

(Reference Translation)

Net Capital Regulation Ratio of General Trading Participants(Dec. 31, 2023)

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.	4,141	1,073	0	12	1,060	385.6%		*
AIZAWA SECURITIES CO., LTD.	13,817	4,091	129	671	3,290	337.6%		
Akatsuki Securities, Inc.	5,289	1,302	14	239	1,048	406.1%		
ANDO SECURITIES CO., LTD.	27,067	8,453	7,031	422	998	320.1%		
ARK SECURITIES CO., LTD.	3,532	1,022	786	10	225	345.4%		
au Kabucom Securities Co., Ltd.	32,297	10,318	64	6,702	3,551	312.9%		
Bansei Securities Co., Ltd.	3,741	910	371	64	475	410.7%		
Barclays Securities Japan Limited	104,063	24,903	7,061	4,789	13,052	417.8%	20,800	*
BNP Paribas Securities (Japan) Limited	171,867	55,356	17,161	24,165	14,029	310.4%		
BofA Securities Japan Co., Ltd.	122,738	33,920	10,761	11,506	11,653	361.8%		
Chibagin Securities Co., Ltd.	17,580	5,161	3,832	128	1,200	340.5%		
Citigroup Global Markets Japan Inc.	269,579	88,201	47,139	22,533	18,528	305.6%	35,000	
CLSA Securities Japan Co., Ltd.	5,206	1,750	131	99	1,519	293.6%		
Credit Agricole Securities Asia B.V.	45,020	7,117	231	4,300	2,585	632.4%	2,000	
Credit Suisse Securities (Japan) Limited	56,246	9,402	296	795	8,311	598.2%		
Daishi Hokuetsu Securities Co., Ltd.	16,088	2,683	1,822	116	744	599.5%		
Daiwa Securities Co. Ltd.	698,686	172,669	51,263	60,497	60,908	404.6%	350,000	
Deutsche Securities Inc.	100,999	20,558	6,910	6,421	7,226	491.2%		
DSB Co., Ltd.	22,337	4,005	138	971	2,894	557.6%		
Eiwa Securities Co., Ltd.	11,376	4,553	4,249	32	270	249.8%		
FFG Securities Co., Ltd.	10,938	1,427	325	118	982	766.4%		*
GMO CLICK Securities, Inc.	36,298	6,146	377	2,419	3,349	590.5%	2,000	
Goldman Sachs Japan Co., Ltd.	324,416	93,203	33,064	38,412	21,726	348.0%	115,000	*
HACHIJUNI SECURITIES Co., Ltd.	9,195	726	23	69	633	1266.2%		
THE HIKARI SECURITIES CO., LTD.	12,220	3,023	2,735	50	237	404.1%		
HIROTA SECURITIES CO., LTD.	13,158	4,504	3,694	165	644	292.0%		
HSBC Securities (Japan) Co., Ltd.	28,320	2,456	2	1,458	995	1152.8%	9,000	
Ichiyoshi Securities Co., Ltd.	20,151	3,912	9	403	3,499	515.0%		
The Imamura Securities Co., Ltd.	8,579	1,130	301	80	747	759.1%		
Interactive Brokers Securities Japan, Inc.	1,827	440	6	58	376	414.7%		
IwaiCosmo Securities Co., Ltd.	46,035	5,376	403	1,308	3,664	856.2%		
Jefferies (Japan) Limited	9,682	2,626	5	145	2,475	368.7%	3,705	
JIA Securities Co., Ltd.	588	217	18	57	141	270.1%		
JPMorgan Securities Japan Co., Ltd.	284,746	73,397	17,821	34,869	20,705	387.9%		
J Trust Global Securities Co., Ltd.	4,459	1,269	47	344	877	351.4%		
Kimura Securities Co., Ltd.	4,115	1,781	1,476	29	276	230.9%		
The Kosei Securities Co., Ltd.	10,151	979	721	35	222	1036.2%		
KYOKUTO SECURITIES CO., LTD.	36,782	6,657	5,278	249	1,130	552.4%		
Kyowa Securities Co., Ltd.	5,889	2,631	2,308	92	230	223.8%		
Leading Securities Co., Ltd.	1,215	322	23	79	218	377.4%	280	
Macquarie Capital Securities (Japan) Limited	12,122	2,192	37	83	2,071	552.9%		
Maruhachi Securities Co., Ltd.	6,859	880	189	97	593	779.2%		
MARUKUNI SECURITIES CO., LTD.	7,554	2,440	2,172	105	162	309.6%		
Marusan Securities Co., Ltd.	42,496	6,356	2,275	593	3,488	668.5%		
MATSUI SECURITIES CO., LTD.	57,391	12,004	38	7,178	4,787	478.0%		
MEIWA SECURITIES CO., LTD.	8,520	1,877	1,513	44	319	453.9%		
MIKI SECURITIES CO., LTD.	15,483	4,255	3,778	114	362	363.8%		
MITA SECURITIES Co., Ltd.	6,905	1,640	279	513	847	421.0%	700	
Mito Securities Co., Ltd.	34,392	4,619	1,486	413	2,720	744.4%		
Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.	581,633	191,662	92,842	44,721	54,099	303.4%	301,300	
Mizuho Securities Co., Ltd.	751,563	265,229	142,740	48,041	74,447	283.3%	534,000	
Monex, Inc.	36,092	11,756	138	5,320	6,297	307.0%		
Moomoo Securities Japan Co., Ltd.	4,107	516	23	197	295	794.7%		

