

Yuanta Financial Holding Company
Information Security Policy

Approved by the Board of Directors on July 25, 2006 (17th meeting of the 2nd board)

Amendments approved on December 26, 2006 (9th meeting of the 3rd board)

Amendments approved on September 26, 2007 (5th meeting of the 4th board)

Amendments approved on December 27, 2011 (22nd meeting of the 5th board)

Chapter 1 (General Provisions)

- Article 1 In order to strengthen the management of information security of the Company and its subsidiaries and to ensure the availability, integrity, and confidentiality of information, this Policy is established on the basis of relevant laws and regulations of the competent authorities and the objectives of information security development.
- Article 2 All employees of the Company and its subsidiaries and the personnel assigned by the vendors who have signed outsourcing contracts shall abide by the regulations of this Policy and maintain the security of information.

Chapter 2 (Information Security Policy Objectives)

- Article 3 The Company's information security objectives are based on safeguarding shareholders' rights and interests and maximizing synergies. With the objectives of "protecting the security of information assets" and "maintaining business continuity to achieve sustainable corporate operations," and on the basis of protecting shareholders' rights and interests, the Company's mission and vision are to be achieved.
- Article 4 In order to ensure that the Company and its subsidiaries maximize the benefits of their collaboration and to fulfill their social responsibilities, the Company shall establish a comprehensive information security management system to protect the information and personal data owned and used by the Company in accordance with the laws and regulations and the principles of risk management.

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Chapter 3 (Information Security Responsibility)

- Article 5 The Company's board of directors is the highest decision-making body for information security management. The Company shall hold an information security management review meeting at least once a year to review the implementation status of the Company's information security business, establish measurement methods for management indicators, and evaluate the measurement results of management indicators.
- Article 6 Senior executives shall actively participate in information security management activities and provide support and commitment to information security.
- Article 7 In order to effectively ensure the security of the Company's information, the Company shall establish information security regulations for each area of information security.
- Article 8 All employees shall follow the Company's information security incident reporting mechanism to report discovered information security incidents or information security vulnerabilities.
- Article 9 The Company shall establish a risk appraisal mechanism for information assets and conduct risk appraisals at least once a year.
- Article 10 The Company shall rehearse, test, and review its business continuity management plan at least once a year.
- Article 11 The Company shall plan and provide employee information security training courses every year in order to enhance employee information security awareness.
- Article 12 All outsourced operations shall sign a confidentiality agreement with the outsourced vendor, and require the vendor to comply with this Policy and related procedures, and shall not use or misuse any of the Company's information assets without authorization.
- Article 13 If any of the Company employees fails to comply with relevant information security regulations or violates information security requirements, he or she shall be dealt with in accordance with relevant regulations.

Chapter 4 (Supplementary Provisions)

- Article 14 This Policy shall be revised as appropriate in response to changes in

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organizational, business, legal, or environmental factors.

Article 15 This Policy shall be implemented after it has been approved by the board of directors of the Company, and the same applies when it is amended.