

December 15, 2017

-Translation-**Announcement: Anti-Bribery and Corruption Policy**

Capital Nomura Securities Public Company Limited ("CNS") is committed to conduct the business with transparency and integrity to be in compliance with the principles of good corporate governance. CNS has participated "Thailand's Private Sector Collective Action Coalition Against Corruption" with a strong intention against all forms of corruption in order to set the standard of practices on transparency. In this regard, CNS has formulated the written "Anti-Corruption Policy" as an apparent guideline in conducting business and sustainable development. CNS's directors, management and employees including agents acting on behalf of CNS must strictly comply with the Anti-Corruption Policy which comes into force as from February 26, 2015.

In year 2017, CNS has revised the policy to be in line with Nomura Group and changed the policy's name to "Anti-Bribery and Corruption Policy" which has already approved by BoD. The Anti-Bribery and Corruption Policy has come into force as from December 15, 2017.

The Anti-Bribery and Corruption Policy has been announced on CNS's website (www.nomuradirect.com). Any person who finds any likelihood or actions of corruption related to CNS, you can ask for a recommendation from CNS, consult before complaining as well as inform a notice or a complaint through the communication channels as specified in Whistleblowing Policy as follows:

Chairman of the Board of Directors and Chairman of the Board of Executive Directors /
President / Chairman of the Audit Committee /
Head of Compliance Department / Head of Internal Audit Department /
Head of Human Resources Department / Head of Legal Department

Capital Nomura Securities Public Company Limited
Compliance Department
25 Bangkok Insurance Building, 15th – 17th Floor, South Sathorn Road,
Thungmahamek, Sathorn, Bangkok 10120
Telephone: 66(0) 2287 6860-5

Remark

Whistleblowing, the informers must clearly disclose their name, surname, contact address and telephone which CNS shall maintain the confidentiality of all information regarding the informed matters and protect the informers as stipulated by CNS's Anti-Corruption Policy. The informers shall make in good faith. In case that CNS finds any dishonest notices or notices with intention to cause the others any damages, loss of reputation, subject to despise, hate or shamefulness and etc., such person shall be subject to a punishment as CNS deems appropriate. In the event of CNS's staff, he/she will be liable to disciplinary action or in the event of the third person, who makes any damages to CNS, shall be prosecuted under the laws.

Please be informed accordingly.

Best regards,

-Signed-

(Suthep Peetakanont)
Chairman of the Board of Directors and
Chairman of the Board of Executive Directors

Document History

February 2015	Announcement
December 2015	Revised & Updated
March 2016	Revised & Updated
May 2016	Revised & Updated
December 2017	Revised & Updated

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