

**Yuanta Financial Holding Company**  
**Sustainable Development Policy and Management Measures**

*Approved by the Board of Directors on December 28, 2010 (7th meeting of the 5th board)*

*Amendments approved on September 24, 2013 (6th meeting of the 6th board)*

*Amendments approved on August 28, 2014 (20th meeting of the 6th board)*

*Amendments approved on October 26, 2016 (6th meeting of the 7th board)*

*Amendments approved on January 23, 2019 (36th meeting of the 7th board)*

*Amendments approved on October 27, 2021 (34th meeting of the 8th board)*

*Amendments approved on May 20, 2022 (42nd meeting of the 8th board)*

**Article 1**

Yuanta Financial Holding Company (hereafter: “the Company”)’s sustainable vision is “to become an international benchmark enterprise for sustainability and to actively promote a better future for future generations.” The Company supports the United Nations Sustainable Development Goals and integrates environmental, social, and corporate governance (ESG) concepts into the corporate culture and operational strategies. In order to actively practice sustainable development, and in adherence with Article 5 of the Company’s Sustainable Development Guidelines, the Company establishes these Measures.

**Article 2**

The Company sets its sustainable development policy as below, and likewise resolves to use said policy to practice sustainable goals, and continue to promote the implementation of the concept of corporate sustainability:

- (1) Full engagement in social participation.
- (2) Customers’ number one trusted brand.
- (3) Green pioneers in environmental change.
- (4) Provide an exceptional workplace that employees aspire to work in.
- (5) A leader in corporate governance.

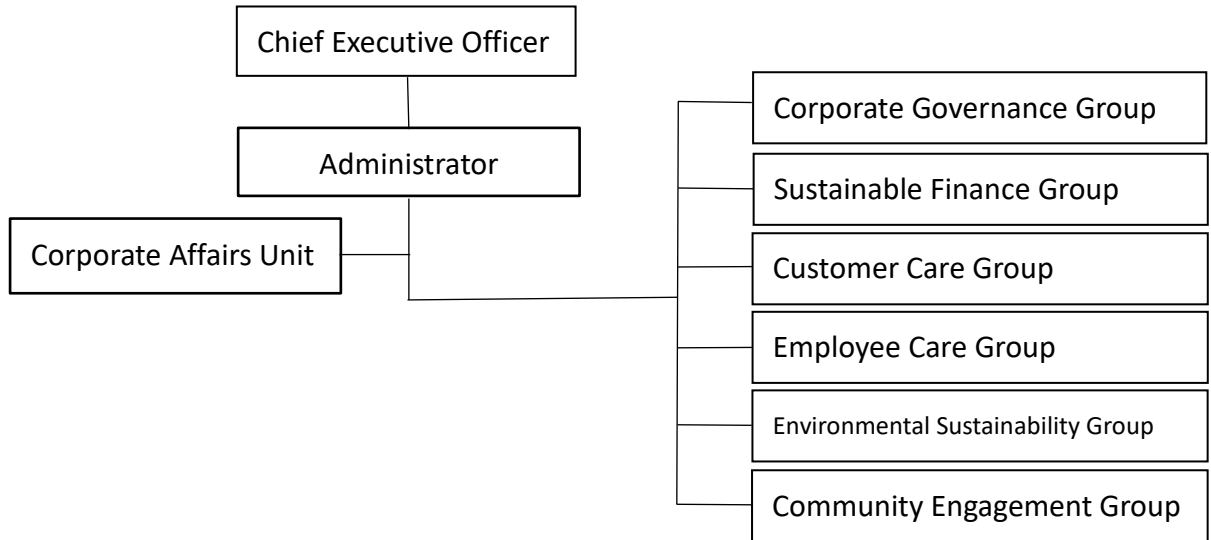
**Article 3**

When the Company engages in business activities, it shall consider their effect on employees, suppliers, governmental organizations, members of society, schools and academic institutions, non-governmental organizations, customers, investors, and other stakeholders, and shall establish appropriate channels and means of communication.

