

The following is an English version of the official Japanese announcement, which has been given to the Tokyo Stock Exchange and the media in Tokyo, Japan.



October 7, 2021

Company: SPARX Group Co., Ltd.
(Code: 8739, TSE First Section)

SPARX Group Announces Assets Under Management for September 2021

SPARX Group AUM increased by JPY 34.1 billion (2.2% increase) compared to the previous month;
as a result, Group AUM is JPY 1,619.1 billion

■ AUM by Investment Strategy-Four Pillars

(Unit: 100million JPY)

	2020 Oct.	2020 Nov.	2020 Dec.	2021 Jan.	2021 Feb.	2021 Mar.	2021 Apr.	2021 May	2021 Jun.	2021 Jul.	2021 Aug.	2021 Sep.
Japan Equity	8,903	9,712	10,078	10,001	9,883	10,302	10,130	10,194	10,460	10,376	10,807	11,307
OneAsia	723	812	909	889	1,243	1,343	1,345	1,326	1,366	1,347	1,332	1,171
Real Assets	2,321	2,321	2,480	2,552	2,552	2,553	2,536	2,538	2,538	2,538	2,538	2,538
Private Equity (Mirai Creation, etc.)	1,214	1,032	1,139	1,155	1,152	1,157	1,157	1,162	1,162	1,172	1,172	1,174
Total	13,162	13,878	14,608	14,598	14,831	15,357	15,170	15,221	15,528	15,435	15,850	16,191

(Note)

- The preliminary figures of the most recent month are released monthly, usually within five working days of the beginning of the next month since they constitute the basis for the revenues such as fees from mutual funds and investment advisory fees, which accounts for the Company's majority of revenue.
- AUM is assets that were entrusted to us by our investors, and not the assets owned by SPARX Group.
- AUM would fluctuate due to the changes in investment performance, foreign exchange rate, and subscription and redemption of the funds.
- The above-mentioned tables detail historical month-end AUM and preliminary figures for the asset management subsidiaries of SPARX Group, consisting of SPARX Asset Management Co., Ltd., SPARX Asset Trust & Management Co., Ltd., SPARX AI & Technologies Investment Co., Ltd., SPARX Innovation for Future Co., Ltd., SPARX Asset Management Korea Co., Ltd., and SPARX Asia Capital Management Limited, and its affiliated company named Nomura SPARX Investment, Inc. ("Nomura SPARX") combined. In addition, AUM of power stations which SPARX Green Energy and Technology Co., Ltd. manages is also included in it.
SPARX Group owns either directly or indirectly 100% of all the subsidiaries mentioned above, while holding Nomura SPARX for the equity ratio as indicated below. Please note that above figures include 100% of AUM for each subsidiary and affiliated company, regardless of the ratio of SPARX Group's equity interest in those companies.

Company Name	SPARX Group Interest (as of the end of September 2021)
Nomura SPARX Investment, Inc.	49.0%

- All funds are valued at current market prices or commitment amount that are the basis for the management fee calculation and are rounded down to the nearest ¥100 million.
- The figures at the end of the previous month are based on in-house calculations and should be regarded as preliminary. In addition, the preliminary figures will be adjusted and released as confirmed figures in the next month.
- AUM of "Japan Renewable Energy Investment Strategy" is shown in terms of the amount of cost for acquisition of assets of renewable energy generating facilities. The group companies have steady inflows of management fees for such power stations calculated based on the acquisition cost each month from contracts as well as investment advisory fees based on the equity investment amount.
- "One Asia" includes funds that are investing in both Japanese equity and Asian equities.

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■ Stock market indexes and exchange rates

	August 2021	September 2021	variability rate
Nikkei 225	28,089.54	29,452.66	+4.85%
TOPIX	1,960.70	2,030.16	+3.54%
JASDAQ Stock Index	188.44	191.17	+1.45%
KOSPI Index	3,199.27	3,068.82	-4.08%
KOSDAQ Index	1,038.33	1,003.27	-3.38%
Hong Kong Hang Seng Index	25,878.99	24,575.64	-5.04%
KRW/JPY rate	0.0947	0.0942	-0.54%
USD/JPY rate	109.85	111.57	+1.56%

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