

4. Securities (Non-Consolidated)**【Outstanding Balance】**

(¥ billions)

	As of Dec.31,		Increase/ (Decrease)	As of Sep.30, 2021 (B)	(A)–(B)
	2020	2021(A)			
Securities	1,439.5	1,370.7	(68.7)	1,414.0	(43.2)

5. Unrealized Gains (Losses) on Securities (Non-Consolidated)

(¥ billions)

	As of Sep.30, 2021			As of Dec.31, 2021			
	Net (B)	Unrealized gains	Unrealized losses	Net (A)	(A)–(B)	Unrealized gains	Unrealized losses
Unrealized gains (losses) on securities	130.9	136.0	5.0	104.7	(26.2)	111.2	6.5
Stocks	125.5	125.7	0.1	101.4	(24.1)	101.6	0.2
Bonds	4.4	7.4	3.0	2.9	(1.5)	7.0	4.0
Others	0.9	2.8	1.8	0.4	(0.5)	2.5	2.1
Nikkei stock average (¥)	29,452			28,791			
New 10-year Japanese government bond yield (%)	0.065%			0.070%			

6. Disclosed claims under the Financial Reconstruction Law (Non-Consolidated)

(¥ billions)

	As of Dec.31,		Increase/ (Decrease)	As of Sep.30, 2021(B)	(A)–(B)
	2020	2021(A)			
Bankrupt and quasi-bankrupt claims	28.7	27.9	(0.7)	27.1	0.7
Doubtful claims	31.1	34.6	3.4	35.6	(1.0)
Substandard claims	11.6	12.1	0.5	12.6	(0.5)
Total (a)	71.5	74.7	3.2	75.5	(0.7)
After partial direct write-offs (b) *	55.0	59.7	4.6	60.8	(1.0)
Normal claims	7,437.2	7,589.8	152.5	7,512.3	77.5
Total claims (c)	7,508.8	7,664.6	155.8	7,587.8	76.7
After partial direct write-offs (d) *	7,492.3	7,649.6	157.2	7,573.1	76.4
< Percentage of total claims >					(%)
(a) / (c)	0.95	0.97	0.02	0.99	(0.02)
(b) / (d) *	0.73	0.78	0.05	0.80	(0.02)

*Partial direct write-offs have not been implemented.

The figures as they would appear after partial direct write-offs are shown for reference.

Please be cautious this report is an English translation of the Japanese original. Please refer to the Japanese version for more information.