

## Yoshiyuki Omori

PARTNER | TOKYO

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Yoshiyuki Omori is a partner in the investment management team of the Tokyo office.

He advises both domestic and foreign financial investment institutions and investment funds on Japanese financial regulations for 20 years at international law firms in Tokyo. He has been continuously recognized as being part of one of the top asset management practices in Japan by Chambers professional legal rankings.

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## Track record

### Regulatory advice

Represented numerous financial clients in obtaining regulatory registrations and association memberships in Japan (Type1, Type 2, Investment Management, Investment Advisory and Agency, Remote Membership and various Financial Instruments Dealers Associations) and establishing proper compliance regime

## Investment funds and managers

Represented investment funds and managers in making filings required by the regulations in Japan, such as large shareholding report and foreign investment trust/corporation notification under the Investment Trusts and Investment Corporations Act

## International financial institutions

Represented various international financial institutions including registered investment managers and Type 1 financial instruments business operators in engaging in mock audits to confirm compliance readiness

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## Talks

- 'ESG issues for investment funds and real estate investing in Japan' - Oct 2021
- 'Marketing to Japanese Investors from Abroad - The Foreign Securities Firm Exemption' - 11 Feb 2021
- 'Japan Regulatory Update Including Insider Trading Regulations', Morgan Stanley Workshop - 18 August 2016

## External publications

*'Revisiting the JFSA Market Entry Office - Why this is an ideal time for financial institutions to expand their business in Japan'*, - Apr 2022, co-author

*'Overview of the new exemptions for fund managers operating in Japan'*, Oct 2021, co-author

*'Structuring an ESG investment fund in Japan'*, July 2021, co-author

*'Overview of the Amendments to Foreign Exchange and Foreign Trade Act of Japan - Listed Securities and Prior Notifications'* - May 2020, co-author

*'An overview of the rules and regulations governing the private placements of fund interests in Japan'* - 4 July 2019, co-author

*'Financial Instruments and Exchange Law and Fund Business (Kinyu Shohin Torihikihou to Fund Business)', The Monetary and Fiscal Circumstances (Kinyu Zaisei Jijyo)*

*'Issues of Shareholder's Meeting in Japanese Company from foreign investor's perspective (Gaikokujin Toushika no Shiten karamita Nihon kigyō niokeru Kabunusisoukai no Mondaiten)', The Lawyers*

*'The Article 63 Exemption and Investment Manager Licensing for Pro-Investors'*, International Tax Review

*'Japan's FSA considers data leak'*, International Newsletter

*'International Privacy Guideline (Japan Law part)', West*

*'Legal and Tax Affairs of limited Partnership for Investment' (Toushi Jigyō Yūgen Sekinin Kumiai no Houmu to Zeimu)', Zeikei*

*'The View of Amendment on Specially Permitted Businesses for Qualified Institutional Investors, etc. from Foreign Investment Funds'*, Financial Regulations

## Admissions

Dai-ni Tokyo Bar Association, 2005

## Education

Meiji University, LL.B

Indiana University Bloomington, LL.M

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## Languages

English

Japanese

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## Memberships

Dai-ni Tokyo Bar Association

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## Key dates

Year joined: 2018

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