

# GRI Content Index

Item	Indicator	Pages
<b>1. Vision and strategy</b>		
1.1	Statement of the organisation's sustainability vision and strategy regarding its contribution to sustainable development	4-5, 6-7
<b>2. Profile</b>		
<b>Organisational profile</b>		
2.1	Name of reporting organisation	2
2.2	Major products and/or services, including brands if appropriate	2, 8-9, 10
2.3	Operational structure of the organisation	2, 34
2.4	Description of major divisions, operating companies, subsidiaries and joint ventures	2
2.5	Countries in which the organisation's operations are located	2
2.6	Nature of ownership; legal form	2
2.7	Nature of markets served	2, 33, 34
2.8	Scale of the reporting organisation	2, 32-33, 34-35
2.9	List of stakeholders, key attributes of each, and relationship to the reporting organisation	2, 3, 7, 31, 35, 38-39
<b>Report scope</b>		
2.10	Contact person(s) for the report, including e-mail and web addresses	55
2.11	Reporting period (e.g. fiscal/A32calendar year) for information provided	3
2.12	Date of most recent previous report (if any)	3
2.13	Boundaries of report (countries/regions, products/services, divisions/facilities/joint ventures/subsidiaries) and any specific limitations on the scope	2, 3
2.14	Significant changes in size, structure, ownership, or products/services that have occurred since the previous report	None
2.15	Basis for reporting on joint ventures, partially owned subsidiaries, leased facilities, outsourced operations and other situations that can significantly affect comparability from period to period and/or between reporting organisations	None
2.16	Explanation of the nature and effect of any re-statements of information provided in earlier reports, and the reasons for such re-statement (e.g., mergers/acquisitions, changes of baseyears/periods, nature of business, measurement methods)	N/A
<b>Report profile</b>		
2.17	Decisions not to apply GRI principles or protocols in the preparation of the report	N/A
2.18	Criteria/definitions used in any accounting for economic, environmental, and social costs and benefits	35
2.19	Significant changes from previous years in the measurement methods applied to key economic, environmental and social information	None
2.20	Policies and internal practices to enhance and provide assurance about the accuracy, completeness, and reliability that can be attributed to the sustainability report	3, 30
2.22	Means by which report users can obtain additional information and reports about economic, environmental and social aspects of the organisation's activities, including facility-specific information (if available)	2, 10, 11, 30, 32, 38, 43, 45, 51
<b>3. Governance structure and management systems</b>		
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3.4	Board-level processes for overseeing the organisation's identification and management of economic, environmental, and social risks and opportunities	22-23
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3.9	Basis for identification and selection of major stakeholders	2, 3
3.10	Approaches to stakeholder consultation reported in terms of frequency of consultations by type and by stakeholder group	11, 24, 25, 26, 31, 36-37, 52-53
3.11	Type of information generated by stakeholder consultations	16-17, 18-19, 25, 26, 31, 36-37, 41, 43, 48-50, 52-53, Questionnaire
3.12	Use of information resulting from stakeholder engagements	37
<b>Overarching policies and management systems</b>		
3.14	Externally developed, voluntary economic, environmental and social charters, sets of principles, or other initiatives to which the organisation subscribes or which it endorses	6-7
3.15	Principle memberships in industry and business associations, as well as national/international advocacy organisations	11, 14
3.16	Policies and/or systems for managing upstream and downstream impacts	8-11

