

Statement on Administrative Action by Japan's Financial Services Agency

Tokyo, August 3, 2012—In accordance with Article 51 of the Financial Instruments and Exchange Act, Japan's Financial Services Agency today issued a business improvement order against Nomura Securities Co., Ltd.

We take this matter very seriously and we apologize to our clients and all other concerned parties for the trouble that has been caused. In relation to matters raised in recommendations issued by the Securities and Exchange Surveillance Commission, we announced a series of improvement measures on June 29, including strengthening the management of corporate-related information, improving our personnel management system, and ensuring business ethics. On July 26, we reported on the progress of implementation of these improvement measures.

We will continue to further enhance our internal controls and work across the entire firm to prevent similar incidents occurring in the future and to regain the trust of the public.

Outline of business improvement order

- (1) To thoroughly implement and firmly establish the preventative measures described in the internal investigation report.
- (2) To regularly report the status of the implementation of the preventative measures.
- (3) To regularly review the effectiveness of the preventative measures and report the findings of the reviews.

Note: In case any inadequacies are identified as a result of the reviews, to report the causes of the inadequacies and improvement plans to address the inadequacies identified.

- (4) With respect to (1)-(3) above, to submit the first report on Friday, August 10, and then report within 15 days after the end of each financial quarter. Notwithstanding these reporting periods, to submit reports as and when necessary.

ends

Nomura

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