

# GRI Guidelines Content Index

## GRI Guidelines Content Index

In compiling the CSR Report 2010, reference was made to Global Reporting Initiative (GRI) Guidelines (3rd Edition, 2006) and the Financial Services Sector Supplement (2008). The guidelines set out a series of standard levels (GRI application levels) based on regulations outlined therein that companies compiling reports may apply to ensure that their reports are compliant with GRI guidelines. We believe that the CSR Report 2010 meets the reporting standards for GRI Report Application Level B.

\* The GRI Guidelines Content Index on the Daiwa Securities Group website has links to the relevant pages.



Report Application Level		C	C+	B	B+	A	A+
Standard Disclosures	G3 Profile Indicators output	Report on: 1.1 2.1 - 2.10 3.1 - 3.8, 3.10 - 3.12 4.1 - 4.4, 4.14 - 4.15	Report Externally Assured	Report on all criteria listed for Level C plus: 1.2 3.9, 3.13 4.5 - 4.11, 4.16 - 4.17	Report Externally Assured	Some as requirement for Level B	Report Externally Assured
	G3 Management Approach Indicators output	Not Required		Management Approach Disclosures for each Indicator Category		Management Approach Disclosures for each Indicator Category	
	G3 Performance Indicators & Sector Supplement Performance Indicators output	Report on a minimum of 10 Performance Indicators, including at least one from each of: Economic, Social and Environmental.		Report on a minimum of 24 Performance Indicators, at least one from each of: Economic, Environmental, Human rights, Labor, Society, Product Responsibility.		Report on each core G3 and Sector Supplement* Indicator with due regard to the Materiality Principle by either: a) reporting on the Indicator or b) explaining the reason for its omission.	

\*Sector supplement in final version

## GRI Content Index

Item	Indicator	Link
<b>1 Strategy and Analysis</b>		
1.1	Statement from the most senior decisionmaker of the organization (e.g., CEO, chair, or equivalent senior position) about the relevance of sustainability to the organization and its strategy.	Message from the President and CEO
1.2	Description of key impacts, risks, and opportunities.	Message from the President and CEO Stakeholder Dialogue 2: Promoting Sustainability via the Financial Business and CSR Daiwa Securities Group CSR (Role and Social Responsibilities of the Financial Industry)
<b>2 Organizational Profile</b>		
2.1	Name of the organization.	Daiwa Securities Group Profile (Company Overview)
2.2	Primary brands, products, and/or services.	Daiwa Securities Group Profile (Description of the Daiwa Securities Group's Businesses) Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
2.3	Operational structure of the organization, including main divisions, operating companies, subsidiaries, and joint ventures.	Daiwa Securities Group Profile (Description of the Daiwa Securities Group's Businesses)
2.4	Location of organization's headquarters.	Daiwa Securities Group Profile (Company Overview)
2.5	Number of countries where the organization operates, and names of countries with either major operations or that are specifically relevant to the sustainability issues covered in the report.	Daiwa Securities Group Profile (Workforce Characteristics, Breakdown of Net Operating Revenue by Region)
2.6	Nature of ownership and legal form.	Daiwa Securities Group Profile (Company Overview) Corporate Governance (Corporate Governance System)
2.7	Markets served (including geographic breakdown, sectors served, and types of customers/beneficiaries).	Daiwa Securities Group Profile (Workforce Characteristics, Breakdown of Net Operating Revenue by Region)
2.8	Scale of the reporting organization, including: - Number of employees; - Net sales (for private sector organizations) or net revenues (for public sector organizations); - Total capitalization broken down in terms of debt and equity (for private sector organizations); and - Quantity of products or services provided.	Daiwa Securities Group Profile (Number of Employees, Operating Revenue and Net Operating Revenue)

