

Regarding our relationship with Kuni-Umi Asset Management Co., Ltd.

According to media reports, Kuni-Umi Asset Management Co., Ltd., located in Minato-ku, Tokyo, received a bankruptcy commencement order from the Tokyo District Court on March 11th.

Kuni-Umi AI Securities Co., Ltd., was formerly a subsidiary of Kuni-Umi Asset Management Co., Ltd. However the company dissolved the capital relationship in November 2022.

Currently, our major shareholders are N&O Consulting Co., Ltd. (50.65%) and our representative director, Yuan Li (30.27%). We would like to inform you that we have no capital or business relationship whatsoever with Kuni-Umi Asset Management.

【Company Information:Kuni-Umi AI Securities】

- Company Name: Kuni-Umi AI Securities Co., Ltd.
- Representative: President and CEO, Yuan Li
- Registration Number: Financial Instruments Business Operator, Kanto Local Finance Bureau (Financial Instruments) No. 1627
- Member Associations: Japan Securities Dealers Association, Type II Financial Instruments Firms Association, Japan Investment Advisers Association
- Business Activities: Handling of alternative investment products, commissioned trading of securities, M&A advisory
- Establishment Date: February 22, 2007
- Head Office: 6th Floor, Marunouchi Nakadori Building, 2-2-3 Marunouchi, Chiyoda-ku, Tokyo
- URL: <https://www.kuniumiai-sec.co.jp/>
- Request for Information: <https://www.kuniumiai-sec.co.jp/contact/form/>
- TEL: 03-5288-6766 (Main)

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