

(Reference Translation)

February 21, 2013

TSE imposes Disciplinary Action Against Sanko Securities Co.,Ltd.

The Tokyo Stock Exchange (hereinafter "TSE") has imposed disciplinary action (imposition of JPY 12 million fine) against Sanko Securities Co., Ltd. (hereinafter the "Company") pursuant to Rule 34, Paragraph 1, Item 8 of the Trading Participant Regulations.

Additionally, the TSE has requested the Company submit a business improvement report pursuant to Rule 19 of the Trading Participant Regulations.

The business improvement report shall include:

(1) Implementing a fundamental overhaul of trading supervision systems and frameworks to ensure fair trading as well as implementing measures to prevent recurrence of similar acts in order to eliminate violations of laws and regulations;

(2) Implementing measures to enhance/strengthen audit systems and frameworks;

(3) Implementing measures, such as training sessions, to thoroughly strengthen awareness of compliance with laws and regulations among all executives, officers, and employees;

(4) Clarifying the locus of responsibility for the management, trading supervision staff, and proprietary trading staff in relation to this case.

Contact:

Market Participant Relations

Corporate Marketing Management Department

Tokyo Stock Exchange, Inc.

TEL: +81-3-3666-0141

DISCLAIMER: This translation may be used for reference purposes only. This English version is not an official translation of the original Japanese document. In cases where any differences occur between the English version and the original Japanese version, the Japanese version shall prevail. This translation is subject to change without notice. Tokyo Stock Exchange, Inc., Tokyo Stock Exchange Group, Inc., and/or Tokyo Stock Exchange Regulation shall individually or jointly accept no responsibility or liability for damage or loss caused by any error, inaccuracy, misunderstanding, or changes with regard to this translation.