Item	Indicator	Link
2.9	Significant changes during the reporting period regarding size, structure, or ownership including: - The location of, or changes in operations, including facility openings, closings, and expansions; and - Changes in the share capital structure and other capital formation, maintenance, and alteration operations (for private sector organizations).	Daiwa Securities Group Profile
2.10	Awards received in the reporting period.	Third-party Evaluations
<b>3 Report Parameters</b>		
<b>Report Profile</b>		
3.1	Reporting period (e.g., fiscal/calendar year) for information provided.	Report Overview (Scope of Report)
3.2	Date of most recent previous report (if any).	Report Overview (Scope of Report)
3.3	Reporting cycle (annual, biennial, etc.).	Report Overview (Scope of Report)
3.4	Contact point for questions regarding the report or its contents.	Inquiries
<b>Report Scope and Boundary</b>		
3.5	Process for defining report content, including: - Determining materiality; - Prioritizing topics within the report; and - Identifying stakeholders the organization expects to use the report.	Daiwa Securities Group CSR (Key Issues for Daiwa Securities Group)
3.6	Boundary of the report (e.g., countries, divisions, subsidiaries, leased facilities, joint ventures, suppliers).	Report Overview (Scope of Report)
3.7	State any specific limitations on the scope or boundary of the report.	Report Overview (Scope of Report)
3.8	Basis for reporting on joint ventures, subsidiaries, leased facilities, outsourced operations, and other entities that can significantly affect comparability from period to period and/or between organizations.	Environmental Impact Relationship with Executives and Employees

Item	Indicator	Link
3.9	Data measurement techniques and the bases of calculations, including assumptions and techniques underlying estimations applied to the compilation of the Indicators and other information in the report.	Environmental Impact (Energy Consumption) Relationship with Executives and Employees
3.10	Explanation of the effect of any re-statements of information provided in earlier reports, and the reasons for such re-statement (e.g., mergers/ acquisitions, change of base years/ periods, nature of business, measurement methods).	Environmental Impact (Energy Consumption) Relationship with Society (Corporate Citizenship Initiatives and Expenditures) Delivering Economic Value to Stakeholders (Distribution of Economic Value to Stakeholders)
3.11	Significant changes from previous reporting periods in the scope, boundary, or measurement methods applied in the report.	Not applicable, because there have been no significant changes since the previous report.
<b>GRI content index</b>		
3.12	Table identifying the location of the Standard Disclosures in the report.	This table references GRI content
<b>Assurance</b>		
3.13	Policy and current practice with regard to seeking external assurance for the report. If not included in the assurance report accompanying the sustainability report, explain the scope and basis of any external assurance provided. Also explain the relationship between the reporting organization and the assurance provider(s).	Third-party Opinion
<b>4 Governance, Commitments, and Engagement</b>		
<b>Governance</b>		
4.1	Governance structure of the organization, including committees under the highest governance body responsible for specific tasks, such as setting strategy or organizational oversight.	Corporate Governance (Corporate Governance System)
4.2	Indicate whether the Chair of the highest governance body is also an executive officer (and, if so, their function within the organization's management and the reasons for this arrangement).	Corporate Governance (Corporate Governance System)
4.3	For organizations that have a unitary board structure, state the number of members of the highest governance body that are independent and/or non-executive members.	Corporate Governance (Corporate Governance System)

Item	Indicator	Link
4.4	Mechanisms for shareholders and employees to provide recommendations or direction to the highest governance body.	Relationship with Shareholders (Communication with Shareholders) Relationship with Executives and Employees (Communication)
4.5	Linkage between compensation for members of the highest governance body, senior managers, and executives (including departure arrangements), and the organization's performance (including social and environmental performance).	Report on Corporate Governance (in Japanese only)
4.6	Processes in place for the highest governance body to ensure conflicts of interest are avoided.	Corporate Governance (Preventing Conflicts of Interest between Group Companies)
4.7	Process for determining the qualifications and expertise of the members of the highest governance body for guiding the organization's strategy on economic, environmental, and social topics.	Corporate Governance (Supervisory Function)
4.8	Internally developed statements of mission or values, codes of conduct, and principles relevant to economic, environmental, and social performance and the status of their implementation.	Daiwa Securities Group CSR (Daiwa Securities Group Corporate Principles and Key Issues)
4.9	Procedures of the highest governance body for overseeing the organization's identification and management of economic, environmental, and social performance, including relevant risks and opportunities, and adherence or compliance with internationally agreed standards, codes of conduct, and principles.	Daiwa Securities Group CSR (External Initiatives Using Finance to Resolve Social Issues) CSR Management (Corporate Mission and Principles) Corporate Governance (Corporate Governance System) Compliance (Compliance Framework)
4.10	Processes for evaluating the highest governance body's own performance, particularly with respect to economic, environmental, and social performance.	Corporate Governance (Corporate Governance System)
<b>Commitments to External Initiatives</b>		
4.11	Explanation of whether and how the precautionary approach or principle is addressed by the organization.	Corporate Governance (Business Continuity Plan, Information Security Management)
4.12	Externally developed economic, environmental, and social charters, principles, or other initiatives to which the organization subscribes or endorses.	Daiwa Securities Group CSR (External Initiatives Using Finance to Resolve Social Issues) Stakeholder Dialogue 2: Promoting Sustainability via the Financial Business and CSR

