

【NEWS RELEASE】

March 17, 2022
SMBC Nikko Securities Inc.

Organizational and Personnel Changes

SMBC Nikko Securities Inc. announces organizational and personnel changes as follows.

1. Organizational Changes (Effective as of March 17, 2022)

(1) Digital Innovation Division

- IT Innovation Section is reorganized as Digital Strategy Dept..

(2) Global Business Planning Division

- International Division is renamed Global Business Planning Division.
- International Business Planning Dept. and International Business Supervisory Dept. are reorganized as Global Business Planning Dept..

(3) Sales Planning Division

- Solution Business Planning Dept. is renamed Solution Business Advisory Dept..
- Equity Advisory Dept. is reorganized as Portfolio Advisory Dept. and transferred from Direct Marketing Division to Sales Planning Division.
- Direct Marketing Dept. is renamed Digital Marketing Dept..

(4) Alliance Business Division

- Alliance Business Division is established.
- Alliance Business Planning Dept. is transferred from Direct Marketing Division to Alliance Business Division.

(5) Direct Marketing Division

- Direct Marketing Dept. is renamed Digital Marketing Dept..

(6) Private Wealth Division

- Nagoya Private Banking Dept. is under joint management with Tokai/Shutoken West District Division.
- Osaka Private Banking Dept. is under joint management with Kinki District Division.

(7) Product Marketing

- Asset Management & Insurance Products Dept. is renamed Asset Management Products Dept..

(8) IPO Underwriting & Consulting Division

- Investment Banking IPO III Dept. is established.

(9) Investment Banking & Solution Division

- Investment Banking & Solution Division is established.
- Investment Banking Strategies Dept. is transferred from Global Investment Banking Unit to Investment Banking & Solution Division.
- Financial Solution Dept. is transferred from Global Capital Markets Division to Investment Banking & Solution Division.

2. Changes in Executive Officers (Effective as of March 17, 2022)

(1) Retirement of Executive Officers

Hitoshi Minami	Advisor
Satoshi Osawa	Advisor
Toshihiro Niidome	Advisor
Shunshi Kira	Advisor President & CEO, Nikko Research Center, Inc. (Effective as of April 1, 2022)
Kazuya Noguchi	Advisor President & CEO, Nikko Business Systems Co., Ltd. (Effective as of April 1, 2022)
Nobu Sakamoto	Advisor
Shunichiro Joya	Advisor President & CEO, Nikko Enterprise Co., Ltd. (Effective as of April 1, 2022)

Kazuyoshi Fukushima	Advisor Executive Managing Director, Nikko Enterprise Co., Ltd. (Effective as of April 1, 2022)
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(2) Changes in Executive Officers

Toshihiro Sato	Deputy President Executive Officer, Head of Global Markets Unit
Hideki Sakamoto	Deputy President Executive Officer, Head of Global Investment Banking Unit
Toshihiko Umetani	Deputy President Executive Officer for Special Missions (North America) and Senior Advisor of Global Investment Banking Unit
Kazuhiro Notsu	Representative Director and Senior Managing Executive Officer for Special Missions (Improvement of internal control environment Project Team) and Senior Advisor of Planning Unit
Masashi Sakamoto	Senior Managing Executive Officer, Senior Deputy Head of Sales Unit and Head of Private Wealth
Tatsuya Suzuki	Senior Managing Executive Officer, Senior Deputy Head of Global Investment Banking Unit, Head of Global Capital Markets and Head of Investment Banking & Solution
Takahiro Yazawa	Senior Managing Executive Officer, Head of Global Business Planning Unit, Head of Global Business Planning and General Manager, Global Business Planning
Shuji Yoshioka	Managing Executive Officer, Sumitomo Mitsui Banking Corporation and Senior Deputy Head of Global Business Planning
Shinsuke Ushijima	Managing Executive Officer, Head of Planning Unit and Head of Finance
Seiichi Inaba	Managing Executive Officer, Head of Human Resources Unit and Head of Human Resources
Hiroshi Inoue	Managing Executive Officer, Deputy Head of Global Investment Banking Unit
Tatsuya Shiine	Managing Executive Officer, Head of Financial & Public Institutions Unit and Head of Financial & Public Institutions
Makoto Nishioka	Managing Executive Officer, Head of Product Marketing Unit and Head of Product Marketing

