

## Statement on Action by Japan Securities Dealers Association

**Tokyo, December 18, 2024**—Japan Securities Dealers Association today issued a fine of 30 million yen against Nomura Securities Co., Ltd. ('the Company') for Japanese government bond futures transactions conducted in March 2021. Japan's Financial Services Agency had previously issued an administrative monetary penalty payment order<sup>1</sup> against the Company for the transactions on October 30, 2024.

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

By fully implementing the measures<sup>2</sup> announced on October 31, 2024, we will 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

Nomura is a global financial services group with an integrated network spanning approximately 30 countries and regions. By connecting markets East & West, Nomura services the needs of individuals, institutions, corporates and governments through its three business divisions: Wealth Management, Investment Management, and Wholesale (Global Markets and Investment Banking). Founded in 1925, the firm is built on a tradition of disciplined entrepreneurship, serving clients with creative solutions and considered thought leadership. For further information about Nomura, visit [www.nomura.com](http://www.nomura.com).

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<sup>1</sup> See [Statement on Administrative Action by Japan's Financial Services Agency](#) issued on October 31, 2024.

<sup>2</sup> See [Measures to Prevent Recurrence of JGB Futures Incident](#) issued on October 31, 2024.