

(Reference Translation)

## Net Capital Regulation Ratio of General Trading Participants(Mar. 31, 2024)

Trading Participants	non-fixed capital	Total Sum of Risk Equivalent Amount	Market Risk Equivalent Amounts	Counterparty risk equivalent	Basic Risk Equivalent	net capital regulation ratio	subordinated bond	
ABN AMRO Clearing Tokyo Co., Ltd.	4,638	1,140	0	16	1,123	406.8%		
AIZAWA SECURITIES CO., LTD.	14,260	4,061	59	705	3,296	351.0%		
Akatsuki Securities, Inc.	5,681	1,406	46	249	1,110	403.8%		
ANDO SECURITIES CO., LTD.	30,657	10,527	9,098	400	1,028	291.2%		
ARK SECURITIES CO., LTD.	4,343	1,204	959	9	234	360.7%		
au Kabucom Securities Co., Ltd.	33,054	12,308	82	8,590	3,635	268.5%		
Bansei Securities Co., Ltd.	3,630	933	406	54	472	389.0%		
Barclays Securities Japan Limited	108,412	27,666	8,418	5,662	13,584	391.8%	20,800	
BNP Paribas Securities (Japan) Limited	193,789	44,833	22,651	6,204	15,976	432.2%		
BofA Securities Japan Co., Ltd.	122,271	33,542	12,724	9,314	11,504	364.5%		
Chibagin Securities Co., Ltd.	20,449	6,162	4,884	125	1,152	331.8%		
Citigroup Global Markets Japan Inc.	274,584	88,026	46,283	22,583	19,159	311.9%	35,000	
CLSA Securities Japan Co., Ltd.	4,137	1,869	210	107	1,552	257.8%		
Credit Agricole Securities Asia B.V.	46,115	7,724	101	4,704	2,919	597.0%	2,000	
Credit Suisse Securities (Japan) Limited	53,303	7,656	295	800	6,560	696.1%		
Daishi Hokuetsu Securities Co., Ltd.	18,022	3,340	2,454	121	764	539.5%		*
Daiwa Securities Co. Ltd.	710,870	189,108	55,989	70,412	62,706	375.9%	350,000	
Deutsche Securities Inc.	100,009	21,864	8,793	5,334	7,737	457.3%		
DSB Co., Ltd.	17,575	4,104	147	1,011	2,945	428.2%		
Eiwa Securities Co., Ltd.	12,353	5,748	5,439	31	276	214.9%		
FFG Securities Co., Ltd.	11,027	1,401	325	74	1,001	787.0%		
GMO CLICK Securities, Inc.	39,284	6,588	413	2,696	3,478	596.2%	2,000	
Goldman Sachs Japan Co., Ltd.	336,690	105,123	36,450	48,553	20,119	320.2%	115,000	
HACHIJUNI SECURITIES Co., Ltd.	9,290	690	23	57	609	1344.5%		
THE HIKARI SECURITIES CO., LTD.	13,944	4,007	3,676	86	244	347.9%		
HIROTA SECURITIES CO., LTD.	12,910	5,869	5,017	195	656	219.9%		*
HSBC Securities (Japan) Co., Ltd.	27,827	3,389	2	2,379	1,007	821.0%	9,000	
Ichiyoshi Securities Co., Ltd.	20,492	3,955	10	438	3,506	518.0%		
The Imamura Securities Co., Ltd.	8,421	1,207	351	86	768	697.7%		
Interactive Brokers Securities Japan, Inc.	1,711	454	6	53	394	376.4%		
IwaiCosmo Securities Co., Ltd.	45,313	5,615	455	1,405	3,753	806.9%		
Jefferies (Japan) Limited	9,802	2,755	5	109	2,640	355.7%	3,749	
JIA Securities Co., Ltd.	601	227	16	61	149	263.8%		
JPMorgan Securities Japan Co., Ltd.	298,921	98,310	46,589	30,592	21,128	304.0%		
J Trust Global Securities Co., Ltd.	4,644	1,291	57	363	869	359.6%		
Kimura Securities Co., Ltd.	4,305	2,100	1,777	36	286	204.9%		
The Kosei Securities Co., Ltd.	10,934	1,150	878	37	235	950.3%		
KYOKUTO SECURITIES CO., LTD.	36,115	7,413	6,014	192	1,207	487.1%		
Kyowa Securities Co., Ltd.	6,833	3,285	2,956	97	231	207.9%		
Leading Securities Co., Ltd.	1,115	330	12	93	224	338.1%	280	
Macquarie Capital Securities (Japan) Limited	12,634	2,247	81	86	2,079	562.2%		
Maruhachi Securities Co., Ltd.	6,794	928	241	75	610	731.9%		
MARUKUNI SECURITIES CO., LTD.	7,509	3,096	2,768	154	172	242.5%		
Marusan Securities Co., Ltd.	44,264	7,174	2,891	730	3,551	616.9%		
MATSUI SECURITIES CO., LTD.	54,761	12,996	37	7,887	5,071	421.3%		
MEIWA SECURITIES CO., LTD.	9,998	2,752	2,374	50	327	363.2%		
MIKI SECURITIES CO., LTD.	15,310	5,657	5,178	107	371	270.6%		
MITA SECURITIES Co., Ltd.	6,672	1,905	565	507	833	350.2%	200	
Mito Securities Co., Ltd.	36,322	5,294	2,243	315	2,735	686.0%		
Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.	537,309	176,037	70,248	52,378	53,411	305.2%	274,500	*
Mizuho Securities Co., Ltd.	756,190	286,271	146,322	62,571	77,377	264.1%	534,000	
Monex, Inc.	39,209	12,619	230	5,880	6,508	310.6%		
Moomoo Securities Japan Co., Ltd.	3,056	835	109	273	452	365.7%		