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Morgan Stanley MUFG Securities Co., Ltd.	276,921	81,286	25,911	31,567	23,806	340.6%	90,000	
Musashi Securities Co., Ltd.	15,205	2,427	708	676	1,043	626.3%		
NAGANO SECURITIES CO., LTD.	8,189	3,528	3,241	55	231	232.1%		
NAITO SECURITIES CO., LTD.	23,000	5,243	3,002	461	1,780	438.6%		
The Nakahara Securities Co., Ltd.	6,023	2,759	2,332	57	369	218.2%		
Natixis Japan Securities Co., Ltd.	25,677	6,388	54	2,261	4,072	401.9%		
New-S Securities CO., Ltd.	1,644	267	13	147	106	614.4%		
NISHIMURA SECURITIES CO., LTD.	2,960	948	647	32	268	312.1%		
Nissan Securities Co., Ltd.	9,916	2,811	892	429	1,488	352.7%		
Nomura Securities Co., Ltd.	1,077,980	356,218	43,790	179,764	132,663	302.6%	470,000	
North Pacific Securities Co.,Ltd.	2,115	578	108	39	430	365.8%		
OKACHI SECURITIES CO., LTD.	15,638	6,720	6,228	72	418	232.6%		
OKASAN NIIGATA SECURITIES CO., LTD.	10,168	965	134	200	629	1053.3%		
OKASAN SECURITIES CO., LTD.	75,794	17,882	2,875	2,151	12,855	423.8%	6,000	
Okayasu Securities Co.,Ltd.	750	210	4	27	177	357.0%		
Phillip Securities Japan, Ltd.	8,288	3,693	2,927	309	456	224.4%		
Rakuten Securities, Inc.	121,409	36,211	150	22,093	13,967	335.2%		
Retela Crea Securities Co., Ltd.	12,864	637	87	102	446	2018.6%		
SANKO SECURITIES CO., LTD.	4,447	432	236	28	167	1029.0%		
SBI SECURITIES Co., Ltd.	269,981	87,749	4,435	58,197	25,117	307.6%	122,500	
SBI Neotrade Securities Co., Ltd.	6,624	2,172	0	1,368	803	304.8%		
Securities Japan, Inc.	24,093	6,285	4,968	418	898	383.3%		
Shinkin Securities Co.,Ltd.	24,909	1,126	223	451	452	2212.1%		*
SMBC Nikko Securities Inc.	739,574	221,845	77,625	76,494	67,725	333.3%		
Societe Generale Securities Japan Limited	102,369	24,207	3,087	12,899	8,219	422.8%	24,500	
THE TACHIBANA SECURITIES CO., LTD	62,874	10,144	6,356	2,116	1,671	619.8%		
Tokai Tokyo Securities Co., Ltd.	131,668	33,285	8,715	10,374	14,195	395.5%	30,000	
TOYO SECURITIES CO., LTD.	26,564	4,209	1,328	457	2,423	631.1%		
UBS Securities Japan Co., Ltd.	28,666	9,723	647	1,510	7,566	294.7%		
Webull Securities(Japan) Co. Ltd.	3,635	304	58	41	204	1195.4%		*
Yamani Securities Co., Ltd.	6,438	2,602	2,499	7	95	247.4%		
YAMAWA SECURITIES CO., LTD.	9,436	1,670	970	107	592	564.9%		
The Yutaka Securities Co., Ltd.	1,545	2,052	1,170	79	802	753.0%		

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

(Note 2) (*), The Feb 9 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	2019/3/27	2024/3/27
	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	2022/2/14	2024/2/14
	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	3,705	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.	500	2022/1/27	2024/1/29
	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
	26,800	2019/3/29	2024/3/29
	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.	1,800	2020/3/31	2025/3/31
	1,500	2020/3/31	2025/3/31
	1,500	2020/3/31	2025/3/31
	1,200	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