

## 2020 Operation of the Sustainability Committee

The sustainability committee convened 5 (A) meetings in the most recent year (2020), and the attendance of the committee members is as follows:

| Title    | Name            | Number of Actual Attendance (B) | Number of Attendance by proxy | Actual Attendance Rate (%) [B/A] | Remarks |
|----------|-----------------|---------------------------------|-------------------------------|----------------------------------|---------|
| Convener | Tony Shen       | 5                               | 0                             | 100                              |         |
| Member   | Ming Ling Hsueh | 5                               | 0                             | 100                              |         |
| Member   | Yin Hua Yeh     | 5                               | 0                             | 100                              |         |
| Member   | Kuang Si Shiu   | 5                               | 0                             | 100                              |         |
| Member   | Hsing Yi Chow   | 5                               | 0                             | 100                              |         |

Other items which should be recorded:

1. In cases where the board of directors does not adopt or amend the proposal by the sustainability committee, the minutes concerned shall clearly state the meeting date of the board of directors, term, contents of motions, resolutions, and Company's handling of the sustainability committee's opinions: None.
2. For resolutions reached by the sustainability committee, if there were any objections or reservations expressed by committee members which were recorded in the minutes or in written statements, the minutes concerned shall clearly state the meeting date of the sustainability committee, term, contents of motions, opinions of all members and actions taken on these opinions: None.
3. Other important motions are summarized as follows:
  - (1) The 5th meeting of the 8th sustainability committee on February 18, 2020
    - A. The motion for report on the execution results of Center for the Promotion of Integrity Management for the second half of 2019.
    - B. The motion for report on the Company's implementation status of the whistleblowing system for the second half of 2019.
    - C. The motion for report on the Company's implementation status of integrity management in 2019.
    - D. The motion for report on the performance of integrity management of the Company's direct subsidiaries in 2019.
    - E. The motion for report on the Company's performance of corporate social responsibility in 2019.
    - F. The motion for discussion about the change of convener for Center for the Promotion of Integrity Management.
  - (2) The 6th meeting of the 8th sustainability committee on March 23, 2020
 

The motion for report on the execution results of Center for the Promotion of Corporate Social Responsibility for the second half of 2019.
  - (3) The 7th meeting of the 8th sustainability committee on May 19, 2020
    - A. The motion for specific planning report on unethical behavior risk assessment system and related procedures of the Company and its direct subsidiaries.
    - B. The motion for report on the Company's communication of issues of concern with the stakeholders in 2019.
    - C. The motion for report on Yuanta Financial Holding's 2019 Corporate Social Responsibility (CSR) Report.
    - D. The motion for discussion of amending in part the provisions of Corporate Social Responsibility Guidelines of Yuanta Financial Holding Co., Ltd.
  - (4) The 8th meeting of the 8th sustainability committee on August 18, 2020
    - A. The motion for report on the execution results of Center for the Promotion of Integrity Management for the first half of 2020.

- B. The motion for report on the execution results of Center for the Promotion of Integrity Management for the first half of 2020.
  - C. The motion for report on the Company's implementation status of the whistleblowing system for the first half of 2020.
  - D. The motion for discussion of amending in part the provisions of Procedures for Integrity Management and Guidelines for Conduct of Yuanta Financial Holding Co., Ltd.
- (5) The 9th meeting of the 8th sustainability committee on November 20, 2020
- A. The motion for report on the Company's execution of supplier management policies in 2020.
  - B. The motion for discussion of Center for the Promotion of Integrity Management's 2021 work plan.
  - C. The motion for discussion of Center for the Promotion of Corporate Social Responsibility's 2021 work plan.
  - D. The motion for discussion of Center for the Promotion of Corporate Social Responsibility's 2021 to 2025 Sustainable Development Strategy Roadmap for the Organization.