

June 25, 2009

To whom it may concern:

Mitsubishi UFJ Securities Co., Ltd.

### Arrest of a former employee

Today, we regret to announce that our former employee was arrested by the Metropolitan Police Department on charges of violation of the Fraudulent Access Prevention Law and larceny. We would like to sincerely apologize to our customers once again for the serious inconvenience and concern that the former employee fraudulently leaked important our customers' information to data brokers.

Since the occurrence of the incident, we have established a Task Force on Customer Information Leak and devoted every effort to tackle the issue, fully cooperating with the police investigation and putting our top priority on preventing the further spread of damage to our customers. After the establishment of the Task Force, we have also established an investigation committee consisting of external experts and specialized investigative bodies to clarify the facts and causes of the incident thoroughly by third parties. We have already received recommendations for preventative measures based on the facts and cause of the incident which stated in "Investigation Report" compiled by the committee.

In addition, to cooperate with the police investigation we withheld the disclosure of the fact until today that we have found out that general information which we continuously purchase from outside parties was also taken out besides the customers' information which we announced before.

Based on the committee's recommendations, we are now going forward to develop drastic preventative measures and have already introduced some of them. We shall report their specific contents once they are completed.

The seven recommendations for the preventative measures compiled by the committee are as follows;

- (1) The recommendation for the postures of the top management related to the risk management policy
- (2) The recommendation for the information security governance
- (3) The recommendation for the organizational and technical control
- (4) The recommendation for the human control (internal education and training )
- (5) The recommendation for the verification of actual status of various rules implementation
- (6) The recommendation for the actual investigation practice of the risk management
- (7) The recommendation for the monitoring of the preventative measures implementation

As a matter of priority, while fully cooperating with the police investigation continuously, we are putting all our efforts into limiting damage to our customers and regaining and maintaining our precious customers' trust by developing and implementing preventative measures swiftly.

End

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