

Daiwa Securities Group Corporate Principles

Building Customer Trust

We stand on the trust of our customers. Prudently putting customer interests first and achieving a high standard of professional competence, we intend to become Japan's most appealing securities group at home and abroad.

Valuing Human Resources

People are the source of our competence. We highly value creative initiative by the individual, we cherish the challenging spirit, and we appreciate the capability and contributions of the individual.

Contributing to Society

Our mission is to contribute to society and the economy through our daily operation in the financial and capital markets. We will maintain high standards of ethics and self-discipline and will contribute to the sustainability of society.

Earning Sound Profits

Our fundamental objective is to enhance shareholder value through sound business operations. We will offer valuable services to our customers and earn adequate rewards for distribution to our shareholders.

Editorial Policy

The Daiwa Securities Group has been publishing this report yearly since 2002 with the aim of disclosing clearly and in good faith our CSR activities, which are intended to support the creation of a sustainable society. We also view the process of preparing this report as an important opportunity for us to evaluate the Company status and challenges it is facing. This report places a major emphasis on detailing the progress of specific initiatives related to key issues, and our views toward them.

We position this CSR report as a material report that primarily discloses key issues facing the Group, emphasizing our strong focus on promoting dialogue with stakeholders and raising the awareness of CSR activities among executives and employees.

For detailed information that is not covered in this report, management and social reports disclosed on an ongoing basis and other related materials, please visit <http://www.daiwa-grp.jp/ir/english/corporate/report/> (from September 2009).

Scope of Report

Intended Readership

This report is intended for Daiwa Securities Group's stakeholders, which primarily include customers, shareholders and investors, executives and employees, as well as business partners, non-profits (NPOs, NGOs), local communities where Daiwa Securities has offices, educational institutions, and the families of executives and employees.

Scope of Reporting

This report basically covers principal companies of the Daiwa Securities Group (see "Description of the Daiwa Securities Group's Business" on the following page). The report does not, however, include all data from the Group's principal companies on items reported; the information is selected based on the respective companies' size and type of business handled. In addition, coverage areas of the environmental load data included have been changed due to head office relocation in fiscal 2007. Each set of numerical data specifies the area of coverage.

Period Covered by Report

Fiscal 2008 (April 1, 2008–March 31, 2009) The report also includes information on events and activities carried out prior to fiscal 2007, as well as those scheduled to take place during fiscal 2009.

Publishing Date

August 2009 (The previous report was published in October 2008; the next report is planned for August 2010.)