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Trading Participants	non-fixed capital	Total Sum of Risk Equivalent Amount	Market Risk Equivalent Amounts	Counterparty risk equivalent	Basic Risk Equivalent	net capital regulation ratio	subordinated bond	
Morgan Stanley MUFG Securities Co., Ltd.	290,037	89,621	27,455	35,776	26,389	323.6%	90,000	
Musashi Securities Co., Ltd.	14,842	2,667	834	756	1,076	556.4%		
NAGANO SECURITIES CO., LTD.	9,143	4,506	4,197	69	238	202.9%		
NAITO SECURITIES CO., LTD.	25,571	6,019	3,510	710	1,798	424.8%		
The Nakahara Securities Co., Ltd.	7,586	3,247	2,802	63	381	233.6%		
Natixis Japan Securities Co., Ltd.	26,779	7,305	124	2,925	4,254	366.5%		
New-S Securities CO., Ltd.	1,770	311	23	187	100	567.7%		
NISHIMURA SECURITIES CO., LTD.	3,378	1,148	827	48	271	294.1%		
Nissan Securities Co., Ltd.	10,890	3,163	1,224	415	1,523	344.2%		*
Nomura Securities Co., Ltd.	953,391	369,983	50,239	184,653	135,090	257.6%	470,000	
North Pacific Securities Co.,Ltd.	2,224	561	82	38	440	396.1%		
OKACHI SECURITIES CO., LTD.	20,531	8,950	8,454	71	425	229.3%		
OKASAN NIIGATA SECURITIES CO., LTD.	10,412	998	144	198	656	1042.2%		
OKASAN SECURITIES CO., LTD.	68,639	21,977	6,409	2,392	13,176	312.3%	4,000	
Okayasu Securities Co.,Ltd.	846	214	4	26	183	394.0%		
Phillip Securities Japan, Ltd.	9,755	4,650	3,830	345	474	209.7%		
Rakuten Securities, Inc.	126,848	40,672	257	25,857	14,557	311.8%		
Retela Crea Securities Co., Ltd.	13,037	638	69	118	449	2042.3%		
SANKO SECURITIES CO., LTD.	4,518	473	263	27	182	955.2%		
SBI SECURITIES Co., Ltd.	254,959	100,029	4,801	68,930	26,298	254.8%	122,500	
SBI Neotrade Securities Co., Ltd.	6,611	2,248	0	1,421	827	294.0%		
Securities Japan, Inc.	28,265	7,489	6,070	490	929	377.3%		
Shinkin Securities Co.,Ltd.	24,700	815	82	268	465	3030.6%		
SMBC Nikko Securities Inc.	805,303	248,164	84,190	93,690	70,283	324.5%		
Societe Generale Securities Japan Limited	102,341	21,060	2,584	10,020	8,456	485.9%	24,500	
THE TACHIBANA SECURITIES CO., LTD	67,521	12,461	8,308	2,439	1,712	541.8%		*
Tokai Tokyo Securities Co., Ltd.	129,480	35,054	12,538	8,382	14,134	369.3%	30,000	
TOYO SECURITIES CO., LTD.	31,714	4,565	1,591	476	2,498	614.0%		
UBS Securities Japan Co., Ltd.	36,986	10,588	1,406	2,275	6,907	349.2%	6,000	
Webull Securities(Japan) Co. Ltd.	3,149	450	63	22	365	698.9%		
Yamani Securities Co., Ltd.	6,857	3,409	3,294	13	100	201.1%		
YAMAWA SECURITIES CO., LTD.	10,177	2,099	1,370	129	599	484.6%		
The Yutaka Securities Co., Ltd.	16,506	2,715	1,782	105	827	607.9%		

(Note 1) Please refer to attachment for details of the subordinated debt.

