

Yuanta Financial Holding Company, Ltd.
2021 Supplier Human Rights Due Diligence Investigation Table

Stakeholders	Risk Assessment Percentage (Note 1)	Issues of Concern	Groups at Risk	Human Rights Risk Percentage (Note 2)	Risk Mitigation Measures	Number of Risk Mitigation Implementation	Risk Mitigation Implementation Percentage (Note 3)	Percentage of Actual Risk Occurrence (Note 4)	Impact Compensation Measures	Risk Compensation Percentage (Note 5)	Results
Suppliers	100%	Human Trafficking	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts, requiring suppliers to follow local regulations and actively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	--	0%	No actual risk occurred in the year 2021.	--	In addition to contract management, we will continue to deepen the way of cooperation with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Forced Labor	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	3%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. Suppliers are prohibited from employing forced, bonded, or contractually bound labor, and all employees who work for suppliers shall do so of their own volition and shall be informed of their right to leave the company freely. Employees shall not be required to submit any government issued documents such as their ID cards, passports, etc. as a condition of employment. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	19	100%	0%	No actual risk occurred in the year 2021.	--	In addition to contract management, we will continue to deepen the way of cooperation with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Child Labor	Children	0.31%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts, requiring suppliers to prohibit the employment of workers under the age of 15. Youths over 15 and under 16 years of age who have obtained the consent of their legal representatives to work during summer and winter vacations must pay attention to the following: the working hours must not exceed 8 hours per day; they must not work between 8:00 p.m. and 6:00 a.m. of the following day or on regular holidays; and they must not engage in dangerous work. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	2	100%	0%	No actual risk occurred in the year 2021.	--	In addition to contract management, we will continue to deepen the way of cooperation with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.

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Suppliers	100%	Freedom of Association	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.47%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. Suppliers are required to respect employees' rights to freedom of association, participation in labor organizations, and election of labor representatives in accordance with the law. The relevant protection shall comply with the requirements of Taiwan's <i>Labor Union Act</i> and other local laws. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	3	100%	0%	No actual risk occurred in the year 2021.	--	In addition to contract management, we will continue to deepen the way of cooperation with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Collective Bargaining Rights	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. The supplier shall respect the right of employees to participate in labor organizations and to elect labor representatives in order to protect the communication between employees and company management, and to ensure that the aforementioned actions are free from retaliation, coercion and harassment by the company. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	--	0%	No actual risk occurred in the year 2021.	--	In addition to contract management, we will continue to deepen the way of cooperation with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Reasonable Pay/Equal Pay for Equal Work	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	1.89%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. Suppliers shall pay the minimum wage in accordance with the laws and regulations, including legal working hours, overtime hours, and legal allowances, and the penalty for employees shall be in accordance with the laws of Taiwan or the local area. Suppliers shall also provide timely information to employees about wage payment standards. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	12	100%	33%	A total of 4 companies have violated regulations during the investigation. Yuanta Group took the initiative to visit one of them, and for the other three, Yuanta Group took the initiative to contact the suppliers to ensure that the violations of regulations were properly improved and handled.	100%	A total of 4 companies have violated regulations during the investigation. Yuanta Group conducted on-site audits on one of the suppliers to understand the actual risks of the supplier, and guided the supplier to improve, and eventually completed the tracking of the improvement of risk remediation measures for all suppliers. In the future, we will continue to negotiate with suppliers to ensure that the human rights of employees are protected.

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Suppliers	100%	Discrimination	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. Yuanta Group ensures that suppliers eliminate all forms of employment discrimination and do not discriminate, harass or treat employees or customers differently based on gender, race, socio-economic status, age, marriage, family status, language, religion, party affiliation, nationality, appearance, facial features, physical or mental disabilities, or other factors. All employees should work together to create an equal employment environment free from discrimination and harassment. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	0	--	0%	No actual risk occurred in the year 2021.	--	In addition to contract management, we will continue to deepen the way of cooperation with suppliers and continue to ask them to improve the management of human rights issues, so that we can build a sustainable supply chain together with them.
Suppliers	100%	Environmental Safety and Health	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.94%	Yuanta Group has established a Supplier Sustainable Procurement Guidance for suppliers to follow, and has included supplier's terms and conditions for sustainable procurement in its contracts. Suppliers should provide employees with a hygienic and clean environment, including restrooms, employee dormitories, storage facilities and rest spaces, and provide water suitable for drinking and hygienic food. If suppliers provide dormitories for employees, they should have emergency exits and maintain good safety and hygiene conditions. Suppliers are required to actively promote the health of their employees by providing them with health screening and physical and mental counseling in compliance with regulations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supply negotiation process to ensure that suppliers have a thorough understanding of various human rights issues and can improve their management practices.	6	100%	17%	A total of 1 company has violated regulations during the investigation. Yuanta Group proactively contacted the supplier to ensure that the violations of laws and regulations by the supplier were properly improved and handled.	100%	A total of 1 company has violated regulations during the investigation. Yuanta Group has completed the follow-up on the improvement of risk remediation measures for this supplier. In the future, we will continue to negotiate with suppliers to ensure that the human rights of employees are protected.

Note 1: Risk Assessment Percentage = Number of Tier 1 Assessed Suppliers / Number of Total Tier 1 Suppliers

Note 2: Human Rights Risk Percentage = Number of Suppliers with Potential Human Rights Risk / Number of Suppliers Assessed

Note 3: Risk Mitigation Implementation Percentage = Number of Suppliers Implementing Risk Mitigation / Number of Suppliers with Potential Human Rights Risk

Note 4: Percentage of Actual Risk Occurrence = Number of Suppliers with Actual Human Rights Risk Occurrence / Number of Suppliers with Potential Human Rights Risk

Note 5: Risk Compensation Percentage = Number of Suppliers Implementing Compensation Measures / Number of Suppliers with Actual Human Rights Risk Occurrence