Item	Indicator	Pages
3.17	Reporting organisation's approach to managing indirect economic, environmental, and social impacts resulting from its activities	9
3.18	Major decisions during the reporting period regarding the location of, or changes in, operations	Nothing
3.19	Programmes and procedures pertaining to economic, environmental and social performance	20-21, 22-23, 24, 26, 27, 28, 29, 30, 31, 32, 36-37, 38-39, 40-41, 42-43, 45, 46
3.20	Status of certification pertaining to economic, environmental and social management systems	27, 44
<b>4. GRI content index</b>		
4.1	Provide a table identifying location in report of each element of GRI content (item and indicator) in the report	54-55
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EC3	Cost of all goods, materials, and services purchased	35
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<b>Core indicators</b>		
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LA10	Description of equal opportunity policies or programmes, as well as monitoring systems to ensure compliance and results of monitoring.	38-39, 41
LA11	Composition of senior management and corporate governance bodies (including the board of directors), including male/female ratio and other indicators of diversity as culturally appropriate	22, 39
<b>Additional Indicators</b>		
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<b>Labor/management relations</b>		
LA13	Provision for formal worker representation in decision-making or management, including corporate governance	41
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LA16	Description of programmes to support the continued employability of employees and to manage career endings	40-41

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Item	Indicator	Pages
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<b>Human rights</b>		
<b>Core indicators</b>		
<b>Strategy and management</b>		
HR1	Description of policies, guidelines, corporate structure and procedures to deal with all aspects of human rights relevant to the reporter's operations, including monitoring mechanisms and results	38, 39
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<b>Strategy and management</b>		
HR8	Employee training on the reporter's policies and practices concerning all aspects of human rights relevant to the reporter's operations	40
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HR9	Description of appeal practices, including, but not limited to, human rights issues	26
HR10	Description of non-retaliation policy and effective, confidential employee grievance system (including, but not limited to, its impact on human rights)	26
<b>Society</b>		
<b>Core indicators</b>		
<b>Community</b>		
S01	Description of policies to manage impacts on communities in areas affected by the reporting organisation's activities, as well as description of procedures/programmes to address this issue, including monitoring systems and results (include explanation of procedures for identifying and engaging in dialogue with community stakeholders)	10, 12-15, 42-43
<b>Additional indicators</b>		
<b>Community</b>		
S04	Awards received relevant to social, ethical, and environmental performance	33
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### Social performance indicators

#### Corporate social responsibility (CSR) management

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Year	Month	Sustainability Milestones for the Daiwa Securities Group	
2003	January	Corporate Ethics Hotline, a group-wide internal reporting system, introduced.	
	February	Internal Audit Department established at Daiwa Securities Group Inc.	
	March	New medium-term management plan (FY2003 — FY2005) drawn up.	
	April	New shareholder benefit plan introduced.	
	June	Total value of compensation paid to directors and corporate auditors of Daiwa Securities Group Inc. disclosed.	
	July	Daiwa Securities SMBC Principal Investments Co., Ltd., invests in the World Bank's Community Development Carbon Fund.	
	October	Support begins for Student Company Program, a hands-on economics education program provided by Junior Achievement.	
	October	Marketing begins for UBS Global Equity 40 SRI+, an SRI investment trust that invests in global corporations.	
	November	Membership in SIF-Japan, a socially responsible investment forum.	
	2004	January	CSR/brand management website goes online.
		March	Disclosure Policy established.
April		Cooperation with Waseda University's Graduate School of Finance, Accounting and Law Begins.	
May		Management and marketing begins for Daiwa SRI Fund, an SRI investment trust that invests in Japanese corporations.	
June		New management introduced under the leadership of Shigeharu Suzuki. Change to committee system.	
July		CSR Promotion Department established at Daiwa Securities Group Inc.	
October		SRI fund included in defined-contribution pension fund for Daiwa Securities Group employees.	
November		Membership in the United Nations Environmental Programme Finance Initiative (UNEP FI).	
2005		February	Long-term support determined for areas devastated by the Sumatran earthquake and South Asian tsunami.
		April	With Waseda University's Incubation Project Promotion Office, established a basic course to train venture entrepreneurs at Waseda University. Employee CSR questionnaire survey.
		May	Environmental Management Committee introduced at Daiwa Securities Group Inc.
	June	Special support provided for Finance Park, a hands-on economics education program offered by Junior Achievement.	
	July	Daiwa Asset Management Co., Ltd., participates in the GRI G3 project working group to consider the usefulness of sustainability reporting from the perspective of finance and investors.	

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