Item		Indicator	Link
4.13		Memberships in associations (such as industry associations) and/or national/international advocacy organizations in which the organization: <ul style="list-style-type: none"> <li>- Has positions in governance bodies;</li> <li>- Participates in projects or committees;</li> <li>- Provides substantive funding beyond routine membership dues; or</li> <li>- Views membership as strategic.</li> </ul>	Principal Member Qualifications <ul style="list-style-type: none"> <li>- Nippon Keidanren</li> <li>- Japan Securities Dealers Association</li> <li>- Work-Life Balance Promotion Model Project by the Ministry of Health, Labour and Welfare</li> </ul>
<b>Stakeholder Engagement</b>			
4.14		List of stakeholder groups engaged by the organization.	Daiwa Securities Group CSR (Daiwa Securities Group Stakeholders)
4.15		Basis for identification and selection of stakeholders with whom to engage.	Daiwa Securities Group CSR (Daiwa Securities Group Stakeholders)
4.16		Approaches to stakeholder engagement, including frequency of engagement by type and by stakeholder group.	including frequency of engagement by type and by stakeholder group. Daiwa Securities Group CSR (Daiwa Securities Group Stakeholders) <ul style="list-style-type: none"> <li>Relationship with Customers</li> <li>Relationship with Shareholders</li> <li>Relationship with Executives and Employees</li> <li>Relationship with Society</li> <li>Stakeholder Dialogue 1: New Ways to Help Eradicate Poverty</li> <li>Stakeholder Dialogue 2: Promoting Sustainability via the Financial Business and CSR</li> </ul>
4.17		Key topics and concerns that have been raised through stakeholder engagement, and how the organization has responded to those key topics and concerns, including through its reporting.	Relationship with Customers <ul style="list-style-type: none"> <li>Relationship with Shareholders</li> <li>Relationship with Executives and Employees</li> <li>Relationship with Society</li> <li>Stakeholder Dialogue 1: New Ways to Help Eradicate Poverty</li> <li>Stakeholder Dialogue 2: Promoting Sustainability via the Financial Business and CSR</li> </ul>
<b>5 Management Approach and Performance Indicators</b>			
<b>Economic</b>			
		Disclosure on Management Approach	Message from the President and CEO <ul style="list-style-type: none"> <li>Daiwa Securities Group Profile (Operating Revenue and Net Operating Revenue)</li> <li>Delivering Economic Value to Stakeholders</li> </ul>