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**Article 4**

The Company’s Corporate Sustainability Office (hereafter: “The Office”)’s organizational structure and responsibilities are as below:



1. The Office shall have one designated person to serve as the chief executive officer (CEO), appointed by the Sustainable Development Committee, responsible for supervising and promoting the implementation of the Company’s sustainable development policies. The Office has an administrator who is assigned by the CEO to assist him or her in promoting sustainable development. In the event that the CEO and administrator are unable to perform their duties for any reason whatsoever, they shall appoint a person to act in his or her stead.
2. The Office shall establish functional workgroups to serve under its auspices; the workgroups’ respective duties and responsible departments are listed below:

Functional Workgroup	Duties	Responsible Departments
Corporate Governance Group	<ul style="list-style-type: none"> <li>• Transparency of financial management and information disclosure</li> <li>• Promoting corporate governance</li> <li>• Corruption prevention</li> <li>• Establishing communication methods and channels for institutional investors</li> <li>• Fulfilling the tax obligations</li> <li>• Establishing reasonable internal procedures for</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Planning Dept.</li> <li>• Accounting Dept.</li> <li>• Internal Auditing Dept.</li> <li>• Risk Management Dept.</li> <li>• Human Resources Dept.</li> <li>• Institutional IR Dept.</li> <li>• Compliance Affairs Dept.</li> <li>• Secretariat Office</li> </ul>

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	corporate donations	<ul style="list-style-type: none"> <li>• Administration Dept.</li> </ul>
Sustainable Finance Group	<ul style="list-style-type: none"> <li>• Promoting green operations</li> <li>• Developing green credit, green products, and responsible investment</li> <li>• Promoting services and products with environmental and social benefits</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Planning Dept.</li> <li>• Risk Management Dept.</li> <li>• Operational Support Dept.</li> <li>• Digital Development Division</li> <li>• Corporate Banking Division</li> <li>• Each subsidiary</li> </ul>
Customer Care Group	<ul style="list-style-type: none"> <li>• Handling customer complaints</li> <li>• Protecting customer information</li> <li>• Maintaining customer rights</li> </ul>	<ul style="list-style-type: none"> <li>• Secretariat Office</li> <li>• Administration Dept.</li> <li>• Corporate Planning Dept.</li> <li>• Compliance Affairs Dept.</li> <li>• IT Dept.</li> <li>• Information Security Dept.</li> <li>• Each subsidiary</li> </ul>
Employee Care Group	<ul style="list-style-type: none"> <li>• Education and training related to corporate social responsibility</li> <li>• Establishing appropriate human resources management practices and procedures</li> <li>• Maintaining employees' rights and providing relevant information</li> <li>• Setting up effective programs of career development and training</li> <li>• Establishing communication methods and channels for employees</li> <li>• Maintaining the safety of employees at work</li> <li>• Promoting gender equality in the workplace</li> </ul>	<ul style="list-style-type: none"> <li>• Human Resources Dept.</li> <li>• Administration Dept.</li> <li>• Each subsidiary</li> </ul>
Environmental Sustainability Group	<ul style="list-style-type: none"> <li>• Establishing environmental management systems (including measures related to water conservation, carbon reduction, and greenhouse gas reduction)</li> <li>• Purchasing office supplies and equipment with low energy consumption and green power</li> <li>• Proper disposal of waste</li> <li>• Reusing and recycling energy-consuming items</li> <li>• Supplier management</li> <li>• Green procurement</li> </ul>	<ul style="list-style-type: none"> <li>• Administration Dept.</li> <li>• Each subsidiary</li> <li>• IT Dept.</li> </ul>

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<p>Community Engagement Group</p>	<ul style="list-style-type: none"> <li>• Promoting cooperation and exchanges of domestic and overseas academic research institutions and individuals</li> <li>• Providing awards and assistance to relevant research and outstanding young students at home and abroad</li> <li>• Planning and holding academic seminars, talks, and conferences</li> <li>• Organizing various events oriented toward culture, education, and social welfare</li> <li>• Promoting volunteer service programs</li> </ul>	<ul style="list-style-type: none"> <li>• Administration Dept.</li> <li>• Each subsidiary</li> <li>• Yuanta Cultural &amp; Educational Foundation</li> </ul>
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3. The Office shall set up a number of supervisors, functional workgroup CEOs and deputy workgroup CEOs according to the needs of the task, in order to facilitate the integration of the work of functional workgroups. The above-mentioned members are assigned by the CEO of the Office.

**Article 5**

The Office shall hold meetings at least once per quarter, and shall hold additional meetings based on need, in order to monitor the functional workgroups’ progress on their respective duties. The Office’s CEO shall be responsible for the calling and recording of meetings, as well as other related bureaucratic procedures, and the meeting records shall be submitted to the convener of the Sustainable Development Committee for approval. Additionally, each functional workgroup shall periodically hold meetings; the workgroups’ CEOs shall be responsible for the calling and recording of the meetings, as well as other related bureaucratic procedures, and the meeting records shall be submitted to the Office’s CEO.

**Article 6**

The Office shall periodically report to the Sustainable Development Committee on the development and implementation status of matters relating to the Company's sustainable development system, and the Sustainable Development Committee shall submit related reports to the board of directors.

**Article 7**

These Measures shall take effect, along with any subsequent amendments, upon receiving approval from the Company's board of directors.