



**NOMURA**

# Modern Slavery Act Statement

NOMURA INTERNATIONAL PLC

SEPTMEBER 2022

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## INTRODUCTION

This statement applies to Nomura International plc ("**Nomura**"), a company, established under the laws of England and Wales. Nomura was registered as a foreign company in Australia in May 2015 (ARBN 605 715 884).

Nomura is a banking and financial services business, providing investment, financing and related services to corporate and government customers on a global basis including by authorised persons employed by its affiliates globally, including in Australia.

Nomura Holdings, Inc. is the ultimate parent company of the Nomura group of companies, an Asia-headquartered financial services group, with its head office in Tokyo, Japan, and is listed on the Tokyo Stock Exchange (TSE: 8604), as well as the New York Stock Exchange (NMR).

The board of Nomura and other key operating subsidiaries within the Nomura group of companies have delegated authority to the Chief Executive Officer, to manage the day-to-day running of the Nomura group of companies. Nomura has consulted the relevant Nomura group of companies owned or controlled in the development of this statement.

At Nomura, we believe we have a responsibility to ensure that our business is conducted in an ethical way and we actively address social issues.

As part of this process, we have in place a Modern Slavery and Human Trafficking Policy (the "**MSA Policy**"), which seeks to identify and manage slavery and human trafficking risk in our business and supply chains in accordance with the principles and goals promoted by the *Modern Slavery Act 2015 (UK)*, as well as the *Modern Slavery Act 2018 (AU)* and related guidance.

In addition to the MSA Policy, we have in place [Nomura's Corporate Social Responsibility](#) commitments, a [Code of Conduct Policy](#) and a Speaking Up Policy, which consider our social and human rights responsibilities.

This statement is published in line with the Australian Modern Slavery Act 2018, and is made in respect of the financial year ending 31 March 2022. References to "we", "us" or "our" are to Nomura.

## OPERATIONS

Nomura's core activities are:

- trading and sales in fixed income and equity products, including related derivatives;
- corporate advisory and capital markets services;
- asset and principal finance business; and
- corporate finance.

Nomura's supply chains include vendors providing trade execution, clearing and settlement services, providers of electronic trading platforms and suppliers of market data, office supplies, office space, consulting services, IT services and infrastructure, storage services and rating services.

More information about the Nomura group can be found at [www.nomura.com](http://www.nomura.com).

## SUPPLY CHAIN AND SUPPLIER DUE DILIGENCE

Nomura's supply chains are relatively simple and the nature of goods and services provides limited opportunity for modern slavery practices. However, it is important that Nomura continues to monitor this.

Nomura includes additional enquiries in its procurement processes for goods, services and locations that are assessed as having a high risk of modern slavery and/or human trafficking. Also, we include a clause relating to modern slavery and human trafficking in our agreements with third parties for the supply of goods and services except where we have assessed such third parties to have equivalent controls in place and have issued a public statement to this effect.

In addition, as part of our initiative to identify and manage slavery and human trafficking risk:

- we are continuing to build and improve our systems to better (i) identify, assess and monitor potential higher risk areas in our supply chains; (ii) mitigate the risk of modern slavery occurring in our supply chains through enhanced contract term controls; (iii) train relevant employees as to these risks and the need to manage them; and (iv) protect whistle blowers;
- we build relationships with reputable suppliers and ensure that expectations of business behaviour are both clear and consistent; and
- (i) we expect our direct suppliers to have suitable anti-slavery and human trafficking policies and processes; and (ii) we will communicate our expectation that those suppliers must prohibit modern slavery in their supply chains and that they should work with their suppliers at each stage in their supply chains to manage slavery and human trafficking risk.

## POLICIES

Nomura has in place a number of policies that support our commitment to operating in an ethical manner:

- our MSA Policy outlines our key objectives in this area, including the steps taken in relation to our supplier diligence practices. Nomura's company directors have overall responsibility for this policy.
- our Code of Conduct (the "**Code**") outlines our commitment to working with pride and upholding the highest ethical standards. This Code applies to all directors, officers and employees and underpins other internal rules and regulations, including this statement.
- our Speaking Up Policy outlines the method Nomura employees can take to escalate concerns in the event any other employee working at or on behalf of Nomura is not in line with Nomura's Code and/or standards.
- our Anti-Bribery and Corruption Policy outlines our commitment to compliance with applicable laws and sets out linked Anti-Bribery and Corruption activities.

## IMPLEMENTATION

Nomura's company directors shall have overall responsibility for the MSA Policy and this statement. Nomura's senior management ("**Nomura UK Management**") shall be responsible for implementing our MSA Policy and the objectives considered in this statement.

Nomura's Human Resources Department will monitor progress of our efforts and issues (should they arise) in this area and report back to Nomura UK Management directly.

## EFFECTIVENESS

We continue to monitor our performance against the following in order to gauge how effective we are in dealing with the risk of modern slavery in our business or supply chains:

- training on modern slavery (see below);
- implementation of the MSA Policy;
- developing a system for supply chain identification, including, adding slavery and human trafficking enquiries and controls to our procurement policies;
- asking specific questions on modern slavery as part of our procurement processes; and
- including a clause relating to modern slavery in our agreements with third parties for the supply of goods and services.

## TRAINING

Nomura continues to provide training to educate relevant employees on the importance of implementing and enforcing effective systems to mitigate the risk of modern slavery taking place within our business or supply chains. Periodic training is provided to employees with information on anti-slavery and human trafficking legislation, mitigation measures, incident reporting and further details on this MSA statement.

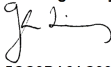
## MONITORING AND REPORTING

If issues are identified in relation to modern slavery, these will be reported in accordance with Nomura's Speaking Up Policy.

More general issues in relation to the running of Nomura's MSA Policy will be reported back to the Human Resources Department and / or the Corporate Legal Department.

## APPROVALS

This statement was approved on 22 September 2022 by the Board of Directors of Nomura International plc.

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**Name:** John Tierney

**Director of Nomura International plc**

**Date:** 30 September 2022