

## Supplier CSR Guidelines

Nomura Group (hereinafter referred to as “we”) are committed to conducting business with the highest standards of ethics and integrity under the Code of Conduct (\*). As our business partners, we expect suppliers to share our commitment to promote the realization of sustainable environment and society. Supplier CSR Guidelines sets out the expectations for suppliers.

\*Code of Conduct:

URL: <https://www.nomuraholdings.com/company/basic/coc.pdf>

The Code of Conduct sets out guidelines for our directors, officers and employees to translate the Nomura Group Corporate Philosophy into actions. We carry out all of our business activities based on the Code.

To the extent that suppliers subcontract any portion of their obligations, the standards set forth in this guidelines also apply to subcontractors.

The elements of Supplier CSR Guidelines 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 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 disclose conflicts of interest with us. (e.g., our employees or representatives are suppliers' representatives or their major shareholders)

### 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 environment policy.
- 4.2 Suppliers should reduce greenhouse gas reduction continuously (e.g., definition of voluntary goals for greenhouse gas reduction).
- 4.3 Suppliers should promote efficient use of resources and energy (e.g., definition of voluntary goals for 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**

Suppliers should have respect for human rights and make workplace safe and healthy.

- 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, sex, gender identity, sexual orientation, creed, social status, or existence of or nonexistence of 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.

## 6 Disclosure

Suppliers should disclose related information in a timely and fair manner.

End of the document  
(Revised on September 18, 2020)

We commit to striving to comply with Supplier CSR Guidelines formulated by Nomura Group.

Date: MMM, DD, YYYY

Company name:

Job Title:

Signature of representative:

**Do not fill out this form.  
We will ask you for electronic signatures.**