Item		Indicator	Link
<b>Aspect: Economic Performance</b>			
EC1	CORE	Direct economic value generated and distributed, including revenues, operating costs, employee compensation, donations and other community investments, retained earnings, and payments to capital providers and governments.	Delivering Economic Value to Stakeholders Relationship with Society (Corporate Citizenship Initiatives and Expenditures)
EC2	CORE	Financial implications and other risks and opportunities for the organization's activities due to climate change.	Stakeholder Dialogue 2: Promoting Sustainability via the Financial Business and CSR Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
EC3	CORE	Coverage of the organization's defined benefit plan obligations.	2009 Annual Report (Significant account policy, Retirement benefits, P99)
EC4	CORE	Significant financial assistance received from government.	Impact is insignificant
<b>Aspect: Market Presence</b>			
EC5	ADD	Range of ratios of standard entry level wage compared to local minimum wage at significant locations of operation.	Impact is insignificant, due to the nature of our business
EC6	CORE	Policy, practices, and proportion of spending on locally-based suppliers at significant locations of operation.	Impact is insignificant, due to the nature of our business
EC7	CORE	Procedures for local hiring and proportion of senior management hired from the local community at locations of significant operation.	Not reported
<b>Aspect: Indirect Economic Impacts</b>			
EC8	CORE	Development and impact of infrastructure investments and services provided primarily for public benefit through commercial, in-kind, or pro bono engagement.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society Relationship with Society
EC9	ADD	Understanding and describing significant indirect economic impacts, including the extent of impacts.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
<b>Environmental</b>			
		Disclosure on Management Approach	Environmental Impact
<b>Aspect: Materials</b>			
EN1	CORE	Materials used by weight or volume.	Not applicable
EN2	CORE	Percentage of materials used that are recycled input materials.	Not applicable

Item		Indicator	Link
<b>Aspect: Energy</b>			
EN3	CORE	Direct energy consumption by primary energy source.	Environmental Impact (Energy Consumption)
EN4	CORE	Indirect energy consumption by primary source.	Environmental Impact (Energy Consumption)
EN5	ADD	Energy saved due to conservation and efficiency improvements.	Environmental Impact (CO <sub>2</sub> Emissions)
EN6	ADD	Initiatives to provide energy-efficient or renewable energy based products and services, and reductions in energy requirements as a result of these initiatives.	Environmental Impact (Upgrades to building equipment to conserve energy, Green energy used for website server for Daiwa Institute of Research Group, Shortening work hours by encouraging executives and employees to leave before 7 p.m.)
EN7	ADD	Initiatives to reduce indirect energy consumption and reductions achieved.	Environmental Impact (Initiatives to Reduce Environmental Impact)
<b>Aspect: Water</b>			
EN8	CORE	Total water withdrawal by source.	Environmental Impact of the Daiwa Securities Group (Changes in Potable Water Consumption)
EN9	ADD	Water sources significantly affected by withdrawal of water.	Impact is insignificant
EN10	ADD	Percentage and total volume of water recycled and reused.	Not reported
<b>Aspect: Biodiversity</b>			
EN11	CORE	Location and size of land owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas.	Not applicable
EN12	CORE	Description of significant impacts of activities, products, and services on biodiversity in protected areas and areas of high biodiversity value outside protected areas.	Not applicable
EN13	ADD	Habitats protected or restored.	Not applicable
EN14	ADD	Strategies, current actions, and future plans for managing impacts on biodiversity.	Relationship with Society (Daiwa CI Biodiversity Conservation Fund)
EN15	ADD	Number of IUCN Red List species and national conservation list species with habitats in areas affected by operations, by level of extinction risk.	Not applicable

Item		Indicator	Link
<b>Aspect: Emissions, Effluents, and Waste</b>			
EN16	CORE	Total direct and indirect greenhouse gas emissions by weight.	Environmental Impact (CO <sub>2</sub> Emissions)
EN17	CORE	Other relevant indirect greenhouse gas emissions by weight.	Environmental Impact (CO <sub>2</sub> Emissions)
EN18	ADD	Initiatives to reduce greenhouse gas emissions and reductions achieved.	Environmental Impact (CO <sub>2</sub> Emissions from Energy Consumption, CO <sub>2</sub> Emissions per Employee)
EN19	CORE	Emissions of ozone-depleting substances by weight.	Impact is insignificant
EN20	CORE	NO, SO, and other significant air emissions by type and weight.	Impact is insignificant
EN21	CORE	Total water discharge by quality and destination.	Impact is insignificant
EN22	CORE	Total weight of waste by type and disposal method.	Environmental Impact (Changes in Waste Generated and Recycling Volume)
EN23	CORE	Total number and volume of significant spills.	Not applicable
EN24	ADD	Weight of transported, imported, exported, or treated waste deemed hazardous under the terms of the Basel Convention Annex I, II, III, and VIII, and percentage of transported waste shipped internationally.	Not applicable
EN25	ADD	Identity, size, protected status, and biodiversity value of water bodies and related habitats significantly affected by the reporting organization's discharges of water and runoff.	Not applicable
<b>Aspect: Products and Services</b>			
EN26	CORE	Initiatives to mitigate environmental impacts of products and services, and extent of impact mitigation.	Environmental Impact (Initiative to Reduce Environmental Impact)
EN27	CORE	Percentage of products sold and their packaging materials that are reclaimed by category.	Not applicable
<b>Aspect: Compliance</b>			
EN28	CORE	Monetary value of significant fines and total number of non-monetary sanctions for noncompliance with environmental laws and regulations.	Not applicable

