

【NEWS RELEASE】

March 17, 2021
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, 2021)

(1) System

- System is established.
- System Planning & Operation Division is transferred from Administrative Operation to System.

(2) Business Strategy & Development

- Merchant Banking Division is transferred from Wholesale Business Planning to Business Strategy & Development.

(3) Digital Innovation

- Innovation is renamed Digital Innovation.

(4) Direct Marketing

- Direct Service is renamed Direct Marketing.
- Direct Marketing Division is transferred from Sales Planning to Direct Marketing.

(5) East Japan District, Shutoken District, Tokai/Shutoken West District, Kinki District, West Japan/Hokuriku District, Kyushu/Shutoken East District


- East Japan District, Shutoken District, Shutoken East District, Shutoken West District, Tokai/Hokuriku/Shinshu District, Kinki/Shikoku District, West Japan District are reorganized as East Japan District, Shutoken District, Tokai/Shutoken West District, Kinki District, West Japan/Hokuriku District, Kyushu/Shutoken East District.

(6) Private Banking

- Private Banking Compliance & Administration is abolished and the business is transferred to Sales Administration Division.

(7) Product Marketing

- CIO Preparatory Office is reorganized as Chief Investment Office.

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(8) Global Markets Planning

- Quantitative Analytics & Development Section is reorganized as Quantitative Analytics & Development Division.

(9) IPO Underwriting & Consulting

- IPO Underwriting & Consulting, Investment Banking is renamed IPO Underwriting & Consulting.

(10) Corporate Finance

- Corporate Business, Corporate Banking, Investment Banking are reorganized as Corporate Finance.
- Corporate Clients III Division, Corporate Clients V Division, Part of business of Investment Banking I Division, Investment Banking II Division are reorganized as Technology, Media & Telecom Group.
- Corporate Clients I Division, Corporate Clients II Division, part of business of Corporate Clients VI Division, Corporate Clients VII Division, part of business of Investment Banking I Division, Investment Banking III Division are reorganized as Industrials Group.
- Corporate Clients IV Division, Part of business of Corporate Clients VI Division, Investment Banking IV Division are reorganized as Consumer, Retail & Healthcare Group.
- Corporate Clients II Division, Investment Banking V Division are reorganized as Real Estate & Infrastructure Group.
- Investment Banking VI Division is renamed Public & Financial Institutions Group.
- Investment Banking VII Division is renamed Financial Sponsor Group.
- Investment Banking VIII Division is renamed Corporate Finance Group I.
- Corporate Clients IX Division is renamed Consumer, Retail & Healthcare Group II.
- Investment Banking IX Division is renamed Corporate Finance Group II.
- Corporate Clients VIII Division, Corporate Clients X Division are transferred from Corporate Business to Corporate Finance.
- Investment Banking Business Support Division is established.
- Industrial Research Division is transferred from Investment Banking to Global Investment Banking Unit.

(11) Corporate Finance Nagoya

- Corporate Clients Nagoya is renamed Corporate Finance Nagoya.

(12) Corporate Finance Osaka

- Corporate Clients Osaka is renamed Corporate Finance Osaka.

(13) Mergers and Acquisitions Advisory

- Investment Banking Osaka is transferred from Corporate Clients Osaka to Mergers and Acquisitions Advisory and renamed Mergers and Acquisitions Advisory Osaka Division.
- Mergers and Acquisitions Division is transferred from Corporate Banking to Mergers and Acquisitions Advisory and renamed Mergers and Acquisitions Advisory III Division.

(14) Chief Sustainability Officer

- Chief Sustainability Officer is established.

(15) Based in Hong Kong

- Based in Hong Kong is established.

2. Organizational Changes (Effective as of April 1, 2021)

(1) Private Wealth

- Private Banking is renamed Private Wealth.

(2) Corporate Finance

- Corporate Clients VIII Division, Corporate Clients X Division are reorganized as Technology, Media & Telecom Group II.

