

October 1, 2024

To whom it may concern:

Morgan Stanley MUFG Securities Co., Ltd.

Disciplinary Action by the Tokyo Stock Exchange and Osaka Exchange

Today, Morgan Stanley MUFG Securities Co., Ltd. received a fine of JPY10 million from the Tokyo Stock Exchange, Inc. and censure from the Osaka Exchange, Inc. in relation to the incident that led the Financial Services Agency to impose a Business Improvement Order against us on June 24, 2024.

We are very disappointed to have had to report this. We take the matter very seriously and will ensure that our remediation plan is firmly implemented and our internal controls are strengthened accordingly.

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