Item		Indicator	Link
<b>Aspect: Transport</b>			
EN29	ADD	Significant environmental impacts of transporting products and other goods and materials used for the organization's operations, and transporting members of the workforce.	Not applicable
<b>Aspect: Overall</b>			
EN30	ADD	Total environmental protection expenditures and investments by type.	Not applicable
<b>Labor Practices and Decent Work</b>			
		Disclosure on Management Approach	Relationship with Executives and Employees
<b>Aspect: Employment</b>			
LA1	CORE	Total workforce by employment type, employment contract, and region.	Daiwa Securities Group Profile (Workforce Characteristics) Relationship with Executives and Employees (Employees at the Daiwa Securities Group)
LA2	CORE	Total number and rate of employee turnover by age group, gender, and region.	Not reported
LA3	ADD	Benefits provided to full-time employees that are not provided to temporary or part-time employees, by major operations.	Relationship with Executives and Employees (Creating a Workplace Supportive of Work-Life Balance)
<b>Aspect: Labor/Management Relations</b>			
LA4	CORE	Percentage of employees covered by collective bargaining agreements.	Relationship with Executives and Employees (Number of Employees' Union Members)
LA5	CORE	Minimum notice period(s) regarding operational changes, including whether it is specified in collective agreements.	Not reported
<b>Aspect: Occupational Health and Safety</b>			
LA6	ADD	Percentage of total workforce represented in formal joint management-worker health and safety committees that help monitor and advise on occupational health and safety programs.	Not reported
LA7	CORE	Rates of injury, occupational diseases, lost days, and absenteeism, and number of work-related fatalities by region.	Not reported
LA8	CORE	Education, training, counseling, prevention, and risk-control programs in place to assist workforce members, their families, or community members regarding serious diseases.	Relationship with Executives and Employees (Mental Health)

Item		Indicator	Link
LA9	ADD	Health and safety topics covered in formal agreements with trade unions.	Not reported
<b>Aspect: Training and Education</b>			
LA10	CORE	Average hours of training per year per employee by employee category.	Not reported
LA11	ADD	Programs for skills management and lifelong learning that support the continued employability of employees and assist them in managing career endings.	Relationship with Executives and Employees (Human Resources Development and Skill Development)
LA12	ADD	Percentage of employees receiving regular performance and career development reviews.	Relationship with Executives and Employees (Human Resources Development and Skill Development)
<b>Aspect: Diversity and Equal Opportunity</b>			
LA13	CORE	Composition of governance bodies and breakdown of employees per category according to gender, age group, minority group membership, and other indicators of diversity.	Relationship with Executives and Employees (Employment Rate for Persons with Disabilities, Female Employees and Managers at the Daiwa Securities Group)
LA14	CORE	Ratio of basic salary of men to women by employee category.	Not reported
<b>Human Rights</b>			
		Disclosure on Management Approach	Relationship with Executives and Employees (Human Rights Awareness)
<b>Aspect: Investment and Procurement Practices</b>			
HR1	CORE	Percentage and total number of significant investment agreements that include human rights clauses or that have undergone human rights screening.	We have no operations in areas where there are special concerns about protection of human rights
HR2	CORE	Percentage of significant suppliers and contractors that have undergone screening on human rights and actions taken.	We have no operations in areas where there are special concerns about protection of human rights
HR3	ADD	Total hours of employee training on policies and procedures concerning aspects of human rights that are relevant to operations, including the percentage of employees trained.	Relationship with Executives and Employees (Human Rights Awareness)
<b>Aspect: Non-Discrimination</b>			
HR4	CORE	Total number of incidents of discrimination and actions taken.	Compliance (Corporate Ethics Hotline)
<b>Aspect: Freedom of Association and Collective Bargaining</b>			
HR5	CORE	Operations identified in which the right to exercise freedom of association and collective bargaining may be at significant risk, and actions taken to support these rights.	Not applicable, due to the nature of our business

