

## Statement on Administrative Action by Japan's Financial Services Agency

**Tokyo, October 31, 2024**—Following a recommendation<sup>1</sup> issued on September 25, 2024, by Japan's Securities and Exchange Surveillance Commission, yesterday Japan's Financial Services Agency issued an administrative monetary penalty payment order of 21.76 million yen against Nomura Securities Co., Ltd. for Japanese government bond futures transactions conducted in March 2021. Nomura Securities paid the monetary penalty today.

We apologize to our clients and all other concerned parties for the trouble this has caused.

We take this matter very seriously. We will continue to further enhance our compliance framework and internal controls to prevent similar incidents occurring in the future and to regain trust.

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### Nomura

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<sup>1</sup>See news release titled "[Statement on Recommendation Issued by Japan's Securities and Exchange Surveillance Commission](#)" issued on September 25, 2024.