

Yuanta Financial Holding Company Personal Data Management Measures

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Chapter 1 General Provisions

Article 1 (Basis and Purpose)

In order to effectively manage the Company's protection of personal data, the Company has formulated these Measures in accordance with the Company's Personal Data Protection Policy.

Article 2 (Objectives of Personal Data Management and Subjects of these Measures)

The collection, processing, utilization, transmission, retention, and destruction of personal data held by the Company shall be managed in a lawful and appropriate manner.

All personnel (including employees, outsourced vendors, etc.) involved in the various operations mentioned in the preceding paragraph shall comply with the provisions of these Measures.

Chapter 2 Implementation and Operation of Personal Data Management System

Article 3 (Personal Data Protection Team)

In order to implement the protection of personal data, the Company shall establish a personal data protection team, with the chief executive officer designating a supervisor at the level of deputy chief executive officer or above as the convener and deputy convener of the inter-departmental team, and shall formulate the Company's Implementation and Operation Rules of the Personal Data Protection Team, which shall regulate the operation of the protection of personal data and the cooperation of each department and office.

Article 4 (Personal Data Inventory)

The Company shall formulate the Establishment of Personal Data Inventory and Privacy Impact Analysis Operating Procedures to facilitate each department and office to conduct personal data inventory operations and maintain the personal data inventory.

Article 5 (Personal Data Protection Awareness and Educational Training)

The Company's Compliance Affairs Department is responsible for planning and organizing compliance promotion and training programs on the protection of personal data.

Each department and office shall require its employees to participate in educational training related to personal data protection in order to enhance the awareness of the responsibility of personal data protection and to have the necessary ability to carry out personal data

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protection issues and implement the system in business.

The Company shall maintain appropriate communication channels with relevant outside agencies and organizations, and may send employees to attend outside educational training or seminars as necessary in order to continue to receive information on issues related to personal data.

Article 6 (Personal Data Risk Assessment)

In order to grasp the risks associated with personal data, a personal data risk assessment operation and management mechanism shall be established.

Points to note for the risk assessment of personal data are as follows:

1. The scope of the assessment shall include the risks that personal data may be exposed to in the organization from the stages of collection, processing, utilization, retention, transmission, and destruction.
2. When assessing personal data, special attention shall be paid to the risks of outsourcing the processing of personal data, transferring personal data externally, or operations involving a large amount of personal data.
3. In assessing the degree of impact, consideration shall be given to the possible effects on the subjects involved.

Article 7 (Review and Adjustment of the Implementation of Personal Data Protection Policy)

In order to ensure that personal data protection policies and measures comply with relevant laws and regulations, the Company shall review the implementation of the policy and its fulfillment status at least annually in accordance with the Personal Data Protection Policy and shall carry out relevant operations in accordance with the Company's standardized operation methods for the protection of personal data and the matters that shall be coordinated by each department and office.

Each department and office shall adjust the relevant rules and operating procedures in a timely manner based on the results of the risk assessment related to personal data.

When there are significant changes in the operating environment, procedures, or technological techniques, the appropriateness of the personal data protection system or measures shall be re-examined and adjusted accordingly.

Article 8 (Collection of Personal Data)

Each department and office shall collect personal data for a specific purpose and in accordance with relevant laws and regulations.

Article 9 (Processing and Utilization of Personal Data)

Unless otherwise provided by laws or by the competent authority, the processing and utilization of personal data shall be within the scope of the original notification or the original consent of the subject, and the consent of the subject shall be obtained in accordance with the provisions of the relevant laws and regulations in the event that the processing or utilization of personal data is outside the scope of consent.

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Article 10 (Minimization Principle)

The collection, processing, and utilization of personal data shall be minimized to the extent necessary for the specific purpose, and shall have a legitimate and reasonable relationship to the purpose for which it was collected.

Article 11 (Maintaining the Accuracy of Personal Data)

The Company shall maintain the accuracy of personal data and shall correct or supplement it on its own initiative or at the request of the subject.

Article 12 (Retention of Personal Data)

Personal data shall be retained for a specified period of time and communicated to all relevant personnel.

Article 13 (Destruction of Personal Data)

Each department and office shall destroy personal data that is no longer necessary for use in accordance with laws and regulations and the regulations of the competent authorities.

Article 14 (Exercise of Subject's Rights)

The Company shall establish the Procedures for the Exercise of the Rights of the Subject's Personal Data for each personal data held by the Company in order to protect the subject's rights.

Chapter 3 Personal Data Security Management Principles

Article 15 (Maintenance of Personal Data Security)

The Company shall, in accordance with the *Regulations Governing the Security Maintenance of Personal Data Files of Non-Public Service Organizations Designated by the Financial Supervisory Commission* and other relevant laws and regulations, establish a plan for the security maintenance of personal data files and the handling of personal data after the termination of business, as well as the Personal Data Management Operating Rules, and the related regulations for information security, in order to properly safeguard the security of personal data.

Article 16 (Continuous Improvement of Personal Data Management System)

In order to make continuous improvement of the personal data management system and to avoid the recurrence of deficiency incidents, the Company shall follow the following principles to establish preventive and improvement measures:

1. Preventive measures:

- (1) The status and cause of the non-conformity shall be identified.
- (2) The proposed preventive measures shall be decided and implemented.
- (3) The preventive measures taken shall have appropriate tracking and case closure

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mechanisms.

(4) Assess whether the adoption of preventive measures will result in a change in the existing risk to personal data.

(5) All relevant personnel shall be made aware of the preventive measures and possible changes in risks.

2. Improvement measures:

(1) Situations in which non-conformity occurs shall be eliminated.

(2) Reduce the degree of non-conformity.

(3) If the risk assessment confirms that the extent of non-conformity cannot be reduced, the detailed reasons shall be documented in writing.

If any significant deviation from policies or relevant procedures is found in the handling of personal data, preventive improvements shall be made and the results shall be provided to the personal data protection team for review.

Article 17 (Review and Audit of the Effectiveness of Personal Data Management System)

In order to ensure the effective implementation of the personal data management system and regulations, the effectiveness of the system shall be reviewed periodically in accordance with the Company's Implementation and Operation Rules of the Personal Data Protection Team; in addition, the Internal Auditing Department shall include personal data protection issues in the internal audit check items.

Chapter 4 Supplementary Provisions

Article 18 (Handling of Unfinished Matters)

Any matters not covered by these Measures shall be dealt with in accordance with the applicable laws or the Company's related regulations.

Article 19 (Approval Authority)

These Measures shall come into force upon the approval of the board of directors, and the same shall be true when it is amended.