Item		Indicator	Link
<b>Aspect: Child Labor</b>			
HR6	CORE	Operations identified as having significant risk for incidents of child labor, and measures taken to contribute to the elimination of child labor.	Our business entails no risk of using child labor
<b>Aspect: Forced and Compulsory Labor</b>			
HR7	CORE	Operations identified as having significant risk for incidents of forced or compulsory labor, and measures to contribute to the elimination of forced or compulsory labor.	Our business entails no risk of using forced labor
<b>Aspect: Security Practices</b>			
HR8	ADD	Percentage of security personnel trained in the organization's policies or procedures concerning aspects of human rights that are relevant to operations.	Impact is insignificant, due to the nature of our business
<b>Aspect: Security Practices</b>			
HR9	ADD	Total number of incidents of violations involving rights of indigenous people and actions taken.	Not applicable
<b>Society</b>			
		Disclosure on Management Approach	Key Issue 2: Developing Sound Financial and Capital Markets for the Next Generation Compliance Relationship with Society
<b>Aspect: Community</b>			
SO1	CORE	Nature, scope, and effectiveness of any programs and practices that assess and manage the impacts of operations on communities, including entering, operating, and exiting.	Impact is insignificant, due to the nature of our business
<b>Aspect: Corruption</b>			
SO2	CORE	Percentage and total number of business units analyzed for risks related to corruption.	2009 Annual Report (Risk Management, P59)
SO3	CORE	Percentage of employees trained in organization's anti-corruption policies and procedures.	Compliance (Compliance Training)
SO4	CORE	Actions taken in response to incidents of corruption.	Not applicable
<b>Aspect: Public Policy</b>			
SO5	CORE	Public policy positions and participation in public policy development and lobbying.	Key Issue 2: (Information dissemination at international conferences, etc.) Daiwa Securities Group CSR (External Initiatives Using Finance to Resolve Social Issues) External Initiatives (Japanese only)

Item		Indicator	Link
S06	ADD	Total value of financial and in-kind contributions to political parties, politicians, and related institutions by country.	Not reported
<b>Aspect: Anti-Competitive Behavior</b>			
S07	ADD	Total number of legal actions for anticompetitive behavior, anti-trust, and monopoly practices and their outcomes.	Not applicable
<b>Aspect: Compliance</b>			
S08	CORE	Monetary value of significant fines and total number of non-monetary sanctions for noncompliance with laws and regulations.	Not applicable
<b>Product Responsibility</b>			
		Disclosure on Management Approach	Relationship with Customers Corporate Governance (Information Security Management)
<b>Aspect: Customer Health and Safety</b>			
PR1	CORE	Life cycle stages in which health and safety impacts of products and services are assessed for improvement, and percentage of significant products and services categories subject to such procedures.	Not applicable, due to the nature of our business
PR2	ADD	Total number of incidents of non-compliance with regulations and voluntary codes concerning health and safety impacts of products and services during their life cycle, by type of outcomes.	Not applicable, due to the nature of our business
<b>Aspect: Product and Service Labeling</b>			
PR3	CORE	Type of product and service information required by procedures, and percentage of significant products and services subject to such information requirements.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society Relationship with Customers (Building Even More Trust in Relationships with Customers)
PR4	ADD	Total number of incidents of non-compliance with regulations and voluntary codes concerning product and service information and labeling, by type of outcomes.	Not applicable
PR5	ADD	Practices related to customer satisfaction, including results of surveys measuring customer satisfaction.	Relationship with Customers (Initiatives Make Use of Customer Views)