3. Changes in Executive Officers (Effective as of March 17, 2021)

(1) Retirement of Executive Officers

Hitoshi Ishii	Advisor
Taro Hayashi	Advisor
Hiroaki Toyoda	Chairman, Nikko Business Systems Co., Ltd. (Effective as of April 1, 2021)
Yoshiyuki Ninomiya	President & CEO, Nikko Investor Relations Co.,Ltd. (Effective as of April 1, 2021)
Tomonari Kimura	Advisor
Masaharu Suenaga	President & CEO, Nikko Research Center, Inc. (Effective as of April 1, 2021)
Mitsuhiro Akiyama	Advisor
Tadaaki Komori	Advisor
Ken Tanizaki	Executive Managing Director, Nikko Business Systems Co., Ltd. (Effective as of April 1, 2021)

(2) Changes in Executive Officers

Kenichi Hida	Deputy President Executive Officer, Head of Sales Unit
Toshihiro Sato	Deputy President Executive Officer, Head of Global Markets Unit
Kazuhiro Notsu	Senior Managing Executive Officer, Head of Planning Unit and Head of Finance
Takashi Aiki	Senior Managing Executive Officer, Head of Risk Management Unit
Masashi Sakamoto	Senior Managing Executive Officer, Head of Product Marketing Unit
Hitoshi Minami	Senior Managing Executive Officer, Head of International Business Unit and Head of International Business
Satoshi Osawa	Senior Managing Executive Officer, Head of Financial & Public Institutions Unit and Senior Deputy Head of Sales Unit

Hideki Sakamoto	Senior Managing Executive Officer, Head of Global Investment Banking Unit
Masayoshi Furusho	Managing Executive Officer, Senior Advisor of Human Resources
Toshihiro Niidome	Managing Executive Officer, Head of Human Resources
Shinya Inose	Managing Executive Officer, Head of Compliance Unit and Head of Board of Directors Office
Kazuya Noguchi	Managing Executive Officer, Head of Kinki District
Shuji Yoshioka	Managing Executive Officer, Sumitomo Mitsui Banking Corporation
Shinsuke Ushijima	Managing Executive Officer, Head of Corporate Planning & Customer-Oriented Business Planning and Head of Business Strategy & Development and Head of Digital Innovation and Chief Sustainability Officer
Seiichi Inaba	Managing Executive Officer, Head of Human Resources Unit
Hidetsugu Oki	Managing Executive Officer, Representative Managing Director of Nagoya and Head of Corporate Finance Nagoya
Reiji Domoto	Managing Executive Officer, Representative Managing Director of Osaka and Head of Corporate Finance Osaka
Hiroshi Inoue	Executive Officer, Deputy Head of Global Investment Banking Unit
Kazuyoshi Fukushima	Executive Officer, Head of Tokai/Shutoken West District
Keiji Wada	Executive Officer, Head of Corporate Business
Hironori Hattori	Executive Officer, Deputy Head of International Business
Hajime Kawakami	Executive Officer, Head of Kyushu/Shutoken East District
Yoshinori Hirahara	Executive Officer, Head of Direct Marketing
Rei Kyogoku	Executive Officer, Head of Corporate Finance (Technology, Media & Telecom Group, Corporate Clients VIII, Corporate Clients X and Public & Financial Institutions Group)
Kiichiro Hondo	Executive Officer, Head of Corporate Finance (Corporate Finance Group I and Corporate Finance Group II)
Susumu Masuda	Executive Officer, Head of Financial Markets and Co-Head of Research (Financial Market & Economic Research)

