

【NEWS RELEASE】

September 25, 2018
SMBC Nikko Securities Inc.

Summary of the Announcement by President Shimizu
at the Autumn 2018 Meeting of Department Heads and Branch Managers

Despite the harsh market environment, I believe we have consistently made progress towards our goal to “reach a position in the industry by FY 2019, where we can aim to become #1 in Japan in terms of business base, revenue, and profits” as stated in the Medium-term Management Plan (MTMP). We are currently standing at the halfway point of the current MTMP. The following second half of this fiscal year is vital to get ready for a strong leap in the final year of the current MTMP.

As SMBC Nikko enters its 101st year, I would like to share three important points.

First of all, please be aware of the values of “Customer-oriented business conduct”. Since our founding, we have inherited and valued the spirit of “co-existence and co-prosperity with the clients” and being “kind and honest”. Let us continue putting our clients first.

Next, I would like you to experience the dynamism of the economy in a way only employees of a securities firm can. I believe that the dynamism of the economy is very exciting and to experience it up close is a benefit that comes with working for a securities firm. Please share this dynamism with your clients. We should fuel our passion and go back to the origin of securities business to fulfill the function of a financial agent connecting excellent companies and investors.

Finally, please raise the level of your awareness and conduct as a member of “Team SMBC Group”, to make full use of the Group’s capabilities. SMBC Group enlists leading companies that represent Japan in industries such as banking, trust business and credit card. Through promoting collaboration among the Group, we have achieved great success such as provide a wider range of products and solutions to meet various client needs. I would like all employees to constantly and sincerely think what we can further do for our clients, ensure full compliance with rules and regulations, and take the Group collaboration to the next level.

These three points are the very same as the spirit of our corporate philosophy and our brand slogan. I would like you to reflect whether your conduct, judgment, and instructions to your staff are in line with these values. I expect everyone to make further efforts in the coming second half of this fiscal year.

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