

## Koji Yamamoto

PARTNER | TOKYO

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\*OUR FIRM IS A FOREIGN LAW JOINT ENTERPRISE (GAIKOKUHOU KYOUDOU JIGYOU) BETWEEN WITHERS GAIKOKUHOU JIMU BENGOSHI HOUJIN (WHOSE PARTNERS ARE ATTORNEYS-AT-LAW ADMITTED IN CALIFORNIA, CONNECTICUT, FLORIDA, HAWAII AND NEW YORK, ALL OF WHOM ARE FOREIGN REGISTERED ATTORNEYS (GAIKOKUHOU JIMU BENGOSHI) IN JAPAN) AND WITHERS BENGOSHI HOUJIN (WHOSE PARTNERS, ASSOCIATES AND COUNSEL ARE QUALIFIED JAPANESE BENGOSHI), AS DEFINED UNDER ARTICLE 2, ITEM 15 OF THE SPECIAL MEASURES LAW CONCERNING THE HANDLING OF LEGAL BUSINESS BY FOREIGN LAWYERS (GAIKOKU BENGOSHI NI YORU HOURITSU JIMU NO TORIATSUKAI NI KANSURU TOKUBETSUSOCHIHO) OF JAPAN.



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### Koji Yamamoto is a partner in the investment management team of the Tokyo office.

Koji Yamamoto has advised clients in the investment funds and investment management area for over 14 years at international law firms in Tokyo. Prior to joining Withers, Koji has been a part of a group that has historically been recognized as a top investment management practice in Japan by the AsianInvestor and Chambers Asia Pacific.

Koji has significant experience in advising offshore fund managers and financial institutions with respect to a wide range of activities in Japan from capital raising to trading on the Japan exchanges and applications for Japan financial registrations.

Koji has been recommended as a leading private funds lawyer by Who's Who Legal 2021, 2022 and 2023. He is also recognized as a leading 'Band 1' investment funds foreign registered lawyer in Japan by Chambers Asia Pacific.

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# Track record

## Advising on Japan regulatory issues

Represented Monex, Inc. as lead and Japan counsel to establish a fund in the Cayman Islands and advised on related Japan regulatory issues

## Global venture capital fund

Representing a global venture capital fund as the Japan counsel in relation to all Japan financial regulatory activities with a fund size of US\$550 million

## Leading alternative investment management firm

Representing a leading alternative investment management firm with approximately US\$473 billion in assets under management and supervision as Japan fund counsel for all of the firm's funds offered into Japan.

## Leading investment firm

Representing an investment firm with approximately US\$105 billion in assets under management as Japan fund counsel for all of the firm's funds which are offered into Japan.

## One of the world's largest investment managers

Represented one of the world's largest investment managers (US\$989 billion AUM) as Japan counsel to successfully register to engage in a discretionary investment management business, investment advisory and agency business and Type 2 Financial Instruments Trading Business

## Mpower Partners Fund

Represented Mpower Partners Fund, Japan's first environmental, social and governance focused global venture fund, on their launch

## Japan capital raising activities

Represented numerous top tier hedge fund managers and private equity fund managers with respect to rules and regulations applicable to capital raising activities in Japan. Scope of such regulatory advice included submission of filings and registrations applicable to Japan offerings with the Financial Services Agency of Japan.

## Japan rules and regulations

Advising fund managers regarding the rules and regulations of Japan with respect to Japan exchange trades, including Block Shareholding Reports; Short Selling (including Japan Regulation M), Insider Trading; Shareholder Proposals, etc.

## Financial instruments business operator

Assisted clients in registering as financial instruments business operator in Japan (Type 1, Type 2, Investment Manager, and Investment Advisor).

## Financial institutions

Advised some of the leading high financial institutions with their registration as a high speed trading operator in Japan.

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## Recent recognition



## Talks

- *'Preparing for the road ahead: The key asset management trends in Asia'*, - Apr 2022
- *'How investors can stay ahead amidst increased ESG investment considerations in Greater China'*, - Feb 2022
- *'ESG issues for investment funds and real estate investing in Japan'* - Oct 2021
- *'Marketing to Japanese Investors from Abroad - The Foreign Securities Firm Exemption'* - Feb 2021
- *'Rules and regulations on capital raising in Japan'* - 22 July 2020
- *'What is the impact of the JFSA registration procedure for HFTs?'*, Panel Participant at the Financial Information Services Association of the SIIA - 13 Sept 2018

## 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'*, - 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

## Admissions

New York State Bar, 2002

Dai-ni Tokyo Bar Association, 2013

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## Education

University of Western Ontario, BA

University of Toronto, Faculty of Law, LL.B

University of Tokyo, Research Scholarship

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## Languages

English

Japanese

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## Key dates

Year joined: 2018

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