

## Nomura Group Supplier Code of Conduct

This Supplier Code of Conduct (the “Code”) outlines the principles and standards of behavior expected from all suppliers engaged by the Nomura Group (herein after “Nomura”, “we”, “our”, “us”). We are committed to conducting business responsibly, ethically, and sustainably, respecting human rights, and fostering diversity and inclusion and we are committed to conducting business in accordance with *the Nomura Group Code of Conduct, Nomura Group Sustainability Statement, Nomura Group Human Rights Policy and Environmental Policy*; each being referenced at the end of this document. This Code, while not legally binding, is foundational to our commitment to corporate responsibility and ethical business practices. We expect our suppliers to uphold these principles in their operations and business relationships.

To the extent that suppliers subcontract any portion of their obligations, the standards set forth in this Code also apply to subcontractors. The elements of this Code are as follows:

### **1 Compliance with Laws**

Suppliers shall comply with applicable international and local legal and regulatory requirements in the countries where supplier operates.

- 1.1 Suppliers should have policies and procedures designed to ensure compliance.
- 1.2 Suppliers shall not engage in illegal acts against the competition laws and regulations of each country and region including private monopolies, unreasonable restraint of trade (cartel, collusive bidding, etc.) or unfair trade practices.
- 1.3 Suppliers shall not engage in bribery and/or corruption, including tolerating or facilitating bribery and/or corruption, offering or providing any improper gifts, meals, travel and entertainment to us.
- 1.4 Suppliers shall not engage in any transaction with anti-social forces, groups or individuals.
- 1.5 Suppliers shall not engage in illicit activities, including doing business with those engaged in illicit activities, including, without limitation, money laundering, terrorism financing.
- 1.6 Suppliers should report any conflicts of interest to us.

### **2 Management of Confidential Information**

Suppliers should manage our confidential information including personal information in an appropriate manner.

- 2.1 Suppliers should establish and implement policies, structure for compliance with all applicable laws and regulations governing the protection, use, and disclosure of personal information.
- 2.2 Suppliers should manage, protect confidential information received from customers and third parties.
- 2.3 Suppliers should manage and carry out information security in order to prevent damage to the company or other parties.

### **3 Quality and Safety**

Suppliers should consistently improve and confirm quality and safety.

- 3.1 Suppliers shall comply with safety standards defined by laws and regulations of each country.
- 3.2 Suppliers should provide accurate information about products and services (e.g., specifications, quality, method of handling).
- 3.3 Suppliers should build and operate an expressed quality management procedure.

### **4 Environmental Sustainability**

Suppliers should operate in an environmentally responsible and efficient manner.

- 4.1 Suppliers should establish and implement an environmental policy.
- 4.2 Suppliers should reduce greenhouse gas reduction continuously in accordance with a concrete plan.
- 4.3 Suppliers should promote efficient use of resources and energy.
- 4.4 Suppliers should control chemical substances as defined by laws and regulations.
- 4.5 Suppliers shall comply with local laws and regulations of drainage, sludge and air emissions.

\* "4.4" "4.5" apply to manufacturers.

### **5 Respect for Human Rights**

Respect the human rights of all stakeholders, including by respecting the human rights of employees and ensuring a safe and comfortable working environment, by referring to "*UN Universal Declaration of Human Rights*" and its related covenants "*International Covenant on Civil and Political Rights*" and "*International Covenant on Economic, Social and Cultural Rights*", "*Children's Rights and Business Principles*", "*OECD Guidelines for Multinational Enterprises*", "*ILO Declaration on Fundamental Principles and Rights at Work*" etc..

- 5.1 Suppliers shall prevent child labor.
- 5.2 Suppliers shall prevent forced labor and human trafficking.
- 5.3 Suppliers shall pay wages in compliance with local applicable laws and regulations, including those relating to minimum wages, deduction from wage, overtime hours, piece rates and other elements of compensation.
- 5.4 Suppliers shall comply with local applicable laws and regulations governing employees' working hours, including overtime work.
- 5.5 Suppliers should recognize employees' right to freely associate, or not to associate, complying with local applicable laws and regulations in which they operate.
- 5.6 Suppliers should promote equal opportunity and shall not discriminate on grounds such as nationality, race, age, gender, gender identity, sexual orientation, belief, social status, or disability with regards to all aspects of employment.
- 5.7 Suppliers shall not tolerate harassment.
- 5.8 Suppliers should promote diversity in their own business practices by documenting a diversity and inclusion approach that includes ways to identify, measure and improve (e.g., gender demographics of workforce and management team).

5.9 Suppliers should provide safe and healthy work environment for their staff and prevent accidents, injuries and illness. Also Suppliers should support efforts to improve the health of employees through health promotion activities and guidance for preventing illness.

5.10 Suppliers should establish appropriate grievance mechanisms and implement remedies

## **6 Disclosure**

Suppliers should make every effort to disclose abovementioned information to stakeholders in a timely and fair manner.

(Established on April 1, 2024)

(Reference)

- Nomura Group Code of Conduct: The guidelines for Nomura Group directors, officers and employees to translate the Nomura Group Corporate Philosophy into actions.  
<https://www.nomuraholdings.com/company/basic/coc.pdf>
- Nomura Group Sustainability Statement: The guideline to outline the direction of the Nomura Group's sustainability-related activities and our response to environmental and social risks.  
<https://www.nomuraholdings.com/sustainability/group/data/pdf/statement.pdf>
- Nomura Group Human Rights Policy: The policy provides specific action guidelines for "7. Human rights and other social issues" set forth in the Nomura Group Sustainability Statement  
[https://www.nomuraholdings.com/sustainability/group/data/pdf/hr\\_policy.pdf](https://www.nomuraholdings.com/sustainability/group/data/pdf/hr_policy.pdf)
- Environmental Policy: This policy provides specific action guidelines for "5. Climate change" and "6. Natural Capital" set forth in the Nomura Group Sustainability Statement,  
<https://www.nomuraholdings.com/sustainability/environment/management.html>

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