

Summary of Revisions

- Necessary revisions (additional descriptions, etc.) were made based on laws, rules, and regulations as of the end of September 2022.
- In light of partial revisions made to the Cabinet Office Order on Financial Instruments Business, etc. (effective from June 22, 2022), revisions were made to Regulatory Intent in "2. Management of Corporate Information".
- In light of partial revisions made to the Order for Enforcement of the Financial Instruments and Exchange Act (effective from January 1, 2023), revisions were made to Regulatory Intent, Key Regulatory Checkpoints, and Key Management Checkpoints in "5. Management of Best Execution Duties".
- In light of partial revisions made to the Brokerage Agreement Standards prescribed by Tokyo Stock Exchange, Inc. (TSE) in accordance with revisions to the security deposit for margin transactions of leveraged and inverse products (effective from January 10, 2023), revisions were made to Regulatory Intent in "8. Margin Transaction Security Deposit, etc."
- In light of partial revisions made to TSE's "Rules concerning Trading Supervision Systems at Trading Participants to Prevent Unfair Trading" (effective from April 4, 2022), revisions were made to Regulatory Intent and Key Management Checkpoints in "12. Trading Supervision Systems".
- Revisions were made to Key Management Checkpoints in "7. System Risk Management Structure" and "11. Measures to Prevent Erroneous Orders" to enhance the contents.
- Other minor modifications were made to expressions.