

January 25, 2023  
SMBC Nikko Securities Inc.

### **Disposition Imposed by Nagoya Stock Exchange**

For the acts subject to administrative actions (Business Suspension Order and Business Improvement Order) imposed by the Financial Services Agency on October 7 last year, SMBC Nikko Securities Inc. received today a six million yen fine for default from the Nagoya Stock Exchange.

We take this disposition very seriously and would like to express our deepest apologies for causing the situation that led to the disposition. We will steadily implement measures to make improvements and prevent recurrence\* announced in the press release on November 4 last year and restore the trust of customers and other parties concerned.

\*November 4 2022 press release titled "Submission of Report Based on Administrative Actions Imposed by the Financial Services Agency"

-> [https://www.smbcnikko.co.jp/en/news/2022/pdf/221104\\_01e.pdf](https://www.smbcnikko.co.jp/en/news/2022/pdf/221104_01e.pdf)

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