オーストラリア証券投資委員会）を選択してください。
- 3) ASIC のホームページを開きます。 <https://asic.gov.au/>
- 4) Professional registers を選択してください。
- 5) ①会社名（KATY CAPITAL）を打ち込んでください。
②Australian Financial Services Authorised Representative を選択してください。
③Search から検索してください。
- 6) こちらで確認ができます。

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1) 金融庁のホームページを開きます。 <https://www.fsa.go.jp/link/>

The screenshot shows the homepage of the Financial Services Agency (FSA) of Japan. At the top left is the FSA logo with the text "金融庁 Financial Services Agency". To the right are options for text size (大, 中, 小) and language (日本語, English). Below this is a search bar labeled "サイト内検索" with "Google 提供" and a search button. There are also icons for social media and YouTube. A horizontal navigation bar contains links for: ホーム, 金融庁について, 報道・広報, 政策・審議会等, 法令・指針等, 金融機関情報, 国際関係情報, and アクセスFSA (金融庁広報誌). Below the navigation bar, there is a breadcrumb "ホーム >". The main content area is divided into several sections. On the left, there is a "関連リンク" (Related Links) section with logos for SESC (証券取引等監視委員会), CPAA08 (公認会計士・監査審査会), IFIAR (日本に本部事務局を設置する初の金融関係国際機関), 金融研究センター, GLOPAC (Global Financial Partnership Center), and e-Gov (イーガブ). Below these logos is the text "このページのリンク先はすべて別ウィンドウで開きます。" (All links on this page will open in a new window). At the bottom left, there is a list of links: 首相官邸, 財務省, 日本銀行, 預金保険機構, 整理回収機構, and 金融経済教育推進機構 (marked with a "NEW" tag). On the right side, there is a "ポスト" (Post) button and a "相談・手続・採用情報" (Consultation, Procedures, and Employment Information) section. This section contains a list of links: 各種窓口のご案内, 金融サービス利用者相談室, 金融行政モニター, 情報公開等, パブリックコメント, 申請・届出・照会, 入札公告等, and 採用情報.

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2) 主要国監督当局の項目から ASIC（オーストラリア証券投資委員会）を選択してください。

The screenshot displays the '主要国金融監督当局' (Main Supervisory Authorities) section of the KATY CAPITAL website. The page is organized into several columns and sections:

- Top Row:** Includes links for '日本銀行' (Bank of Japan) and '金融経済教育推進機構' (Financial Education Promotion Institute) with a 'NEW' tag.
- Right Column:** Contains utility links: '新着情報配信サービス' (New Information Distribution Service), '金融庁ソーシャルメディアアカウント' (Financial Agency Social Media Accounts), '関連リンク' (Related Links), '証券取引等監視委員会' (Securities and Exchange Surveillance Commission) with the SESC logo, and '公認会計士・監査審査会' (Certified Public Accountants and Audit Review Board) with the CPAAOB logo.
- 財務局 (Finance Bureaus):** A section with a blue underline containing links to various regional finance bureaus: 北海道財務局, 東北財務局, 関東財務局, 北陸財務局, 東海財務局, 近畿財務局, 中国財務局, 四国財務局, 福岡財務支局, 九州財務局, and 沖縄総合事務局財務部.
- 主要国金融監督当局 (Main Supervisory Authorities):** A section with a blue underline containing links to supervisory authorities in Australia, Italy, Canada, and Korea:
 - オーストラリア (AUSTRALIA):** Includes 'APRA(オーストラリア健全性規制庁)' and 'ASIC(オーストラリア証券投資委員会)'. The ASIC link is highlighted with a black box and an arrow pointing to it from the right.
 - イタリア (ITALY):** Includes 'イタリア銀行' and 'CONSOB(国家証券委員会)'.
 - カナダ (CANADA):** Includes 'OSFI(金融機関監督庁)'.
 - 韓国 (KOREA):** Includes '金融委員会'.

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3) ASIC のホームページを開きます。 <https://asic.gov.au/>

The screenshot shows the ASIC website homepage. At the top left is the ASIC logo and name. A search bar is located at the top right. Below the header is a navigation menu with categories: 'For business', 'For finance professionals', 'For consumers', 'Regulatory resources', and 'About ASIC'. The main content area is divided into several sections:

- Find out more:** A blue box containing links for 'Registering a business name', 'Registering a company', 'Using our online services', 'Search fees', 'Top call centre questions', and 'Scams targeting ASIC customers'.
- For business:** A dark blue box with links for 'Renewing your business name', 'Changes to your company', 'Sole trader vs company', and 'Small business'.
- For finance professionals:** A light blue box with links for 'Your obligations as an AFS licensee', 'Financial advisers register', 'Do you need a credit licence?', and 'Find a regulatory document'.
- For consumers:** A blue box featuring the 'moneysmart.gov.au' logo, links for 'Free calculators, tips and guidance' and 'Find unclaimed money', and a 'Report an investment scam' button.
- Newsroom:** A grey box with a 'Newsroom' header and two news items dated 01 May 2024, one regarding a financial services licensee and the other regarding ASIC's protection of small businesses.
- Featured topics:** A grey box with a 'Featured topics' header and links for 'What to do if you've been scammed', 'Crypto scams', 'Identity theft', 'Financial advice', and 'Director identification number'.
- ASIC Connect:** A blue box with the 'ASIC Connect' logo and a search bar for registers, including links for 'Companies and organisations', 'Business names', 'Professional registers', and 'Banned and disqualified'.
- Services:** A grey box with buttons for 'ASIC Regulatory Portal', 'Pay now - business name renewals', and 'Use our online services', along with a dropdown menu and a list of online services like 'Change addresses', 'Update details', and 'Download your company annual statement'.

