

Mitsubishi UFJ Financial Group, Inc. (MUFG)  
Mitsubishi UFJ Securities Holdings Co., Ltd.

## **Regarding the Tokyo Stock Exchange and Osaka Exchange announcements pertaining to Mitsubishi UFJ Morgan Stanley Securities**

**Tokyo, September 20, 2018** --- Today, Tokyo Stock Exchange, Inc. and Osaka Exchange, Inc. announced penalties with respect to Mitsubishi UFJ Morgan Stanley Securities Co., Ltd., a consolidated subsidiary of MUFG.

MUFG accepts these announcements with sincerity and will reflect deeply on our actions.

We sincerely apologize to our customers and other stakeholders for the inconvenience and concern we have caused.

Going forward, MUFG will strive to thoroughly enforce strict compliance and internal controls across the entire group and will work to regain the trust that has been lost as a result of this issue.

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