

## **Yuanta Financial Holding Co., Ltd. and Subsidiaries Personal Data Protection Guidelines**

*Approved and announced by the Chief Executive Officer on May 13, 2025*

In order to ensure the proper management of the collection, processing, and utilization of personal data of the Yuanta Financial Holding Company Limited (hereinafter referred to as the “Company”) and its subsidiaries and to strengthen the security maintenance of personal data, the Company has formulated the “Yuanta Financial Holding Co., Ltd. Personal Data Protection Policy” (hereinafter referred to as the “Personal Data Protection Policy”), “Yuanta Financial Holding Co, Ltd. Personal Data Management Measures” (hereinafter referred to as the “Personal Data Management Measures”) and other regulations to establish and implement a personal data protection system in each of its businesses, in compliance with the *Personal Data Protection Act* and the *Regulations Governing the Security Maintenance of Personal Data Files of Non-Public Service Organizations Designated by the Financial Supervisory Commission* as well as the relevant laws and regulations of the competent authorities. The personal data protection management measures of the Company and its subsidiaries are disclosed as follows:

### **1. The scope of application of the Personal Data Protection Policy includes the Company and its subsidiaries and each business.**

- (1) The Company shall establish a management system for the collection, processing, utilization, and security maintenance of personal data.
- (2) Subsidiaries shall establish a personal data protection management system in accordance with the spirit of the Personal Data Protection Policy that is commensurate with the scale and complexity of their business to ensure that the collection, processing, and utilization of personal data complies with legal requirements.
- (3) Pursuant to the Personal Data Management Measures, the Company shall establish relevant regulations on the implementation and operation of the personal data management system and the principles of security management of personal data. This includes, but is not limited to, compliance by all persons involved in the collection, processing, utilization, transmission, retention, and destruction of personal data.

### **2. The Company shall specify the principle of minimization of personal data, restrictions on the provision of personal data to third parties, and regulations on the retention and destruction of personal data.**

- (1) The collection, processing, and utilization of personal data shall comply with the principle of minimization and shall confirm that only personal data necessary for

Disclaimer: This document is a translation from the original Chinese version. In the case of any discrepancy, the original document shall supersede this version.

the performance of business within the scope of the statement shall be collected, that only the minimum amount of personal data necessary shall be used for processing and utilization, and that personal data unrelated to the scope of the specific purpose or unnecessary shall not be processed.

- (2) The collection of personal data shall have a specific purpose and comply with relevant laws and regulations. In addition to following the relevant provisions of the *Personal Data Protection Act*, the Company undertakes not to collect personal data from third parties that is not provided by the subject.
- (3) The processing and utilization of personal data shall be carried out within the scope of the original notification or the subject's original consent. Any processing or utilization outside the scope of the consent shall obtain the consent of the subject in accordance with the relevant laws and regulations.
- (4) The retention period of personal data shall be set, and if the specific purpose disappears or the retention period expires, the data shall be destroyed in different ways and security control and management measures shall be implemented.

**3. The Company shall specify the access control and protection measures for personal data.**

- (1) Security Measures for Processing, Utilizing, and Transmitting Personal Data: The environment in which personal data documents, files, or media are processed or utilized shall be subject to access control; there shall be an application and approval process for access to personal data documents or files by unauthorized personnel; and the transmission of personal data shall be subject to appropriate encryption measures.
- (2) Security Control and Management Measures for Personal Data: Physical access control and management measures must be in place for personnel to enter and leave the centralized storage or filing cabinets where personal data are kept, and records of access must be kept; legally granted access rights can only be accessed in accordance with lawful and compatible business purposes.
- (3) A virtual local area network (VLAN) system shall be used between the Company and its subsidiaries to manage personal data on a hierarchical basis, and a state-of-the-art firewall system shall be used to prevent intrusion by unauthorized persons.

**4. The Company shall establish a Personal Data Protection Team to effectively implement and integrate matters related to personal data protection.**

- (1) Pursuant to the Personal Data Management Measures, the Company shall establish a Personal Data Protection Team, with the chief executive officer designating a supervisor at or above the level of vice president to serve as the

Disclaimer: This document is a translation from the original Chinese version. In the case of any discrepancy, the original document shall supersede this version.

convener and vice convener, and representatives from each department and office shall be appointed to serve as members of the team, and meetings shall be convened to discuss matters of personal data protection, depending on the business execution situation.

- (2) The Personal Data Protection Team conducts a review of personal data protection management at least once a year, and the results of the review shall be reported to the board of directors along with the annual implementation of the legal compliance system.

**5. The Company shall conduct an annual personal data risk assessment to effectively manage personal data risks in the business.**

- (1) The Company shall formulate control and management measures based on the assessment results, and the assessment results and related analyses shall be reported to the personal data protection team meeting.
- (2) In the event of a personal data security or leakage incident at the Company, in addition to notifying the operational risk event in accordance with the prescribed procedures, those involving information risk shall be handled in accordance with the regulations related to information security risk, and shall provide recommendations for prevention or improvement of the reasons for the occurrence of the personal data security event.
- (3) The Company shall include personal data protection in the internal audit items and regular annual education and training courses to raise employees' awareness of personal data protection.

**6. The Company and its subsidiaries shall establish measures to protect the confidentiality of customers' data and a mechanism for customers to exercise their legal rights with respect to their personal data in order to protect the privacy and rights of the subjects involved.**

- (1) The Company and its subsidiaries have established and disclosed on their official websites the Yuanta Financial Holding Co., Ltd. and Subsidiaries Customer Data Confidentiality Measures, which expressly states that the Company and its subsidiaries will not disclose customers' personal data to a third party, except for the circumstances stipulated in the Confidentiality Measures or with the written consent of the customers.
- (2) The Company and its subsidiaries have announced the Privacy Statement on their official websites, stating that customers may request access to querying, viewing, supplementing, correcting, and deleting personal data in accordance with the laws or the regulations of each company.

**7. These Guidelines shall be published on the Company's website after approval by the chief executive officer, and the same applies when it is amended.**

Disclaimer: This document is a translation from the original Chinese version. In the case of any discrepancy, the original document shall supersede this version.