(Note 2) (\*), The May 8 posting on a website or later, it will show that there was a correction.

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Trading Participants	Amount of money	Contract (effective) date	Repayment (redemption) Date
Barclays Securities Japan Limited	2,500	2023/9/27	2028/9/25
	2,000	2024/3/27	2029/3/27
	3,500	2022/11/25	2026/11/25
	3,000	2023/11/27	2028/11/24
	3,000	2021/9/27	2026/9/25
	3,000	2024/2/14	2029/2/14
	3,800	2022/2/14	2026/2/16
Citigroup Global Markets Japan Inc.	35,000	2022/12/28	2024/12/30
Credit Agricole Securities Asia B.V.	2,000	2004/4/23	2025/2/8
Daiwa Securities Co.Ltd.	50,000	2015/8/12	2025/8/12
	300,000	2022/3/25	2032/3/25
GMO CLICK Securities, Inc.	2,000	2023/6/30	2025/6/30
Goldman Sachs Japan Co., Ltd.	20,000	2020/4/14	2024/6/18
	10,000	2021/12/22	2024/12/18
	15,000	2021/12/22	2025/6/25
	20,000	2022/6/22	2025/12/17
	20,000	2022/6/27	2024/7/3
	30,000	2022/6/27	2024/12/18
HSBC Securities (Japan) Co., Ltd.	9,000	2020/6/25	2025/6/30
Jefferies (Japan) Limited	3,749	2021/8/25	2025/8/25
Leading Securities Co., Ltd.	60	2019/12/22	2025/12/31
	100	2019/11/2	2025/12/31
	120	2020/3/30	2025/12/31
MITA SECURITIES Co., Ltd.	200	2023/5/2	2025/5/2
Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.	3,000	2015/9/30	2025/9/30
	12,000	2017/9/29	2025/3/5
	20,000	2017/12/29	2027/12/29
	25,000	2018/3/29	2025/3/31
	10,000	2018/12/17	2028/12/18
	29,000	2019/9/30	2026/9/30
	5,000	2021/7/28	2026/3/31
	30,000	2021/9/30	2026/3/31
	30,000	2022/11/18	2028/3/31
	30,000	2022/11/18	2030/3/29
	35,000	2023/3/28	2029/3/30
	10,000	2023/3/28	2027/3/31
	15,500	2023/9/27	2029/9/28
	20,000	2023/10/23	2030/9/30
Mizuho Securities Co., Ltd.	49,000	2021/6/24	2025/6/29
	30,000	2021/6/28	2024/6/28
	41,000	2021/6/29	2025/6/29
	90,000	2021/6/29	2026/6/30
	90,000	2021/6/29	2027/6/29
	94,000	2021/6/29	2028/6/29
	35,000	2022/3/31	2029/6/29
	30,000	2022/6/27	2025/6/27
	25,000	2022/7/29	2029/6/29
	10,000	2023/1/31	2029/6/29
	10,000	2023/3/31	2029/6/29
	30,000	2023/6/26	2026/6/26
Morgan Stanley MUFG Securities Co., Ltd.	60,000	2023/12/26	2028/12/26
	30,000	2023/10/2	2028/10/2

Trading Participants	Amount of money	Contract (effective) date	Repayment (redemption) Date
Nomura Securities Co., Ltd.	170,000	2023/2/8	2026/2/9
	180,000	2021/2/8	2031/2/10
	120,000	2021/6/4	2031/2/10
OKASAN SECURITIES CO., LTD.	1,200	2020/3/31	2025/3/31
	1,000	2020/3/31	2025/3/31
	1,000	2020/3/31	2025/3/31
	800	2020/3/31	2025/3/31
SBI SECURITIES Co., Ltd.	48,000	2021/6/28	2024/6/28
	74,500	2022/8/15	2025/8/18
Societe Generale Securities Japan Limited	14,500	2016/4/25	2026/4/24
	10,000	2023/6/1	2025/12/1
Tokai Tokyo Securities Co., Ltd.	20,000	2009/4/1	2039/4/1
	10,000	2023/3/31	2039/4/1
UBS Securities Japan Co., Ltd.	6,000	2024/1/24	2027/1/28