Munehiro Yamada	Executive Officer, Head of Corporate Finance (Real Estate & Infrastructure Group and Consumer, Retail & Healthcare Group and Consumer, Retail & Healthcare Group II and Asset Finance)
Daiji Nakata	Executive Officer, Head of Sales Planning
Narutoshi Terauchi	Executive Officer, Head of Corporate Finance (Industrials Group and Financial Sponsor Group)
Makoto Nishioka	Executive Officer, Head of Product Marketing and General Manager, Product Marketing Planning
Kayo Nakamura	Executive Officer, Senior Deputy Head of Private Banking
Naoki Toyoizumi	Executive Officer, Head of Mergers and Acquisitions Advisory
Yoshito Tetsuda	Executive Officer, Head of Regional Financial Institutions and Corporate Clients
Fumio Takamatsu	Executive Officer, Senior Deputy Head of Global Capital Markets Origination
Tomoharu Sato	Executive Officer, Head of IPO Underwriting & Consulting
Masaru Sekido	Executive Officer, Head of East Japan District
Shinsuke Yoshioka	Executive Officer, Head of System, Deputy Head of Digital Innovation and General Manager, System Planning & Operation
Hiromi Sato	Executive Officer, Deputy Head of International Business (based in Hong Kong) and President, SMBC Nikko Securities (Hong Kong) Limited
Katsuyuki Kawabata	Executive Officer, Head of West Japan/Hokuriku District
Ayumu Goto	Executive Officer, Head of Internal Audit

4. Personnel Changes (Effective as of March 17, 2021)

Toshihiko Kato	Deputy Head of Sales Planning
Shunsuke Kuwamura	Head of Compliance
Atsushi Takahashi	Head of Administrative Operation
Hiroki Kishi	Deputy Head of Sales Planning

Kazuhisa Sunada	Head of Global Markets Planning
Naoki Shindo	Deputy Head of Financial Markets and Deputy Head of Research (Financial Market & Economic Research)
Masanao Kishita	Deputy Head of Corporate Finance (Corporate Finance Group I)
Koji Ueda	Head of Wholesale Business Planning
Masanori Momma	General Manager, Akita Branch
Makoto Koyama	General Manager, Sapporo Branch
Shinsaku Fujita	Deputy General Manager, Shinjuku Branch
Maki Makino	General Manager, Shinjuku-Higashiguchi Branch
Jun Shirayama	General Manager, Institutional Business Sendai
Naoto Koga	General Manager, Chofu Branch
Mitsunori Inoshima	General Manager, Niigata Branch
Shinya Kawasaki	General Sales Manager, Niigata Branch
Akitoshi Sakamoto	General Manager, Fukushima Branch
Hiroyuki Akagi	General Manager, Yamagata Branch
Hiroshi Adachi	General Manager, Akabane Branch
Kazuhiro Hitomi	General Manager, Utsunomiya Branch
Hitoshi Yamakage	General Manager, Omiya Branch
Nozomu Nishimura	General Sales Manager, Omiya Branch
Shuichi Yamasaki	General Manager, Kitasenju Branch
Noboru Nakagawa	General Manager, Chiba Branch
Shinji Noda	General Manager, Tsudanuma Branch
Junya Okazaki	General Manager, Tochigi Branch
Toyoaki Goto	Deputy General Manager, Nihonbashi Branch
Kazuhiko Teramoto	General Manager, Honjo Fukaya Branch
Satoru Ai	General Manager, Okazaki Branch

