

MITSUBISHI UFJ FINANCIAL GROUP INC  
Form 6-K  
October 17, 2018

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

**Form 6-K**

**Report of Foreign Private Issuer**  
**Pursuant to Rule 13a-16 or 15d-16 under**  
**the Securities Exchange Act of 1934**  
**For the month of October 2018**  
**Commission File No. 000-54189**

**MITSUBISHI UFJ FINANCIAL GROUP, INC.**

**(Translation of registrant's name into English)**

**7-1, Marunouchi 2-chome, Chiyoda-ku**

**Tokyo 100-8330, Japan**

**(Address of principal executive office)**

**Indicate by check mark whether the registrant files or  
will file annual reports under cover of Form 20-F or Form 40-F.**

**Form 20-F   X   Form 40-F \_\_\_\_\_**

**Indicate by check mark if the registrant is submitting the Form 6-K**

**in paper as permitted by Regulation S-T Rule 101(b)(1):**

**Indicate by check mark if the registrant is submitting the Form 6-K**

**in paper as permitted by Regulation S-T Rule 101(b)(7):**

THIS REPORT ON FORM 6-K SHALL BE DEEMED TO BE INCORPORATED BY REFERENCE IN THE REGISTRATION STATEMENT ON FORM F-3 (NO. 333-209455) OF MITSUBISHI UFJ FINANCIAL GROUP, INC. AND TO BE A PART THEREOF FROM THE DATE ON WHICH THIS REPORT IS FURNISHED TO THE U.S. SECURITIES AND EXCHANGE COMMISSION TO THE EXTENT NOT SUPERSEDED BY DOCUMENTS OR REPORTS SUBSEQUENTLY FILED WITH OR FURNISHED TO THE U.S. SECURITIES AND EXCHANGE COMMISSION.

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

Date: October 17, 2018

Mitsubishi UFJ Financial Group, Inc.

By: /s/ Zenta Morokawa  
Name: Zenta Morokawa  
Title: Managing Director, Head of  
Documentation &

Corporate Secretary Department,  
Corporate Administration Division

Mitsubishi UFJ Financial Group, Inc. (MUFG)

Mitsubishi UFJ Securities Holdings Co., Ltd.

**Regarding the Japan Securities Dealers Association announcement pertaining to**

**Mitsubishi UFJ Morgan Stanley Securities**

**Tokyo, October 17, 2018** Today, the Japan Securities Dealers Association announced a penalty (20 million yen) on Mitsubishi UFJ Morgan Stanley Securities Co., Ltd., a consolidated subsidiary of MUFG.

MUFG accepts this announcement with sincerity, and we humbly apologize to our customers and other stakeholders for the great inconvenience and concern we have caused.

Going forward, MUFG will strive to thoroughly enforce strict compliance and internal controls across the entire group and will work to regain the trust that has been lost as a result of this issue.

**- End -**

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