Bungo Miura	Managing Executive Officer, Senior Deputy Head of Global Business Planning (based in New York), Chairman and President, SMBC Nikko Securities America Inc., and Deputy Head of Special Missions (North America)
Kayo Nakamura	Managing Executive Officer, Head of Public Institutions
Teruya Sugino	Executive Officer, Co-Head of Risk Management
Keiji Wada	Executive Officer, Head of Corporate Business and Executive Officer for Special Missions (Wealth Advisory)
Hironori Hattori	Executive Officer, Senior Deputy Head of Global Business Planning
Daiji Nakata	Executive Officer, Head of Sales Planning and Head of Alliance Business
Narutoshi Terauchi	Executive Officer, Head of Corporate Finance (Industrials Group)
Koji Matsumoto	Executive Officer, Senior Deputy Head of Business Strategy & Development, Senior Deputy Head of Global Business Planning, Deputy Head of Special Missions (North America)
Fumio Takamatsu	Executive Officer, Senior Deputy Head of Global Capital Markets and Senior Deputy Head of Investment Banking & Solution
Tomoharu Sato	Executive Officer, Co-Head of IPO Underwriting & Consulting
Shinsuke Yoshioka	Executive Officer, Head of System, Head of Digital Innovation and General Manager, System Planning & Operation
Hiromi Sato	Executive Officer, Deputy Head of Global Business Planning (based in Hong Kong) and President, SMBC Nikko Securities (Hong Kong) Limited
Yuji Anashige	Executive Officer, Head of Shutoken District and General Manager, Mito Branch
Hajime Kawakami	Executive Officer, Head of Kyushu/Shutoken East District and General Manager, Saga Branch
Akira Yamamoto	Executive Officer, Co-Head of Risk Management
Junko Ikarashi	Executive Officer, Sumitomo Mitsui Banking Corporation
Kimitoshi Utsunomiya	Executive Officer, Head of Kinki District
Hitoshi Tsuboi	Executive Officer, Head of Corporate Finance (Financial Sponsor Group) and Co-Head of IPO Underwriting &

	Consulting
Kazunori Hata	Executive Officer, Sumitomo Mitsui Banking Corporation
Toshihiro Horiuchi	Executive Officer, Head of Corporate Planning & Customer-Oriented Business Planning and Chief Sustainability Officer and Senior Deputy Head of Digital Innovation
Shoichiro Shimura	Executive Officer, Head of Tokai/Shutoken West District

3. Personnel Changes (Effective as of March 17, 2022)

Hideto Nagamatsu	Regional Financial Institutions and Corporate Clients
Shinya Yamamoto	Senior General Manager, Deputy Head of Internal Audit
Hiroataka Yuasa	Senior General Manager, Compliance
Yoshinori Sudo	Senior General Manager, Human Resources
Toshihiko Oshio	Chief Executive Officer & President, SMBC Nikko Securities (Singapore) Pte. Ltd. Senior General Manager (SMBC Nikko Securities Inc.)
Masahito Nonaka	Deputy President Executive Officer, SMBC Nikko Securities America, Inc. Senior General Manager (SMBC Nikko Securities Inc.)
Yukio Ishii	President, SMBC Nikko Capital Markets Limited (Based in London) Senior General Manager (SMBC Nikko Securities Inc.)
Naoki Okubo	CEO, SMBC Nikko Capital Markets Europe GmbH Senior General Manager (SMBC Nikko Securities Inc.)
Yuichiro Kibe	Senior General Manager, Deputy Head of Private Wealth
Takuya Shinahara	Senior General Manager, Global Markets Technology
Naoki Shindo	Senior General Manager, Deputy Head of Financial Markets and Deputy Head of Research (Financial Market & Economic Research) and General Manager, Derivatives Market
Masaaki Hirowatari	Senior General Manager, Deputy Head of Corporate Business
Yusuke Suzuki	General Manager, Aomori Branch

Hiroki Tanimoto	General Manager, Asahikawa Branch
Toshiko Osumi	General Manager, Kichijoji Branch
Kazuhiko Nozaki	General Sales Manager, Sapporo Branch
Kiichi Omuro	General Manager, Shinjuku Branch
Keisuke Koda	General Manager, Shinyurigaoka Branch
Izuru Nakamura	General Manager, Sendai Branch
Minoru Kakogawa	General Sales Manager, Sendai Branch
Toshiyuki Yamamura	General Manager, Tamagawa Branch
Masaki Kobayashi	General Manager, Nagano Branch
Takehiro Sekiyama	General Manager, Morioka Branch
Yasutaka Ueda	General Manager, Ueno Branch
Satoshi Sugiyama	General Manager, Urawa Branch
Saori Kobayashi	General Manager, Kashiwa Branch
Tatsuya Tanaka	General Manager, Gotanda Branch
Yasushi Ise	General Sales Manager, Chiba Branch
Yoshiyuki Suzuki	General Manager, Tsudanuma Branch
Kazumi Ishida	Deputy General Manager, Nihonbashi Branch
Masako Kajima	General Manager, Matsudo Branch
Toyo Mizuno	General Manager, Financial Institutions Tokyo
Shoichiro Utsuda	General Manager, Aobadai Branch
Chie Koga	General Manager, Kamakura Branch
Junko Oono	General Manager, Kamata Branch
Hiroyuki Okuno	Deputy General Manager, Nagoya Branch
Toshiharu Suzuki	General Manager, Fujisawa Branch
Kenji Morisaki	General Manager, Institutional Business Yokohama
Kohei Saito	General Manager, Yokkaichi Branch
Takeshi Inoue	General Manager, Abeno Harukas Branch

