

**Yuanta Financial Holding Company
2021 Human Rights Risk Assessment Management Table**

Assessment Target	Risk Assessment Percentage (%)	Issues of Concern	Groups at Risk	Human Rights Risk Percentage (%)	Risk Mitigation Measures	Number of Risk-Mitigated Persons (Person)	Risk Mitigation Implementation Percentage (%)	Actual Percentage of Risk Occurrence (%)	Impact Compensation Measures	Risk Compensation Percentage (%)	Results	
Employees	100.00	Workplace Inclusivity	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.46	1. Each insured unit shall employ the full amount of physically and mentally disabled employees as required by law. 2. Controlling and managing the number and percentage of employees with physical and mental disabilities in the workforce. 3. Planning the appointment and management procedures for employees with physical and mental disabilities, and having dedicated staff to care for their working conditions on a regular basis. 4. Building a barrier-free working environment that is friendly to persons with physical disabilities.	51	100.00	0.00	—	—	The total number of employees with physical and mental disabilities employed by the Yuanta Group as a whole is better than the total number of employees required by law to be employed.	
		Forced Labor	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.00	1. We comply with the regulations of the <i>Employment Service Act</i> , honestly reveal recruitment advertisements, and do not retain the identity documents of employees or job seekers, nor do we withhold property or receive security deposits. 2. We provide a formal notice of appointment, clearly stating the terms and conditions of appointment, and have employees confirm their consent to serve; no involuntary labor is used. 3. We ensure that the actual working conditions and wages provided to employees are consistent with labor contracts and work rules, and that they comply with relevant labor laws and regulations.	--	--	--	—	—	There were no cases of forced labor violations during the year.	
		Human Trafficking	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.00	1. We ensure that all sources of labor are directly employed or legally dispatched, and that no methods are used to engage workers against their will in work that is not commensurate with their labor and compensation. 2. We ensure that all business activities do not involve sex trafficking or organ harvesting related illegal items.	—	—	—	—	—	—	There were no cases of human trafficking violations during the year.
		Sexual Harassment	-Own employees -Women	100.00 [Note 1]	1. We comply with gender equality laws and regulations, and provide an equal workplace environment by explicitly prohibiting discrimination and sexual harassment in our work rules and related regulations. 2. Organizing regular sexual harassment prevention and advocacy courses to raise the awareness of gender equality among supervisors and employees. 3. Providing relevant grievance channels (e.g. employee grievance bulletin and sexual harassment complaint hotline and email) to enable employees to express their views in a timely manner. 4. Establishing a sexual harassment complaint handling committee to handle related cases impartially.	11,040	100.00	0.00	--	--	1. There were no incidents of sexual harassment during the year. 2. The Company has been named to the Bloomberg Gender-Equality Index (GEI) from 2020 to 2022 and has received a perfect score on the sexual harassment policy component for three consecutive years.	
		Unlawful Assault at Workplace	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.00 [Note 1]	1. In accordance with the law, we have formulated and implemented the "Plan for the Prevention of Unlawful Assault in the Performance of Duties," and the responsible person of the Company has signed a statement on the prevention of workplace violence, declaring zero tolerance for workplace violence. 2. Implementing the prevention of unlawful assault at workplace, enhancing the concept of workplace violence prevention, improving work efficiency, and creating a safe and happy workplace for employees. 3. We have set up a regular employee complaint box and internal communication channels for employees to express their opinions immediately.	11,040	100.00	0.00	--	--	There were no incidents of unlawful assault at workplace in the performance of duties during the year.	

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		Overtime Work	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.00 [Note 1]	<ol style="list-style-type: none"> Ensuring compliance with the provisions of the labor laws and regulations, and clearly setting out in the work rules and related regulations. Continuing to raise awareness of the Company's normal working hours and requirements for extending working hours. Through the attendance and overtime management system, employees' attendance time and overtime intentions are recorded, and employees are reminded of the off-duty hours and regulations of extended working hours. Assisting employees and supervisors in keeping track of the overtime situation through working hours management related reports and sending weekly overtime confirmation notices. Periodically reviewing the overtime situation of each unit. 	11,040	100.00	0.09	<ol style="list-style-type: none"> Compensation for overtime or compensatory time off due to employees. Assisting in understanding the workload of employees and the reasons for overtime, and making appropriate adjustments to their work or helping to improve efficiency as appropriate. 	100.00	<ol style="list-style-type: none"> The actual percentage of overtime work risk decreased by 0.25% from the previous year. For the actual impact, overtime pay or compensatory time off has been granted in accordance with the compensation measures, and the reasons for overtime work have been grasped.
		Child Labor	Children	0.00	<ol style="list-style-type: none"> Prohibiting the employment of persons under the age of 16. The documents required to be completed during the recruiting and interview process require the candidate to state the date of birth and ensure the accuracy of the information, as well as to review the identity card at the time of reporting for duty. 	--	--	--	--	--	There were no cases of child labor during the year.
		Personal Data Protection	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.0 [Note 1]	<ol style="list-style-type: none"> We have formulated a "Personal Data Protection Policy" and "Personal Data Management Regulations" and established a Personal Data Protection Team to implement personal data protection matters. Creating and maintaining an inventory of personal data. If personal data protection is involved in the processing of business, we must implement privacy impact analysis procedures to ensure that the business process does not violate personal data protection-related regulations. Performing regular personal data risk assessments. Regularly conducting training on personal data protection laws and regulations. 	11,040	100.00	0.00	--	--	There were no violations of personal data protection laws and regulations during the year.

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		Occupational Safety Management	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.0 [Note 1]	<ol style="list-style-type: none"> To protect the health and safety of employees and prevent the occurrence of occupational hazards, regularly monitoring the workplace environment (such as implementing the operating environment monitoring verification) to ensure workplace safety. Regularly conducting quality inspections on drinking water, carbon dioxide, lighting, firefighting equipment, etc. in the workplace. Regularly implementing labor safety and sanitation education and training for on-the-job employees to improve employees' awareness of hazard identification. Regularly promoting occupational safety awareness through internal communications. 	11,040	100.0	0.24	<ol style="list-style-type: none"> Initiating occupational disaster notification and handling procedures. Proactively providing care and related insurance information to help employees understand how to apply for related compensation. Adjusting the work schedule according to the physical and mental recovery of the employee. 	100.00	<ol style="list-style-type: none"> For the actual impact, we have followed the compensation measures to handle the related occupational disaster notification procedures and agreed to the employees' leave of absence for recuperation. The Company and its subsidiaries in securities, banking, insurance, futures, and investment trust (funds) have all implemented the international occupational health and safety management systems "ISO45001" and have successfully passed the third-party certification by BSI. In 2021, the Company and its securities subsidiary became the first financial holding group in Taiwan to implement ISO45005 (General Guidelines for Safe Working during the COVID-19 Pandemic).

Note 1: Some issues may be rated as 100% because they involve all assessment targets, but this does not mean that the issue is actually or significantly at risk of human rights issues.

Note 2: The following 15 human rights issues were included in our human rights risk identification program: forced labor, human trafficking, child labor, employment and occupational discrimination, workplace inclusiveness, sexual harassment, unlawful assault at workplace, overtime work, fair compensation, occupational safety management, employee health management, maternity protection, freedom of association, freedom of expression, and personal data protection. After risk identification, the significant concerns were identified as the 9 items listed in the table.