

Statement on Recommendation by Japan's Securities and Exchange Surveillance Commission

Tokyo, December 2, 2013—Japan's Securities and Exchange Surveillance Commission today announced that it made a recommendation to the Prime Minister and the Commissioner of the Financial Services Agency to issue orders for payment of an administrative monetary penalty against Nissay Asset Management Corporation, Stats Investment Management Co., Ltd., and Finnowave Investments, Inc. due to insider trading committed in June and July 2010 that was found to be in breach of Japan's Financial Instruments and Exchange Act.

In the announcement, the Commission stated that it had determined that the three companies obtained insider information from an underwriter. Nomura employees were involved in this incident. We would like to take this opportunity to once again apologize to our clients and all other concerned parties for the trouble that has been caused.

As announced on June 29 and July 26, 2012, Nomura has continued to conduct voluntary inspections and investigations in relation to internal controls for corporate-related information and has fully cooperated with the Commission in its investigation.

Nomura has implemented a series of improvement measures announced on June 29, 2012, and continues to monitor them to ensure they are integrated in the firm's operations and remain effective. Through these measures, we will work to prevent similar incidents from occurring in the future and further enhance our internal controls.

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