

BrokerCheck Report

BUNGO MIURA

CRD# 5050191

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**BUNGO MIURA**

CRD# 5050191

Currently employed by and registered with the following Firm(s):

- B** **SMBC NIKKO SECURITIES AMERICA, INC.**
 277 PARK AVENUE
 NEW YORK, NY 10172
 CRD# 28602
 Registered with this firm since: 02/25/2015

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 6 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B** **SMBC NIKKO SECURITIES CANADA, LTD.**
 CRD# 297706
 NEW YORK, NY
 05/2019 - 08/2019
- B** **SMBC NIKKO SECURITIES AMERICA, INC.**
 CRD# 28602
 NEW YORK, NY
 11/2005 - 05/2013

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Criminal	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 6 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **SMBC NIKKO SECURITIES AMERICA, INC.**

Main Office Address: **277 PARK AVENUE FIFTH FLOOR
NEW YORK, NY 10172**

Firm CRD#: **28602**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	04/12/2019
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/12/2019
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	04/12/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/12/2019
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	04/12/2019
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/12/2019
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	04/12/2019
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/12/2019
B	FINRA	General Securities Principal	Approved	02/25/2015
B	FINRA	General Securities Representative	Approved	02/25/2015
B	FINRA	Investment Banking Representative	Approved	02/25/2015
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Principal	Approved	04/12/2019
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/12/2019

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<div>B</div> New York	Agent	Approved	02/25/2015

Branch Office Locations

SMBC NIKKO SECURITIES AMERICA, INC.
277 PARK AVENUE
NEW YORK, NY 10172



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/13/2010

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Research Analyst Exam - Part II Regulations Module	Series 87	03/02/2011
B General Securities Representative Examination	Series 7	11/28/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/09/2007

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 05/2019 - 08/2019	SMBC NIKKO SECURITIES CANADA, LTD.	297706	NEW YORK, NY
B 11/2005 - 05/2013	SMBC NIKKO SECURITIES AMERICA, INC.	28602	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2024 - Present	SMBC Nikko Securities Inc.	Managing Executive Officer/Head of Global Business Planning	Y	Tokyo, Japan
03/2024 - Present	Sumitomo Mitsui Financial Group, Inc. "SMFG"	Deputy Head of Global Business Unit, Managing Executive Officer	Y	Tokyo, Japan
04/2023 - Present	SMBC NIKKO SECURITIES AMERICA, INC	Registered Representative	Y	New York, NY, United States
05/2019 - 03/2024	SMBC NIKKO SECURITIES CANADA LTD.	DIRECTOR	Y	NEW YORK, NY, United States
04/2019 - 03/2024	SMBC CAPITAL MARKETS, INC.	Director	Y	New York, NY, United States
11/2016 - 03/2024	SMBC Nikko Securities, Inc.	Managing Executive Officer, Senior Deputy Head of Global Business Planning, Deputy head of Special Missions	Y	Tokyo, Japan
04/2019 - 04/2023	SMBC NIKKO SECURITIES AMERICA, INC.	Senior Deputy Head of Global Business Planning, Chairperson, President and Director	Y	NEW YORK, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2016 - 04/2019	SMBC NIKKO CAPITAL MARKETS LIMITED	Deputy President	Y	London, United Kingdom
04/2013 - 12/2016	SUMITOMO MITSUI BANKING CORPORATION	GENERAL MANAGER / SECURITIES BUSINESS DEPARTMENT	Y	TOKYO, Japan

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source: Broker

If charge(s) were brought against an organization over which broker exercised control:

Organization Name: SMBC Nikko Securities, Inc.

Investment Related Business: Yes

Broker's Position: Executive Managing Officer

Formal Charges were brought in: Foreign Court

Name of Court: Tokyo District Court

Location of Court: Tokyo, Japan

Docket/Case #: N/A

Charge Date: 03/24/2022

Charge(s) 1 of 1

Formal Charge(s)/Description: On 3/24/22 the Tokyo District Public Prosecutors Office charged Nikko Tokyo and 4 employees with violations of the FIEA for attempting to stabilize the prices of certain Japanese equity securities. The Prosecutor alleged that, between Dec 2019-Nov 2020, the relevant employees of Nikko Tokyo purchased shares of 5 issuers for its own account in an attempt to stabilize the prices of those securities



in anticipation of a block offer. The Prosecutor alleged that the activity was intended to ensure that the price of the securities being sold did not decline, in violation of Article 197 Paragraph 1, Item 5, Article 159, Paragraph 3 and Article 207, Paragraph 1, Item 1 of the FIEA and Article 60 of the Penal Code. On 4/13/22, the Prosecutor filed additional charges against Nikko Tokyo and 2 employees for engaging in similar conduct in connection with 5 additional block offers between Oct 2020-Apr 2021. The 3/24 and 4/13 charges were consolidated. Mr. Miura was not charged with any violations.

No of Counts:	10
Felony or Misdemeanor:	Felony
Plea for each charge:	Nikko Tokyo did not contest at least certain of the facts alleged by the Public Prosecutor.
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	02/13/2023
Disposition Date:	02/13/2023
Sentence/Penalty:	On March 24, 2022 and April 13, 2022, the Special Investigation Department of Tokyo District Public Prosecutors Office indicted SMBC Nikko Securities, Inc. ("Nikko Tokyo") and six Nikko Tokyo personnel for attempting to stabilize the prices of ten Japanese equity securities that Nikko Tokyo was attempting to place in "block offerings" between December 2019 and April 2021. The March 24, 2022, and April 13, 2022 charges against Nikko Tokyo were consolidated for trial. On February 13, 2023, Nikko Tokyo was convicted of 10 violations of the FIEA, which are equivalent of a felony under Japanese law. Nikko Tokyo was ordered to pay a ¥700 million fine (approximately \$5.3 million) and a surcharge of ¥4.5 billion (approximately \$33.7 million).

End of Report



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