

Yuanta Financial Holding Company
2022 Board of Director and Functional Committee Performance Evaluation Self-
assessment Results

1. Basis

Board and Functional Committees Evaluation Procedures of Yuanta Financial Holding Company, Ltd.

2. Directors of the board (including independent directors) who participated in the self-assessment

Nine (9) directors (including four (4) independent directors): Chairman Tony Shen, Director Wei Chen Ma, Director Chung Yuan Chen, Director Daniel YM Song, Director Chien Weng, Independent Director Ming Ling Hsueh, Independent Director Kuang Si Shiu, Independent Director Hsing Yi Chow, Independent Director Sheau Wen Yang.

3. Self-assessment results

The performance evaluation of the board of directors, members of the board of directors, the audit committee, the remuneration committee, the sustainable development committee, and the nominating committee for the year 2022 was conducted by means of a self-assessment questionnaire. The nine (9) directors (including four (4) independent directors) have completed their respective written self-assessments and the aggregate results are summarized as follows:

(1) “Self-assessment Questionnaire of the Board of Directors’ Performance Evaluation,” completed by nine (9) directors of the board (including independent directors), covers five (5) major areas with forty five (45) indicators.

Self-assessment results:

1. Level of involvement in the Company’s operations (twelve (12) indicators): positive feedbacks received from directors and independent directors.
2. Raising the decision-making quality of the board (twelve (12) indicators): positive feedbacks received from directors and independent directors.
3. Composition and structure of the board (seven (7) indicators): positive feedbacks received from directors and independent directors.
4. Director selection and continuing education (seven (7) indicators): positive feedbacks received from directors and independent directors.
5. Internal controls (seven (7) indicators): positive feedbacks received from directors and independent directors

Overall assessment results: all nine (9) directors (including independent directors) gave positive feedbacks.

(2) “Self-assessment Questionnaire of the Board Members’ (Self or Peers)

Evaluation,” completed by nine (9) directors of the board (including independent directors), covers six (6) major areas with twenty six (26) indicators.

Self-assessment results:

1. Mastery of the Company’s goals and tasks (three (3) indicators): positive feedbacks received from directors and independent directors.
2. Awareness of a director’s responsibilities (six (6) indicators): Except for “the new directors have understood their duties and responsibilities and are familiar with the operation and environment of the Company,” and one director indicated that he was not a new director, some of the other directors and independent directors gave positive feedbacks.
3. Level of involvement in the Company’s operations (eight (8) indicators): positive feedbacks received from directors and independent directors.
4. Internal relationship management and communication (three (3) indicators): positive feedbacks received from directors and independent directors.
5. Director professionalism and continuing education (three (3) indicators): positive feedbacks received from directors and independent directors.
6. Internal controls (three (3) indicators): positive feedbacks received from directors and independent directors

Overall assessment results: all nine (9) directors (including independent directors) gave positive feedbacks.

(3) “Self-assessment Questionnaire of the Audit Committee’s Performance

Evaluation,” completed by four (4) committee members, covers five (5) major areas with 34 (thirty four) indicators.

Self-assessment results:

1. Level of involvement in the Company’s operations (nine (9) indicators): positive feedbacks received from all committee members.
2. Awareness of the audit committee’s responsibilities (five (5) indicators): positive feedbacks received from all committee members.
3. Raising the decision-making quality of the audit committee (eight (8) indicators): positive feedbacks received from all committee members.
4. Composition of the audit committee and member selection (five (5) indicators): positive feedbacks received from all committee members.
5. Internal controls (seven (7) indicators): positive feedbacks received from all committee members.

Overall assessment results: all four (4) committee members gave positive feedbacks.

General comments:

Independent Director Hsueh said: The Company’s audit committee is operating well in the year 2022 and the members of the committee are professional and fully engaged.

(4) “Self-assessment Questionnaire of the Remuneration Committee’s

Performance Evaluation,” completed by four (4) committee members, covers five (5) major areas with twenty six (26) indicators.

Self-assessment results:

1. Level of involvement in the Company's operations (five (5) indicators): positive feedbacks received from all committee members.
2. Awareness of the remuneration committee's responsibilities (seven (7) indicators): positive feedbacks received from all committee members.
3. Raising the decision-making quality of the remuneration committee (eight (8) indicators): positive feedbacks received from all committee members.
4. Composition of the remuneration committee and member selection (four (4) indicators): positive feedbacks received from committee members.
5. Internal controls (two (2) indicators): positive feedbacks received from all committee members.

Overall assessment results: all four (4) committee members gave positive feedbacks.

(5) "Self-assessment Questionnaire of the Sustainable Development Committee's Performance Evaluation," completed by five (5) committee members, covers five (5) major areas with thirty (30) indicators.

Self-assessment results:

1. Level of involvement in the Company's operations (nine (9) indicators): positive feedbacks received from all committee members.
2. Awareness of the sustainable development committee's responsibilities (three (3) indicators): positive feedbacks received from all committee members.
3. Raising the decision-making quality of the sustainable development committee (ten (10) indicators): positive feedbacks received from all committee members.
4. Composition of the sustainable development committee and member selection (four (4) indicators): positive feedbacks received from all committee members.
5. Internal controls (four (4) indicators): positive feedbacks received from all committee members.

Overall assessment results: all five (5) committee members gave positive feedbacks.

General comments:

Independent Director Hsueh said: The goals set by the Company's sustainable development committee in the year 2022 are clear and have been implemented with excellent results.

(6) "Self-assessment Questionnaire of the Nominating Committee's Performance Evaluation," completed by five (5) committee members, covers six (6) major areas with thirty three (33) indicators.

Self-assessment results:

1. Level of involvement in the Company's operations (six (6) indicators): positive feedbacks received from all committee members.
2. Awareness of the nominating committee's responsibilities (six (6) indicators): positive feedbacks received from all committee members.
3. Nomination review and decision making (six (6) indicators): positive feedbacks received from all committee members.
4. Raising the decision-making quality of the nominating committee (eight (8) indicators): positive feedbacks received from all committee members.
5. Composition of the nominating committee and member selection (three (3) indicators): positive feedbacks received from all committee members.
6. Internal controls (four (4) indicators): positive feedbacks received from all committee members.

Overall assessment results: all five (5) committee members gave positive feedbacks.

4. Conclusion

The self-assessment results from performance evaluation this time show that all directors (including independent directors) gave positive feedbacks on the efficiency and operation of the board of directors and the functional committees. The members of the board and the functional committees based on their assessments responded to questions regarding the “level of involvement in the Company’s operations,” “awareness of a director’s responsibilities,” “quality of meeting decisions,” “education, training, and professional development,” “management of internal control system,” “evaluation and supervision of the risk management mechanism,” “supervision of compliance with laws and codes of practice,” and “fidelity to duties and responsibilities” respectively, and provided positive feedbacks, affirming that the board of directors and the functional committees are in good operation and can fully perform their functions.