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4) Professional registers を選択してください。

The screenshot shows the ASIC (Australian Securities & Investments Commission) website. At the top, there is a search bar with the text "Start searching" and a "Search" button. Below the search bar, there are navigation tabs: "For business", "For finance professionals", "For consumers", "Regulatory resources", and "About ASIC".

On the left side, there is a "Find out more" section with links: "Registering a business name", "Registering a company", "Using our online services", "Search fees", "Top call centre questions", and "Scams targeting ASIC customers". Below this are three main navigation buttons: "For business", "For finance professionals", and "For consumers".

In the center, there is a "Coming soon" banner for "New ASIC Professional Registers Search" with a "Read April InFocus" button. Below the banner are three columns of content:

- For business:** "Renewing your business name", "Changes to your company", "Sole trader vs company", "Small business".
- For finance professionals:** "Your obligations as an AFS licensee", "Financial advisers register", "Do you need a credit licence?", "Find a regulatory document".
- For consumers:** "moneysmart.gov.au", "Free calculators, tips and guidance", "Find unclaimed money", "Report an investment scam".

On the right side, there is an "ASIC Connect" section with a search bar "Search our registers" and a list of register types: "Companies and organisations", "Business names", "Professional registers" (highlighted with a red box and an arrow), and "Banned and disqualified". Below this is a "View all registers" link and a "Login" button.

At the bottom, there is a "Newsroom" section with two news items:

- 01 May 2024 - MEDIA RELEASE: 24-089MR Financial Services Licensee sentenced for failing to lodge annual financial reports. Australian Financial Services Licensee Odyssey Equity Finance Pty Ltd (Odyssey) of Keilor East, Victoria, was sentenced on 24 April 2024 in the ...
- 01 May 2024 - MEDIA RELEASE: 24-088MR ASIC protects small business by disqualifying four directors for failures relating to the management of small proprietary companies. During the period 1 January to 31 March 2024, ASIC has banned four directors from managing corporations following their role in the collapse of ...

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- ①会社名（KATY CAPITAL）を打ち込んでください。
- ②Australian Financial Services Authorised Representative を選択してください。
- ③Search から検索してください。

The screenshot shows the ASIC Connect website's search interface for Professional Registers. The page has a blue header with the ASIC logo and the text "Connect ASIC". Below the header, there are search filters: "Within: Select" and "For: Name or Number" with a "Go" button. There are also buttons for "Search company and other registers", "Search business names register", and "Search SMSF auditor register".

The main content area is titled "Browse" and contains an "Important" notice about AFS licenses. Below this is the "Professional Registers" section, which includes a search form with the following fields:

- * Enter Keyword(s):** A text input field containing "KATY CAPITAL" with a circled "1" and an arrow pointing to it.
- * In:** A dropdown menu labeled "Select Register" with a list of options. The option "Australian Financial Services Authorised Representative" is highlighted in blue, with a circled "2" and an arrow pointing to it.
- With:** A dropdown menu labeled "Status:" with a list of status options.

At the bottom of the search form, there are buttons for "Back", "Clear", and "Search" (with a right-pointing arrow). A circled "3" and an arrow point to the "Search" button. A small informational message at the bottom of the form asks: "Did you know a search under Organisations & Business Names may reveal more information?"

On the right side of the page, there are several utility boxes: "Shopping Cart (0) View Cart", "Quick Links" (with links like "Report a data issue", "ABN lookup", etc.), "Recent Purchases", "Recent Searches", and "Follow ASIC" (with social media icons for YouTube and Facebook).

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6) こちらで確認ができます。

The screenshot displays the ASIC Connect website interface. At the top, there is a search bar for ASIC registers with options to search by company name, business names, or SMSF auditors. Below this, a navigation menu includes 'Professional Registers'. The main content area shows the details for 'Australian Financial Services Authorised Representative - KATY CAPITAL PTY LTD 001308575'. A yellow 'Important' box contains a warning about AFS licenses. The 'Representative Summary' section lists the company name, AFS Representative Number (001308575), Status (Current), and Commenced date (25/03/2024). Below this is a table for 'Licensees Represented' with one entry for 'WHOLESALE INVE...'. The right sidebar contains 'Quick Links', 'Recent Purchases', 'Recent Searches', and 'Follow A SIC' with social media icons for Twitter, YouTube, and Facebook. Navigation buttons for 'Back' and 'New Search' are at the bottom.

Important

Anyone who sells you a financial or investment product or gives you financial advice must have an Australian financial services (AFS) licence. Make sure the person or company you are dealing with is licensed.

[Check ASIC Connect Professional Registers](#)

Professional Registers [Hide all details](#)

▼ Australian Financial Services Authorised Representative - KATY CAPITAL PTY LTD 001308575

▼ Representative Summary

Name: KATY CAPITAL PTY LTD
AFS Representative Number: 001308575
Status: Current
Commenced: 25/03/2024

[View Summary \(PDF\)](#)

Licensees Represented

Name	Number	ABN	Commenced as Representative	Ceased as Representative	Appointed by type	Appointed by number
WHOLESALE INVE...	000530128		25/03/2024		AFS Licensees	000530128