

## 【NEWS RELEASE】

September 10, 2026

SMBC Nikko Securities Holdings Establishment Preparatory Company, Inc.

### **Announcement Regarding Personnel Changes** **Associated with Transition to an Intermediate Holding Company**

SMBC Nikko Securities Holdings Establishment Preparatory Company, Inc. (hereinafter, “the Company”) hereby announces that, subject to obtaining the necessary approvals from the relevant authorities and completion of other required procedures, the Company will change its corporate name to SMBC Nikko Securities Holdings Inc. (hereinafter, “SMBC Nikko Securities Holdings”) and transition to an intermediate holding company with SMBC Nikko Securities Inc. (hereinafter, “SMBC Nikko Securities”) as a wholly owned subsidiary, effective October 1, 2026. SMBC Nikko Securities Holdings is scheduled to become a company with an Audit and Supervisory Committee, serving as the entity responsible for formulating group management strategies and overseeing group management functions. In addition, SMBC Nikko Securities is scheduled to become a company with a board of statutory auditors.

In conjunction with this transition, the Company announces the following personnel changes.

#### 1. Changes in Directors and Executive Officers (Effective as of October 1, 2026)

##### (1) Appointment of Director Candidates

\*The appointments are subject to approval at the Extraordinary General Meeting of Shareholders scheduled for September 30.

| Name                      | New                                |
|---------------------------|------------------------------------|
| <b>Shuji Yoshioka</b>     | Representative Director, President |
| <b>Hiroataka Yuasa</b>    | Representative Director            |
| <b>Yo Akatsuka</b>        | Director                           |
| <b>Shigeru Kaneko</b>     | Director                           |
| <b>Katsunori Tanizaki</b> | Director                           |
| <b>Kazuyuki Anchi</b>     | Director                           |
| <b>Keishi Hotsuki</b>     | Director                           |
| <b>Koichiro Tsujino</b>   | Director (Outside)                 |
| <b>Yuji Hirako</b>        | Director (Outside)                 |

##### (2) Appointment of Director Candidates (Members of the Audit and Supervisory Committee)

\*The appointments are subject to approval at the Extraordinary General Meeting of Shareholders scheduled for September 30.

| Name                  | New                                                     |
|-----------------------|---------------------------------------------------------|
| <b>Kazuhiro Notsu</b> | Director, Member of the Audit and Supervisory Committee |
| <b>Takanori Yagi</b>  | Director, Member of the Audit and Supervisory Committee |

This translation is based on the press release in Japanese announced on September 10, 2026. The content of the translation may not be coincident with the original.

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|--------------------------|-------------------------------------------------------------------|
| <b>Takaichi Muranaka</b> | Director (Outside), Member of the Audit and Supervisory Committee |
| <b>Tokio Morita</b>      | Director (Outside), Member of the Audit and Supervisory Committee |
| <b>Kiyomi Kikuchi</b>    | Director (Outside), Member of the Audit and Supervisory Committee |

(3) Appointment of Executive Officers

| Name                      | New                                                                                                                                       |
|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Shuji Yoshioka</b>     | President and Chief Executive Officer                                                                                                     |
| <b>Toshihiko Umetani</b>  | Deputy President Executive Officer, Co-Head of Global Investment Banking Unit and Head of Business Strategy & Development                 |
| <b>Munehiro Yamada</b>    | Deputy President Executive Officer, Head of Global Investment Banking Unit                                                                |
| <b>Yo Akatsuka</b>        | Deputy President Executive Officer, COO (Senior Advisor to the President and CEO)                                                         |
| <b>Tatsuya Shiine</b>     | Senior Managing Executive Officer, Head of Human Resources Unit                                                                           |
| <b>Hiroshi Inoue</b>      | Senior Managing Executive Officer, Senior Deputy Head of Global Investment Banking Unit and Head of Business Strategy & Development       |
| <b>Bungo Miura</b>        | Senior Managing Executive Officer, Head of Global Business Planning Unit                                                                  |
| <b>Daiji Nakata</b>       | Senior Managing Executive Officer, Head of Sales Unit                                                                                     |
| <b>Norikazu Akedo</b>     | Senior Managing Executive Officer, Co-Head of Global Markets Unit and Head of Business Strategy & Development                             |
| <b>Toshihiro Horiuchi</b> | Senior Managing Executive Officer, Head of Operation & System Unit and Head of Business Strategy & Development                            |
| <b>Ayumu Goto</b>         | Managing Executive Officer, Head of Planning Unit and Head of Finance, Customer-Oriented Business Planning and Sustainability Development |
| <b>Junko Ikarashi</b>     | Managing Executive Officer, Head of Investment Solutions Unit                                                                             |
| <b>Takafumi Kakinoki</b>  | Managing Executive Officer, Head of Human Resources                                                                                       |
| <b>Masahito Nonaka</b>    | Managing Executive Officer, Co-Head of Global Markets Unit                                                                                |
| <b>Hiroataka Yuasa</b>    | Managing Executive Officer, Head of Compliance Unit, Head of Compliance and Head of Board of Directors Office                             |
| <b>Shigeru Kaneko</b>     | Managing Executive Officer, Co-Head of Compliance Unit and Head of Business Strategy & Development                                        |
| <b>Katsuya Fujita</b>     | Managing Executive Officer, Co-Head of Global Markets Planning                                                                            |
| <b>Keita Matsumoto</b>    | Managing Executive Officer, Co-Head of Global Markets Unit                                                                                |
| <b>Shoichiro Shimura</b>  | Managing Executive Officer, Senior Deputy Head of Sales Unit, Head of Sales Planning                                                      |
| <b>Shinichi Okamoto</b>   | Managing Executive Officer, Head of Risk Management Unit                                                                                  |
| <b>Osahiro Yamamoto</b>   | Managing Executive Officer, Co-Head of Global Markets Planning                                                                            |

