

Yuanta Financial Holding Company CSR 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)

Article 1

In order to fulfill its corporate social responsibility ("CSR"), and in adherence with Article 5 of Yuanta Financial Holding Company (hereafter: "the Company")'s "Corporate Social Responsibility Guidelines", the Company establishes these Measures.

Article 2

The Company sets its corporate social responsibility policy as below, and likewise resolves to use said policy to guide the direction of its CSR implementation, and continue promoting and fulfilling its CSR principles:

- (1) Strengthen corporate governance quality.
- (2) Value the rights and interests of employees, cultivate talent, and create a healthy and safe working environment.
- (3) Actively work to save energy and reduce carbon consumption in order to ensure environmental sustainability.
- (4) Adhere to the Code of Ethics and Integrity Management Guidelines.
- (5) Expand social participation and give back to society.
- (6) Protect the rights and interests of clients and win their long-term trust.
- (7) Provide accurate, timely, and transparent Company information to investors

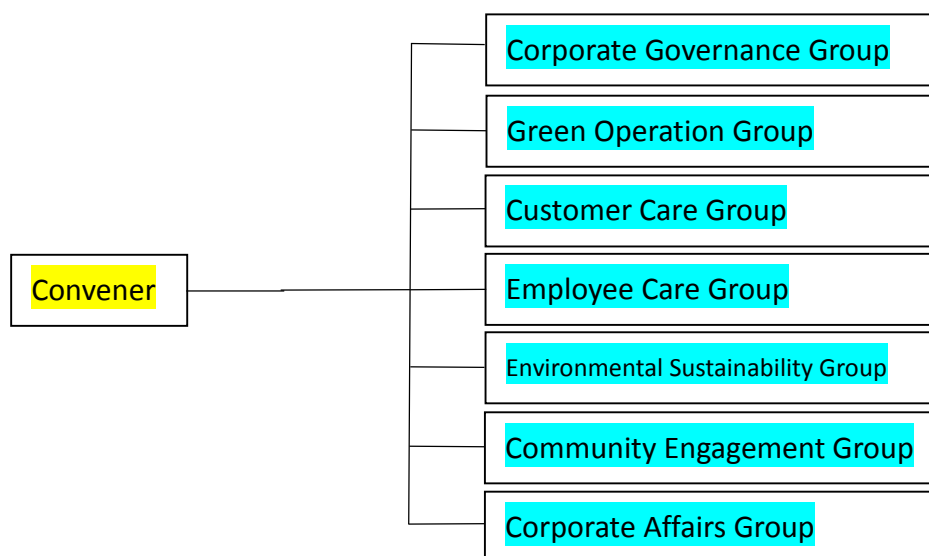
Article 3

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, clients, investors, and other stakeholders, and shall establish appropriate channels and means of communication.

Article 4

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The Company's Center for the Promotion of Corporate Social Responsibility (hereafter: "The Center")'s organizational structure and responsibilities are as below:



1. The Center shall have one designated person to serve as convener, appointed by the Sustainable Operations Committee, responsible for supervising and promoting the implementation of the Company's CSR policies. In the event that the convener is unable to perform his or her duties for any reason whatsoever, he or she shall appoint a person to act in his or her stead.
2. The Center 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"> • Transparency of financial management and information disclosure • Promoting corporate governance • Corruption prevention • Establishing communication methods and channels for investors • Fulfilling the tax liability • Establishing reasonable internal procedures for 	<ul style="list-style-type: none"> • Corporate Planning Dept. • Financial Management Dept. • Internal Auditing Dept. • Risk Management Dept. • Human Resource Dept. • Institutional IR Dept. • Compliance Affairs Dept. • Secretariat Office

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	corporate donations	<ul style="list-style-type: none"> • Administration Dept.
Green Operation Group	<ul style="list-style-type: none"> • Promoting green operations • Developing green credit, green products and responsible investment • Promoting services and products with environmental and social benefits 	<ul style="list-style-type: none"> • Operational Dept. • Digital Development Division • Corporate Banking Division • Each subsidiary
Customer Care Group	<ul style="list-style-type: none"> • Handling customer complaints • Protecting customer information • Maintaining customer rights 	<ul style="list-style-type: none"> • Administration Dept. • Corporate Planning Dept. • Compliance Affairs Dept. • IT Dept. • Each subsidiary
Employee Care Group	<ul style="list-style-type: none"> • Education and training related to corporate social responsibility • Establishing appropriate human resources management practices and procedures • Maintaining employees' rights and providing relevant information • Setting up effective programs of career development and training • Establishing communication methods and channels for employees • Maintain employees' working safety 	<ul style="list-style-type: none"> • Human Resources Dept. • Administration Dept. • Each subsidiary
Environmental Sustainability Group	<ul style="list-style-type: none"> • Establishing environmental management systems (including measures related to water conservation, carbon reduction, and greenhouse gas reduction). • Purchasing office supplies and equipment with low energy consumption and green power • Proper disposal of waste • Reusing and recycling energy-consuming items • Supplier management • Green procurement 	<ul style="list-style-type: none"> • Administration Dept. • Each subsidiary • IT Dept.
Community Engagement Group	<ul style="list-style-type: none"> • Promoting cooperation and exchanges of domestic and foreign academic research institutions and individuals • Providing awards and assistance to relevant research 	<ul style="list-style-type: none"> • Administration Dept. • Each subsidiary • Yuanta Cultural & Educational Foundation

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	<p>and outstanding young students at home and abroad</p> <ul style="list-style-type: none"> • Planning and holding academic seminars, talks, and conferences • Organizing various events oriented toward culture, education, and social welfare • Promoting volunteer service programs 	
Corporate Affairs Group	<ul style="list-style-type: none"> • Formulating and reviewing CSR policies and management systems • Regularly collecting CSR information on the setting of regulations, the effectiveness of their implementation, and the operating status of each functional workgroup • Disclosing CSR information • Preparing CSR reports • Maintaining CSR information on the corporate website • Communicating the CSR information with media 	<ul style="list-style-type: none"> • Administration Dept. • Institutional IR Dept. • IT Dept. • Each subsidiary

3. Each functional workgroup shall have several designated persons to serve as workgroup conveners; they shall be responsible for supervising and coordinating the respective workgroup's duties. The workgroup conveners shall be appointed by the Center's convener.

Article 5

The Center 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 Center's convener 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 Sustainable Operations Committee for approval. Additionally, each functional workgroup shall periodically hold meetings; the groups' conveners 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 Center's convener.

Article 6

The Center shall periodically report to the Sustainable Operations Committee on the development and implementation status of matters relating to the Company's corporate social responsibility system and submit related reports to the board of directors.

Article 7

The main function of each functional workgroup shall be to formulate CSR-related guidelines to be implemented in the Company's practical operations; these shall be submitted to the Sustainable Operations Committee for approval.

Article 8

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