

# Modern Slavery Act Statement

NOMURA FINANCIAL PRODUCTS EUROPE GMBH

September 2025

## INTRODUCTION

This statement applies to Nomura Financial Products Europe GmbH ("**NFPE**"), as a reporting entity under the Modern Slavery Act 2018 (AU). NFPE is a company, established under the laws of Germany in 2017. NFPE was registered as a foreign company in Australia in May 2024 (ARBN 674 143 983).

NFPE is a subsidiary of Nomura Europe Holdings plc (NEHS). Nomura Holdings, Inc. is the ultimate parent company of the Nomura group of companies, an Asia-headquartered financial services group, with its head office in Tokyo, Japan, and is listed on the Tokyo Stock Exchange (TSE: 8604), as well as the New York Stock Exchange (NMR). NFPE's headquarters are in Frankfurt, Germany with branches in France, Italy, Spain, Finland and the Netherlands. It also has a representative office in Switzerland. NFPE has approximately 300 employees across its European operations. NFPE does not own or control any other entities.

NFPE has consulted the relevant Nomura group companies in the development of this statement.

References to "we", "us" or "our" are to NFPE.

## OPERATIONS

NFPE is a financial services business, providing investment, financing and related services to corporate and government customers in the European Economic Area ("EEA") including by authorised persons employed by its affiliates globally, including in Australia. It operates as Nomura's European trading hub following Brexit. NFPE is authorised by the Bundesanstalt für Finanzdienstleistungsaufsicht ("BaFin") and regulated by the German Bundesbank and the BaFin.

NFPE's core activities are:

- trading and sales in fixed income and equity products, including related derivatives;
- corporate advisory and capital markets services;
- asset and principal finance business; and
- corporate finance.

NFPE's direct and indirect supply chains include, but are not limited to, vendors that provide:

- Trade execution, clearing and settlement services
- Electronic trading platforms and market data
- Professional services (consulting, legal, audit)
- IT services and infrastructure
- Office facilities and supplies
- Travel services

The majority of NFPE's suppliers are based in Germany and other European Union countries. Most of NFPE's vendors that supply trading-related infrastructure are regulated financial institutions, market operators and professional services firms located in jurisdictions perceived as relatively low risk with respect to modern slavery.

In addition, NFPE's various operational functions are supported by Nomura Group affiliates, including those in Australia, the United Kingdom, Hong Kong, India, Japan, Singapore and the United States.

More information about the Nomura group can be found at [www.nomura.com](http://www.nomura.com).

## **MODERN SLAVERY RISKS**

NFPE has taken steps to identify risks of modern slavery practices in its operations and supply chains. While NFPE believes its operations and supply chains provide limited opportunity for modern slavery practices, we recognize our business is heavily reliant on technology services, infrastructure and market data and we are, accordingly, keenly aware that technology hardware and other electronics, are produced using materials associated with elevated modern slavery risk in locations with moderate vulnerability. Due to the interconnectedness of the financial services sector, we acknowledge that modern slavery risks can be indirectly transferred between trading counterparties through outsourcing arrangements and, with their links to other industries, through the provision of finance. We address these risks through our global policies and procedures, including the Nomura Group Human Rights Policy, anti-bribery and corruption and anti-money laundering frameworks, as well as the other actions described below.

## **ACTIONS**

The Nomura Group has in place a "Code of Conduct" which serves as a set of guiding principles for all directors, officers and employees globally, and highlights the role they play in preventing and addressing business-related human rights harm: [Nomura Group Code of Conduct](#).

NFPE also implemented internal and external reporting mechanisms to report activities that infringe on the firm's Code of Conduct.

Our standards are aligned with international human rights principles. Our holding company is a member of the UN Global Compact, and we support the Universal Declaration of Human Rights, the OECD Guidelines for Multinational Enterprises, the ILO's international labour standards and UN Guiding Principles on Business and Human Rights.

Based on our Nomura Group purpose to aspire to create a better world by harnessing the power of financial markets, the Nomura Group is working to realize a sustainable society through our business activities. We recognize that respect for human rights is an essential and important element in achieving a sustainable society.

[Respecting Human Rights](#)

In addition, the Nomura Group established the Nomura Group Human Rights Policy in May 2023.

[Nomura Group Human Rights Policy](#)

## EFFECTIVENESS

We continue to monitor our performance against the following in order to gauge how effective we are in dealing with the risk of modern slavery in our business or supply chains:

- training on modern slavery (see below);
- maintaining a system for supply chain identification, including, adding slavery and human trafficking enquiries and controls to our global procurement policies; and
- asking specific questions on modern slavery as part of our global procurement processes.

## TRAINING

NFPE's staff participates in training on the importance of implementing and enforcing effective systems to mitigate the risk of modern slavery taking place within our business or supply chains. Periodic training is provided to employees with information on anti-slavery and human trafficking legislation, mitigation measures, incident reporting and further details on this MSA statement.

## APPROVALS

This statement was approved on 7 September 2025 by the Board of Directors of Nomura Financial Products Europe GmbH.

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**Name:** Shogo Ohira  
**Director of Nomura Financial Products Europe GmbH**  
**Date:** 16 September 2025

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**Name:** Martin Sura  
**Director of Nomura Financial Products Europe GmbH**  
**Date:** 12 September 2025