

November 28, 2016
SMBC Nikko Securities Inc.**Organizational and Personnel Changes**

SMBC Nikko Securities Inc. announces organizational and personnel changes as follows. Appointment of Statutory Auditor is subject to final approval at the General Meeting of Shareholders scheduled to be held on November 30, 2016.

1. Organizational Change (Effective as of November 28, 2016)

(1) Administrative Operation (Reorganized)

Equity Business Development is placed under joint management with Equity.

2. Changes in Directors and Executive Officers (Effective as of November 28, 2016)

(1) Retirement of Director and Appointment of Executive Officer

Taneki Ono	Managing Executive Officer
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(2) Change in Executive Responsibility

Taro Hayashi	Managing Executive Officer, Head of Capital Markets Unit
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3. Change in General Manager (Effective as of November 28, 2016)

Kohei Mitamura	General Manager, International Business Supervisory
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4. Change in Executive Officer (Effective as of December 1, 2016)

(1) Promotion of Executive Officer

Takahiro Yazawa	Managing Executive Officer
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5. Appointment of Statutory Auditor (Effective as of December 1, 2016)

Hideo Goto

6. Change in Executive Officer (Effective as of December 31, 2016)

(1) Retiring Executive Officer

Taneki Ono

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