

Appendix 1

Behavior of Misconduct

(Unit: Share)

Underlying Stock	Period of Misconduct	Non-Bona Fide Orders to Buy or Sell OTC Derivatives (CFDs) (Note 1)		Executed Orders to Buy or Sell OTC Derivatives (CFDs) (Note 2)	
		Sale	Purchase	Sale	Purchase
PACIFIC METALS CO., LTD.	10:16:40 a.m. to 1:12:01 p.m. on September 4, 2019	29,500	29,000	28,500	28,500
	10:59:01 a.m. to 1:35:27 p.m. on September 5, 2019	9,200	13,500	16,400	26,600
	Subtotal	38,700	42,500	44,900	55,100
Noritsu Koki Co., Ltd.	9:50:45 a.m. to 1:05:17 p.m. on September 6, 2019	9,000	59,600	45,200	43,200
	Total	47,700	102,100	90,100	98,300

(Note 1) Amount of orders which were placed but cancelled.

(Note 2) Amount of orders which were executed.