

Yuanta Financial Holding Company, Ltd.
2023 Supplier Human Rights Due Diligence Investigation Table

Assessment Subjects	Risk Assessment Percentage (Note 1)	Issues of Concern	Groups at Risk	Human Rights Risk Percentage (Note 2)	Risk Mitigation Measures	Number of Risk Mitigation Implementation	Risk Mitigation Implementation Percentage (Note 3)	Percentage of Actual Risk Occurrence (Note 4)	Impact Compensation Measures	Risk Compensation Percentage (Note 5)	Results
Suppliers	100%	Discrimination	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.61%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, requiring suppliers to follow local regulations and prohibit any discriminatory conduct in the recruitment and hiring process, which in turn affects the rights and interests of employees. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	1	100%	0%	No actual risk occurred in the year 2023.	--	Yuanta inquired about the supplier's occurrence and response through written audit documents, and further communicated with the supplier regarding the content of the answers. The supplier responded that there was no actual incident of discrimination. Yuanta will track the relevant conduct of the supplier through supplier management actions in future years. In addition to contract management, Yuanta will continue to deepen various types of engagements with suppliers in the future, and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Reasonable Pay/Equal Pay for Equal Work	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, which require suppliers to comply with local laws and regulations and actively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	100%	0%	No actual risk occurred in the year 2023.	--	In addition to contract management, we will continue to deepen various types of engagements with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a

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											sustainable supply chain together with them.
Suppliers	100%	Child/Underage Workers	Children	10.98%	<p>Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, requiring suppliers to prohibit the employment of workers under the age of 15. When hiring underage workers, the <i>Labor Standards Act</i> should also be followed to ensure their labor rights and physical and mental health at work.</p> <p>Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.</p>	18	100%	0%	No actual risk occurred in the year 2023.	--	<p>After the self-assessment questionnaire survey, Yuanta has issued a Sustainability Observation and Improvement Suggestion, which contains a description of the meaning of the topic of "Child/Underage Workers" and the corresponding suggested actions, in the hope that suppliers can continuously improve their sustainability performance by taking into consideration of the suggestions. In addition, Yuanta has also investigated the occurrence of this issue and the actions taken by high-risk suppliers (2 in total), and has further communicated with the suppliers on the content of the answers. Both suppliers responded that no hiring had occurred. Yuanta will track the relevant conduct of the suppliers through supplier management actions in future years. Yuanta will continue to work on contract management and deepen various types of engagements with</p>

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											suppliers in the future, and will continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Humane Treatment	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	1.82%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, which prohibit suppliers from engaging in any violent conduct or threats of such conduct (including sexual harassment, indecent assault, corporal punishment, abusive language, mental abuse, and physically inappropriate coercion) towards their employees. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	3	100%	0	No actual risk occurred in the year 2023.	--	Yuanta inquired about the occurrence of the incident and the actions taken by the supplier through the written audit document, and further communicated with the supplier regarding the content of the answers, and the supplier responded that there was no such incident. Yuanta will track the relevant conduct of the supplier through supplier management actions in future years. Yuanta also continues to use contract management to ensure that no infringement of this human rights issue occurs by the suppliers. We will also continue to deepen various types of engagements with suppliers in the future, and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with

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Suppliers	100%	Human Trafficking	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, which require suppliers to comply with local laws and regulations and actively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	--	0%	No actual risk occurred in the year 2023.	--	In addition to contract management, we will continue to deepen various types of engagements with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Freedom of Assembly and Association	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.61%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, which require suppliers to comply with <i>Labor Union Act</i> and related regulations, respect and protect the rights of employees to form associations and unions, and ensure that employees will not be subjected to discrimination, retaliation, coercion and harassment. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	1	100%	0%	No actual risk occurred in the year 2023.	-	In addition to contract management, Yuanta ensures that the supplier has not done anything that violates its employees' freedom of assembly and association. We will also continue to deepen various types of engagements with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Collective Bargaining Rights	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts, which require suppliers to comply with local laws and regulations and actively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	-	0%	No actual risk occurred in the year 2023.	--	In addition to contract management, we will continue to deepen various types of engagements with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply

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											chain together with them.
Suppliers	100%	Forced Labor	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in the contracts to prohibit any form of forced labor, protect employees' physical, mental, and mobility freedom, and proactively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	100%	0%	No actual risk occurred in the year 2023.	-	In addition to contract management, we will continue to deepen various types of engagements with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Environmental Safety and Health	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	2.44%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. Suppliers should provide employees with a hygienic and clean environment, including restrooms, employee dormitories, storage facilities and rest spaces, and provide water suitable for drinking and hygienic food. If suppliers provide dormitories for employees, they should have emergency exits and maintain good safety and hygiene conditions. Suppliers are required to actively promote the health of their employees by providing them with health screening and physical and mental counseling in compliance with regulations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	4	100%	100%	A total of 4 companies have violated regulations during the investigation. Yuanta Group conducted on-site audits on 2 of the suppliers to understand the actual risks of the supplier, and guided the supplier to improve. We also requested 2 other companies to provide a detailed description of the incident and proof of implementation of remedial measures, and offered suggestions for improvement on related issues. We have completed the follow-up on the improvement of risk remediation measures for the 4 suppliers. In the future, we will continue to engage with suppliers to ensure that the human rights of employees are protected.	100%	

Note 1: Risk Assessment Percentage = Number of Tier 1 Assessed Suppliers / Number of Total Tier 1 Suppliers

Note 2: Human Rights Risk Percentage = Number of Suppliers with Potential Human Rights Risk / Number of Suppliers Assessed

Note 3: Risk Mitigation Implementation Percentage = Number of Suppliers Implementing Risk Mitigation / Number of Suppliers with Potential Human Rights Risk

Note 4: Percentage of Actual Risk Occurrence = Number of Suppliers with Actual Human Rights Risk Occurrence / Number of Suppliers with Potential Human Rights Risk

Note 5: Risk Compensation Percentage = Number of Suppliers Implementing Compensation Measures / Number of Suppliers with Actual Human Rights Risk Occurrence