Yoshinao Aoyama	General Manager, Kawasaki Branch
Kazutaka Tachi	General Manager, Gifu Branch
Takashi Takeuchi	General Manager, Shizuoka Branch
Oji Miyashita	General Sales Manager, Shizuoka Branch
Kuniyuki Hirabayashi	General Manager, Toyohashi Branch
Minoru Yoshida	General Manager, Nagoya Branch
Hiroshi Toda	Deputy General Manager, Nagoya Branch
Naohito Ikeda	General Manager, Nagoya-ekimae Branch
Tsuyoshi Mizoo	General Manager, Hamamatsu Branch
Toshiyuki Yamamura	General Manager, Mizonokuchi Branch
Masatoshi Suzuki	General Manager, Yokohama Branch
Hisataka Takiguchi	General Manager, Yokohama Kannai Branch
Teruhisa Nanri	Deputy General Manager, Osaka Branch
Shohei Ichikawa	General Manager, Otsu Branch
Masashi Iguchi	General Manager, Kyoto Branch
Hisamichi Kaburagi	General Manager, Kosaka Branch
Keitaro Takizawa	General Manager, Senri-chuo Branch
Daisuke Tomikawa	General Manager, Takatsuki Branch
Toshiko Osumi	General Sales Manager, Kobe Branch
Shinya Kanamitsu	General Manager, Sannomiya Branch
Eriko Yamamoto	General Manager, Takamatsu Branch
Takayuki Sasaki	General Manager, Nishinomiya Branch
Daisei Takahashi	General Sales Manager, Hiroshima Branch
Yoshiyuki Hatakeyama	General Manager, Fukui Branch
Karen Komase	General Manager, Akasaka Branch
Eiji Terashi	General Manager, Ikebukuro Branch

Satoshi Mochida	General Manager, Oizumi Branch
Masayuki Takao	General Manager, Oita Branch
Shigeharu Umetsu	General Manager, Otemachi Branch
Kunihiro Ouchi	General Manager, Shibuya Branch
Takafumi Suzuki	General Manager, Tokorozawa Branch
Soichiro Sugihara	General Manager, Nagasaki Branch
Takahiro Sekine	General Manager, Naha Branch
Mitsumi Ukai	General Manager, Main Branch
Mitsuru Tanaka	Deputy General Manager, Main Branch
Hirota Yuasa	General Manager, Compliance
Shigeru Muramatsu	General Manager, Branch Business Compliance
Naohiro Maeda	General Manager, Securities Trading Supervisory Operation
Yoshinori Sudo	General Manager, Human Resources
Jiro Inuzuka	General Manager, Personnel Development
Tomoyuki Hashimoto	Deputy Head of System
Tomomi Nishi	Co-General Manager, Business Process Planning
Kazuki Nishi	General Manager, Settlement
Maki Nagatsuma	General Manager, Communications
Kohei Mitamura	General Manager, International Business Supervisory and General Manager, International Business Planning
Takeshi Kiura	Deputy Head of Sales Planning (Deputy Head of Sales)
Masato Inagaki	Deputy Head of Sales Planning (Deputy Head of Sales)
Masahiro Yamaguchi	General Manager, Sales Planning
Tatsuya Genjima	General Manager, Sales Business Promotion
Norie Ito	General Manager, Okinawa Contact Center
Naoto Adachi	General Manager, Front Service Center
Koichi Shibata	General Manager, Institutional Business

Takafumi Inage	General Manager, Private Banking III
Yosuke Tanaka	General Manager, Personal Advisory for Corporate Employees
Tomonobu Sasaki	General Manager, Asset Management Products
Norimasa Yamamoto	General Manager, Asset Management Marketing
Takashi Imai	General Manager, Investment Advisory Business
Satoshi Takeyama	General Manager, Chief Investment Office
Hiroshi Terada	General Manager, Global Markets Planning
Yasufumi Osajima	General Manager, Quantitative Analytics & Development
Tatsuo Shimmyo	General Manager, Debt Capital Markets
Kazuhiro Kochi	Senior Deputy Head of IPO Underwriting & Consulting
Masaru Sakaguchi	Senior Deputy Head of IPO Underwriting & Consulting
Hideaki Uenishi	Deputy Head of IPO Underwriting & Consulting
Hiromichi Kusano	General Manager, Private Companies II
Masami Uchida	Senior Deputy Head of Corporate Finance (Corporate Finance Group I)
Hideo Sudo	Senior Deputy Head of Corporate Finance (Real Estate & Infrastructure Group and Asset Finance)
Masanori Maruo	Deputy Head of Corporate Finance (Industrial Research)
Taro Fujikawa	Deputy Head of Corporate Finance and Head of Real Estate & Infrastructure Group
Koki Yokota	Deputy Head of Corporate Finance (Technology, Media & Telecom Group)
Kotaro Matsunawa	Head of Corporate Finance Group I
Daisuke Endo	Head of Corporate Coverage, Corporate Finance Group I
Yohei Kobayashi	Head of Corporate Coverage, Corporate Finance Group I
Masatoshi Morita	Head of Corporate Coverage, Corporate Finance Group I
Yoshihiro Miyachi	Co-Head of Technology, Media & Telecom Group
Takashi Mikkaichi	Co-Head of Technology, Media & Telecom Group