Item		Indicator	Link
<b>Aspect: Marketing Communications</b>			
PR6	CORE	Programs for adherence to laws, standards, and voluntary codes related to marketing communications, including advertising, promotion, and sponsorship.	Key Issue 2: Developing Sound Financial and Capital Markets for the Next Generation Relationship with Customers (Accountability to customers)
PR7	ADD	Total number of incidents of non-compliance with regulations and voluntary codes concerning marketing communications, including advertising, promotion, and sponsorship by type of outcomes.	Not applicable
Item		Indicator	Link
<b>Aspect: Customer Privacy</b>			
PR8	ADD	Total number of substantiated complaints regarding breaches of customer privacy and losses of customer data.	Not applicable
<b>Aspect: Compliance</b>			
PR9	CORE	Monetary value of significant fines for noncompliance with laws and regulations concerning the provision and use of products and services.	Not applicable

### Sustainability Reporting Guidelines & Financial Services Sector Supplement

Item		Indicator	Link
<b>Product and Service Impact (Financial Services Sector Specific Disclosure on Management Approach)</b>			
FS1	CORE	Policies with specific environmental and social components applied to business lines.	Daiwa Securities Group CSR CSR Management (Corporate Mission and Principles)
FS2	CORE	Procedures for assessing and screening environmental and social risks in business lines.	Not reported
FS3	CORE	Processes for monitoring clients' implementation of and compliance with environmental and social requirements included in agreements or transactions.	Compliance (Systematic Measures to Avoid Involvement with Criminal Elements)

Item		Indicator	Link
FS4	CORE	Process(es) for improving staff competency to implement the environmental and social policies and procedures as applied to business lines.	CSR Management (CSR Promotion Activities) Relationship with Executives and Employees (Human Resources Development and Skill Development)
FS5	CORE	Interactions with clients/investees/ business partners regarding environmental and social risks and opportunities.	Stakeholder Dialogue 2: Promoting Sustainability via the Financial Business and CSR Relationship with Customers Relationship with Shareholders
<b>Product and Service Impact (Performance Indicators)</b>			
<b>Aspect: Product Portfolio</b>			
FS6	CORE	Percentage of the portfolio for business lines by specific region, size (e.g. micro/ SME/large) and by sector.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
FS7	CORE	Monetary value of products and services designed to deliver a specific social benefit for each business line broken down by purpose.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
FS8	CORE	Monetary value of products and services designed to deliver a specific environmental benefit for each business line broken down by purpose.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
<b>Aspect: Audit</b>			
FS9	CORE	Coverage and frequency of audits to assess implementation of environmental and social policies and risk assessment procedures.	Corporate Governance
<b>Aspect: Active Ownership</b>			
FS10	CORE	Percentage and number of companies held in the institution's portfolio with which the reporting organization has interacted on environmental or social issues.	Not reported
FS11	CORE	Percentage of assets subject to positive and negative environmental or social screening.	Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society
FS12	CORE	Voting polic(ies) applied to environmental or social issues for shares over which the reporting organization holds the right to vote shares or advises on voting.	Daiwa Asset Management Rules Against Investment, etc., in Companies Manufacturing Cluster Bombs (Japanese only)
<b>Society (Performance Indicators)</b>			
<b>Aspect: Community</b>			
FS13	CORE	Access points in low-populated or economically disadvantaged areas by type.	Not applicable

Item		Indicator	Link
FS14	CORE	Initiatives to improve access to financial services for disadvantaged people.	Stakeholder Dialogue 1: New Ways to Help Eradicate Poverty Key Issue 1: Leveraging Financial Capabilities to Contribute to a Sustainable Society Relationship with Customers (Services accessible to diverse customers) Relationship with Society (Daiwa Securities Group Tsunami Reconstruction Fund)
<b>Product and Service Impact (Financial Services Sector Specific Disclosure on Management Approach) Relationship with Society (Daiwa Securities Group Tsunami Reconstruction Fund)</b>			
FS15	CORE	Policies for the fair design and sale of financial products and services.	Relationship with Customers (Building Even Deeper Trust in Relationships with Customers)
<b>Product Responsibility (Performance Indicators)</b>			
<b>Aspect: Product and Service Labeling</b>			
FS16	CORE	Initiatives to enhance financial literacy by type of beneficiary.	Key Issue 2: Developing Sound Financial and Capital Markets for the Next Generation CSR Management (CSR Promotion Activities)