



Shinsei Securities Co., Ltd.

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

(Information as of March 31, 2018)

Established: December 2000

(Commencement of operations in May 2001)

Paid-in Capital: 8.75 billion yen

Listed Stocks: None

Representative: Masahiro Tara, Director, President

(appointed in June 2013)

Number of Directors and Employees: 84

(including 39 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 general business 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 | × | × | × | × | × | × | × | × | × | × |

Details 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 underwrite securities and offer products and services for institutional investors. For details of our businesses, please refer to our Statement of Business and Assets (page 4).