Masashi Kushima	Head of Corporate Coverage, Technology, Media & Telecom Group
Takaaki Inoue	Head of Industrials Group
Naoyuki Suenaga	Head of Corporate Coverage, Industrials Group
Noritomi Uchiyama	Head of Corporate Coverage, Industrials Group
Kazutoshi Otsuka	Head of Corporate Coverage, Industrials Group
Yuji Takeuchi	Head of Consumer, Retail & Healthcare Group
Masahiro Fujisawa	Head of Corporate Coverage, Consumer, Retail & Healthcare Group
Izuru Nakamura	Head of Corporate Coverage, Real Estate & Infrastructure Group
Shigeru Inoue	Head of Financial & Public Institutions Group
Hitoshi Tsuboi	Head of Financial Sponsor Group
Kozo Mikawa	Sumitomo Mitsui Banking Corporation and General Manager, Corporate Finance Group II
Tomonari Inoue	Sumitomo Mitsui Banking Corporation and Head of Consumer, Retail & Healthcare Group II
Yuusuke Ishimaru	Deputy Head of Mergers and Acquisitions Advisory and General Manager, Mergers and Acquisitions Advisory
Yoshiaki Yamano	General Manager, Mergers and Acquisitions Advisory III
Hidetomo Katsuki	General Manager, Mergers and Acquisitions Advisory Osaka
Tadashi Fukai	General Manager, Mergers and Acquisitions Solutions
Munenori Kuroyama	General Manager, Investment Banking Business Support
Atsushi Fujita	Deputy Head of Wholesale Business Planning
Kazuya Inuma	General Manager, Wholesale Business Administration
Koichi Yamaguchi	General Manager, Public Sector Clients
Yoshimi Wada	General Manager, Public Institutions I
Takaaki Matsumoto	General Manager, Public Institutions II
Kazuaki Kobayashi	General Manager, Public Institutions Nagoya

5. Changes in Directors and Executive Officers (Effective as of April 1, 2021)

(1) Retirement of Director

Yoshihiko Shimizu	Advisor
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(2) Changes in Directors and Executive Officers

Yasuyuki Kawasaki	Representative Director, Chairman
Nobu Sakamoto	Managing Executive Officer, Senior Deputy Head of Sales Unit and Head of Private Wealth
Kayo Nakamura	Executive Officer, Senior Deputy Head of Private Wealth
Rei Kyogoku	Executive Officer, Head of Corporate Finance (Technology, Media & Telecom Group and Technology, Media & Telecom Group II and Public & Financial Institutions Group)

6. Personnel Changes (Effective as of April 1, 2021)

Masatomo Odagawa	Senior Deputy Head of Private Wealth
Kiyokazu Watanabe	Deputy Head of Private Wealth

7. Changes in Executive Officers (Effective as of May 1, 2021)

(1) Changes in Executive Officers

Kazuhiro Notsu	Senior Managing Executive Officer, Head of Planning Unit
Tatsuya Suzuki	Senior Managing Executive Officer, Senior Deputy Head of Global Investment Banking Unit and Head of Global Capital Markets Origination
Shunshi Kira	Managing Executive Officer, Head of Finance

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