

Basic Policy on Anti-Social Forces

Citigroup Global Markets Japan Inc. declares the following basic policy in order to prevent damages caused by groups or individuals, so-called “Anti-Social Forces (ASF)”, that pursue economic benefit by making full use of violence, force and fraudulent means.

1. All executives and employees resolutely work toward not having any relations with ASF.
2. Work with specialized agencies such as police office and attorney and handle properly in an organized way in order to prevent damages caused by ASF.
3. Never accept undue demands by ASF and resolutely deal with it according to law.
4. Do not give benefits and make backstage deal with ASF.
5. Ensure employee's safety who deals with undue demands by ASF.