



Shinsei Securities Co., Ltd.

(<http://www.shinsei-sec.co.jp/>)

(Information as of March 31, 2017)

Established: December 2000

(Commencement of operations in May 2001)

Paid-in Capital: 8.75 billion yen

Common Stock: None

Representative: Masahiro Tara, Director, President

(appointed in June 2013)

Number of Directors and Employees: 83

(including 42 registered sales representatives)

Registration of Financial Instruments and Exchange Operations: Type I

Financial Instruments Business

Registration number: Registration No. 95 (Securities) filed with the

Director-General of the Kanto Local Finance Bureau

Association membership : Japan Securities Dealers Association

: Japan Investment Advisers Association

: Financial Futures Association of Japan

: Type II Financial Instruments Firms Association

Exchange membership: Not applicable

Investor protection funds membership: Japan Investor Protection Fund

Designated dispute resolution organization: Non-Profit Organization,

Financial Instruments Mediation assistance Center (abbreviation:

FINMAC)

[Main products and services for individuals and ordinary industrial corporations]

Products Transaction type	Stocks		Bonds		Mutual funds	ETF	REIT	Futures/ options	Securities CFD	FX transactions
	Foreign stocks	Domestic stocks	Foreign bonds	Domestic bonds						
Face-to-face	×	×	○	○	×	×	×	×	×	×
Call center/internet	×	×	×	×	×	×	×	×	×	×

Specifics of other businesses: Deemed securities (Type II Financial Instruments Business), and investment advisory and agency business

○: In business ×: Not in business Please contact our business offices for details.

In addition to the above products and services, we offer securities underwriting, and various products and services for institutional investors. For details of our business operations, please refer to our “Statement of Business and Assets” (page 4).