



Shinsei Securities Co., Ltd.

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

(Information as of March 31, 2020)

Established: December 2000

(Commencement of operations in May 2001)

Paid-in Capital: 8.75 billion yen

Listed Stocks: None

Representative: Yasuhiro Iwamoto, Director, President

(appointed in April 2019)

Number of Directors and Employees: 89

(including 47 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).