

Nomura Group Human Rights Policy

Based on our mission to help to enrich society through our expertise in capital markets, the Nomura Group is working to realize a sustainable society through its business activities. We recognize that respect for human rights is an essential and important element in achieving a sustainable society.

This policy provides specific action guidelines for "7. Human rights and other social issues" set forth in the Nomura Group Sustainability Statement, which outlines the direction of the Group's sustainability-related activities and our response to environmental and social risks.

Based on this human rights policy, in all of our business activities, we comply with the laws applicable in the region in which we operate, and in terms of human rights, we strive to respect human rights recognized through various international agreements including the "UN Universal Declaration of Human Rights" and its related covenants "International Covenant on Civil and Political Rights" and "International Covenant on Economic, Social and Cultural Rights", "Children's Rights and Business Principles", "OECD Guidelines for Multinational Enterprises", "ILO Declaration on Fundamental Principles and Rights at Work" and "UN Guiding Principles on Business and Human Rights" etc. and other international agreements listed in the Nomura Group Sustainability Statement. Where there are differences between internationally recognized standards and local laws, we will strive to comply with international standards that are conducive to greater respect for human rights. This policy applies to all executives and employees of Nomura Group. The Nomura Group also shares the views expressed in this policy with our customers and business partners and expects them to make efforts to respect human rights. In the event that the negative impact on human rights through customers, business partners and other related parties is directly linked to Nomura Group's business activities, products or services, Nomura Group expects these business partners and others to respect international standards and strives to respond responsibly for ourselves.

1. To our officers and employees

The Nomura Group is working to eliminate all forms of discrimination in hiring, employment, and skill development, and has made it clear that we will not tolerate discrimination based on nationality, race, age, gender, gender identity, sexual orientation, belief, social status, or disability, nor harassment such as sexual harassment nor power harassment or human rights violations such as forced labor or child labor. We ensure that all officers and employees comply with these standards. We also respect freedom to establish association and the right to bargain collectively.

In addition, we have established a consultation and reporting channel for human rights violations in the workplace and have a system in place to prevent such acts.

In addition, we strive to enhance the correct understanding and awareness of human rights issues among each and every officer and employee through training and other means.

2. To our clients

Recognizing that Nomura Group's business activities may have a potential negative impact on human rights, Nomura Group strives to respect the human rights of its customers. We also expect that our customers, to whom loans and investments are made, will also take steps to respect human rights and prevent such a negative impact. In its business activities, Nomura Group strives to secure the appropriate influence to respect human rights as a financial services group through various screenings, and due diligence according to the nature of its business and appropriate communication with client companies. In the unlikely event that the products and services provided by Nomura Group in its business activities are directly linked to the negative impact on human rights, Nomura Group will respond appropriately in possible way and we also expect that customers will take appropriate action to rectify and resolve such violations.

3. To our suppliers

The Nomura Group strives to conduct procurement activities in a responsible manner and requests its suppliers who provide goods and services to our company to respect human rights. In order to jointly implement CSR activities by our suppliers and Nomura group, we have established "Supplier CSR Guidelines" in Japan and are committed to responsible procurement. In addition, the Nomura Group will strive to promote respect for human rights by responding appropriately when negative impacts on human rights are being caused by our suppliers.

4. Grievance mechanisms, etc.

Nomura Group will develop an appropriate system to receive consultations and complaints regarding human rights, and if it is found that any of its business activities have caused or encouraged a negative impact on human rights, we will respond appropriately and work to remedy that.

5. Governance

The policy will be determined after a resolution of the Board of Directors, and in light of changes in business activities and the business environment, the Board of Directors will periodically review the need for revision based on the deliberations of the Sustainability Committee chaired by the Group CEO, and will revise the policy as necessary by a resolution of the Board of Directors. Human rights initiatives will be discussed by the Sustainability Committee and other committees on a regular basis and reported to the Board of Directors. We will appropriately and proactively disclose information about our human rights initiatives.

6. Stakeholder Engagement

By disclosing this policy to the public and communicating with a wide range of external stakeholders, we will strive to improve our efforts to address human rights issues as well as to promote respect for human rights. In our commitment to various human rights issues, we support the various international agreements and initiatives set out in Nomura Group Sustainability Statement and promote a harmonized approach.

(Established on May 16, 2023)