

2020 Operation of the Risk Management Committee

1. The risk management committee is convened by the chairman of Yuanta Financial Holding Company, and is composed of the president and chief risk officer of the Company and its subsidiaries, and other appropriate persons designated by the convener.
2. The risk management committee is held quarterly, and the resolutions of its meetings are reported to the audit committee and board of directors.
3. Five meetings were held in 2020.
4. The average attendance rate in 2020 was 87%.
5. Other items which should be recorded:
 - (1) If the board of directors does not adopt or amend the recommendations of the risk management committee, the minutes concerned shall clearly state the meeting date of the board of directors, term, contents of motions, resolutions of the board of directors and the Company's handling of the opinions of the risk management committee: None.
 - (2) For the resolutions of the risk management committee, if committee members have objections or reservations, and there are records or written statements, the minutes concerned shall clearly state the meeting date of the risk management committee, term, contents of the motions, opinions of all committee members and the handling of the opinions of the committee members: None.
 - (3) Other important motions are as follows:
 - i. The first meeting of the risk management committee in 2020 on February 5
 - A. The motion for the risk management implementation report of the Company and its subsidiaries for the fourth quarter of 2019.
 - B. The motion for the thematic analysis report on risk.
 - ii. The second meeting of the risk management committee in 2020 on May 5
 - A. The motion for the risk management implementation report of the Company and its subsidiaries for the first quarter of 2020.
 - B. The motion for the thematic analysis report on risk.
 - iii. The third meeting of the risk management committee in 2020 on August 4

- A. The motion for the risk management implementation report of the Company and its subsidiaries for the second quarter of 2020.
 - B. The motion for the thematic analysis report on risk.
- iv. The fourth meeting of the risk management committee in 2020 on November 3
 - A. The motion for the risk management implementation report of the Company and its subsidiaries for the third quarter of 2020.
 - B. The motion for the thematic analysis report on risk.
 - C. The motion for discussing the amendment of certain provisions of the “Risk Management Policy of Yuanta Financial Holding Company, Ltd.”
- v. The fifth meeting of the risk management committee in 2020 on December 1
 - A. The motion for the evaluation and management report of the operating risks in 2021.
 - B. The motion for discussing the setting of the Company’s various annual risk quotas for 2021.