

Whistleblowing System

Nomura Group recognizes that enhancing risk management is one of the most important management issues.

Therefore, we have established whistleblowing systems with the aim of fostering a healthy corporate culture and ethics through early detection and correction of fraudulent activities and misconduct.

In a psychologically safe workplace, there is a culture of speaking up when something is wrong as well as a culture of accepting the report of someone who speaks up.

Nomura Group is working on creating an organizational culture with psychological safety and has set up whistleblowing and various consultation desks to promote their use.

Whistleblowing System (Compliance Hotline)

Nomura Group companies have established whistleblowing systems (compliance hotlines) that provide all executives and employees with the means to directly report any suspected violations of laws and/or regulations, breaches of the Nomura Group Code of Conduct, or suspicious accounting or auditing activities.

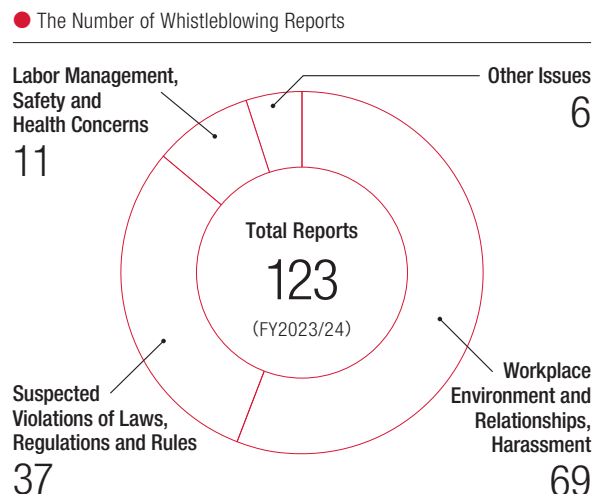
In accordance with laws and regulations, we have developed a system for whistleblowing. At the same time, we are working to raise awareness and promote the use of the hotline through the Company intranet and messages from senior management, and to create a psychologically safe environment on a global basis in which anyone can speak up when they feel something is wrong.

The hotlines can be contacted anonymously, and the information provided is then investigated as necessary under the direction of the information recipient, with priority placed on maintaining the confidentiality and anonymity of the whistleblower. If a problem is found after an investigation, appropriate corrective actions are taken and measures are carried out to ensure that the whistleblower does not receive disadvantageous treatment, such as dismissal, for having provided information.

The operating status of Group companies' hotlines are regularly reported to the Nomura Holdings Internal Controls Committee, and annual internal assessments

are conducted. Any matters involving significant suspicions of legal violations are promptly reported to the Audit Committee, as we strive to maintain a robust compliance system and ensure its effectiveness.

In FY2023/24, the total number of reports raised globally is as follows, with all cases already resolved except for those currently under investigation, and no major issues were identified.



Consultation Desks

Nomura Group (Japan) has several consultation desks to support employees who have concerns. Each consultation desk allows for anonymous consultations, protecting the privacy of the individual seeking help and ensuring confidentiality, while working towards creating a more comfortable working environment for employees.

» Internal Harassment Consultation Desk

We have established a contact point where employees can consult with internal specialists about concerns and complaints of harassment in the workplace, such as power harassment and sexual harassment.

» Workplace Harassment External Consultation Desk (External counselor)

In addition to the internal consultation desk, we have set up a channel where employees can consult with external professional counselors over the phone regarding workplace harassment or complaints.

» Workplace and Job Support Desk

We provide comprehensive support for consultations and concerns related to relationships, tasks, business, and working methods in the workplace.