Kazuyuki Takeuchi	General Manager, Osaka Branch
Susumu Yashirodai	General Manager, Institutional Business Kyoto
Keiji Ibuki	General Manager, Nara Branch
Ryosuke Tobita	General Manager, Namba Branch
Yoshifumi Higashimura	General Manager, Hirakata Branch
Toki Katagiri	General Manager, Wakayama Branch
Naoko Yoshimura	General Manager, Itami Branch
Tsuruo Fujita	General Sales Manager, Okayama Branch
Yuji Hamada	General Manager, Kanazawa Branch
Takayuki Okuma	General Sales Manager, Kobe Branch
Seiji Sasaki	General Manager, Institutional Business Kobe
Takashi Ichiyama	General Manager, Takaoka Branch
Masato Fujikawa	General Manager, Tokushima Branch
Arihiro Den	General Manager, Institutional Business Toyama
Masakazu Yasuda	General Manager, Institutional Business Hiroshima
Hanayo Mitomo	General Manager, Oizumi Branch
Motoki Yoshikawa	General Manager, Kagoshima Branch
Makoto Kubota	General Manager, Kawagoe Branch
Kazuhiro Ueda	General Manager, Jiyugaoka Branch
Shohei Yanagi	Deputy General Manager, Main Branch
Hiroshi Kita	General Manager, Internal Audit
Taiga Ozawa	General Manager, Risk Management
Kazuki Nishi	Deputy Head of Business Process
Tomomi Nishi	General Manager, Business Process Planning
Hisashi Kanai	General Manager, Business Process Planning
Kazuhiro Kamiya	General Manager, Settlement
Tetsuya Nakamura	General Manager, Digital Strategy

Satoru Takeda	Deputy Head of Financial
Kazuhiro Ojima	General Manager, Treasury
Minoru Funabashi	General Manager, Corporate Planning
Schaefer Taira David	Deputy Head of Global Business Planning and Deputy Head of Corporate Planning & Customer-Oriented Business Planning
Nobuhiro Moroo	General Manager, Global Business Planning
Kensuke Matsumoto	General Manager, Sales Administration
Yasuhiro Sakurai	General Manager, Alliance Business Planning
Takahisa Suzuki	General Manager, Digital Marketing
Hitoshi Matsugano	General Manager, Solution Business Advisory
Shinichi Kagawa	General Manager, Portfolio Advisory
Shuji Ueno	Deputy Head of Regional Financial Institutions and Corporate Clients
Masakazu Hashimoto	General Manager, Regional Financial Institutions and Corporate Business Promotion
Yasushi Okada	General Manager, Private Wealth Strategy
Tomonobu Sasaki	General Manager, Asset Management Products
Masayoshi Mitani	General Manager, Equity Marketing
Hiroki Nakatsuka	General Manager, Corporate Investment Support and Promotion
Norikazu Kitta	General Manager, Investment Research and Investor Services
Kazuhiro Matsushita	General Manager, Global Markets Administration
Kazuhiko Sawanobori	Senior Deputy Head of Equity and Senior Deputy Head of Research (Equity Research) and General Manager, Equity sales - Institutional Investors
Daisuke Tamai	General Manager, Execution Services
Seiko Suzuki	General Manager, Corporate Access
Hideki Ukai	Deputy Head of Financial Markets
Hirokazu Yaginuma	General Manager, Fixed Income

Hiroyuki Sumi	General Manager, Credit Products
Osamu Kawabe	General Manager, Fixed Income Sales
Yoshihiro Warita	Senior Deputy Head of Global Capital Markets and Co-General Manager, Equity Capital Markets
Kenji Kuya	Deputy Head of Global Capital Markets and Deputy Head of Investment Banking & Solution
Takashi Kokabu	Co-General Manager, Equity Capital Markets
Yoshihiko Osaka	General Manager, Sustainable Finance
Tetsuo Kamimura	General Manager, Corporate Clients Nagoya
Hidetomo Katsuki	Senior Deputy Head of Corporate Finance Osaka
Naoya Yoshioka	General Manager, Corporate Clients Osaka II
Daisuke Ueda	General Manager, Investment Banking IPO III
Koshi Ichikawa	General Manager, Mergers and Acquisitions Advisory Osaka
Ryuji Nishikawa	General Manager, Wholesale Business Planning
Koichi Fukuta	Head of Corporate Coverage, Corporate Finance Group I
Naohito Kuroda	Head of Financial Sponsor Group

4. Appointment of Agent (Effective as of March 17, 2022)

Kazuhiko Sawanobori	(acting as agent)Head of Equity and Co - Head of Research (Equity Research)
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5. Personnel Change (Effective as of Scheduled for June, 2022)

Toshiaki Matsui	General Manager, Global Business Planning
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6. Changes in Directors (Effective as of June 21, 2022)

(1) Retirement of Directors

Hitoshi Ueda	Adviser
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Seiichiro Ito	
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(2) Appointment of Directors

Koichiro Tsujino	Director(Outside)
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(3) Appointment of Directors(Member of the Audit and Supervisory Committee)

Satoshi Osawa	Director(Member of the Audit and Supervisory Committee)
Takaichi Muranaka	Director(Member of the Audit and Supervisory Committee)

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