|                          |                                                                                                         |
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| <b>Shinsuke Yoshioka</b> | Executive Officer, Head of System                                                                       |
| <b>Hiromi Sato</b>       | Executive Officer, Head of Business Strategy & Development and Deputy Head of Internal Audit            |
| <b>Toshihiko Oshio</b>   | Executive Officer, Head of Business Strategy & Development                                              |
| <b>Maki Nagatsuma</b>    | Executive Officer, Head of Internal Audit                                                               |
| <b>Yoshinori Sudo</b>    | Executive Officer, Head of Investment Solutions                                                         |
| <b>Naka Orita</b>        | Executive Officer, Head of Corporate Planning and General Manager, Corporate Planning                   |
| <b>Joel Fastenberg</b>   | Executive Officer, General Manager, Human Resources                                                     |
| <b>Ikuko Honda</b>       | Executive Officer, General Manager, Internal Audit                                                      |
| <b>Takuya Shinahara</b>  | Executive Officer, Senior Deputy Head of Corporate Planning and Head of Business Strategy & Development |
| <b>Takumune Kanaya</b>   | Executive Officer, Head of Global Business Planning                                                     |

2. **Personnel Changes** (Effective as of October 1, 2026)

| Name                      | New                                                           |
|---------------------------|---------------------------------------------------------------|
| <b>Takeshi Tajima</b>     | Deputy Member of the Audit and Supervisory Committee          |
| <b>Shigeru Muramatsu</b>  | Deputy Member of the Audit and Supervisory Committee          |
| <b>Masataka Mori</b>      | Deputy Member of the Audit and Supervisory Committee          |
| <b>Takae Masaki</b>       | General Manager, Board of Directors Office                    |
| <b>Hiroyuki Matsumoto</b> | Deputy Head of Compliance                                     |
| <b>Hiroshi Kita</b>       | Senior General Manager, General Manager, Compliance           |
| <b>Hiroki Kinoshita</b>   | General Manager, Compliance                                   |
| <b>Osamu Sawada</b>       | General Manager, Trade & Information Compliance               |
| <b>Naohiro Maeda</b>      | General Manager, Trade & Information Compliance               |
| <b>Akikazu Hamaya</b>     | General Manager, Financial Crime Compliance                   |
| <b>Akihiko Yokota</b>     | General Manager, Legal                                        |
| <b>Kei Niinuma</b>        | General Manager, Legal                                        |
| <b>Taiga Ozawa</b>        | Senior General Manager, Head of Risk Management               |
| <b>Kaoru Nakamura</b>     | Senior General Manager, Senior Deputy Head of Risk Management |
| <b>Yoshiaki Nishikawa</b> | General Manager, Risk Management                              |

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| <b>Hajime Ochi</b>        | Deputy Head of Human Resources                                            |
| <b>Hiroataka Saito</b>    | Senior General Manager, General Manager, Human Resources                  |
| <b>Ryota Tsumaki</b>      | General Manager, Personnel Development                                    |
| <b>Keiko Nagata</b>       | General Manager, Secretarial                                              |
| <b>Tomomi Nishi</b>       | Senior General Manager, Head of Operation                                 |
| <b>Minoru Funabashi</b>   | Senior General Manager, Senior Deputy Head of Operation                   |
| <b>Hisashi Kanai</b>      | General Manager, Operation Planning                                       |
| <b>Shigenori Kikuchi</b>  | Senior Deputy Head of System and CISO                                     |
| <b>Nobuo Aoki</b>         | Senior Deputy Head of System                                              |
| <b>Ryutaro Nemoto</b>     | General Manager, System Planning                                          |
| <b>Yasutaka Yamaguchi</b> | General Manager, Cybersecurity Management                                 |
| <b>Masaru Ikeda</b>       | General Manager, Data Management                                          |
| <b>Shingo Imamura</b>     | General Manager, Financial Planning                                       |
| <b>Kazuhiro Ojima</b>     | General Manager, Treasury                                                 |
| <b>Junko Suzuki</b>       | Deputy Head of Corporate Planning                                         |
| <b>Yasushi Okada</b>      | General Manager, Communications                                           |
| <b>Takeshi Hirao</b>      | General Manager, Corporate Planning                                       |
| <b>Shinsuke Matsuura</b>  | Deputy Head of Global Business Planning                                   |
| <b>Akiyuki Taguchi</b>    | General Manager, Global Business Planning                                 |
| <b>Keisuke Yamamoto</b>   | General Manager, Sales Planning                                           |
| <b>Takeshi Umeda</b>      | Senior General Manager, Senior Deputy Head of Investment Solutions        |
| <b>Shogo Omori</b>        | General Manager, Product Planning                                         |
| <b>Masayuki Yagi</b>      | General Manager, Global Markets Planning                                  |
| <b>Ryuji Nishikawa</b>    | Senior General Manager, Head of Wholesale Business Planning               |
| <b>Fumiteru Ueno</b>      | Senior General Manager, Senior Deputy Head of Wholesale Business Planning |
| <b>Noriaki Fujiwara</b>   | General Manager, Wholesale Business Planning                              |