

**Yuanta Financial Holding Company**  
**Board and Functional Committees Evaluation Procedures**

*Approved by the Board of Directors on December 23, 2015 (40<sup>th</sup> meeting of the 6<sup>th</sup> board)*  
*Amendments approved on October 26, 2016 (6<sup>th</sup> meeting of the 7<sup>th</sup> board)*  
*Amendments approved on October 23, 2019 (7<sup>th</sup> meeting of the 8<sup>th</sup> board)*  
*Amendments approved on July 29, 2020 (18<sup>th</sup> meeting of the 8<sup>th</sup> board)*  
*Amendments approved on August 23, 2021 (32<sup>nd</sup> meeting of the 8<sup>th</sup> board)*  
*Amendments approved on October 26, 2022 (7<sup>th</sup> meeting of the 9<sup>th</sup> board)*

**Article 1 (Establishing Purpose and Basis)**

To implement corporate governance and enhance the Company's board functions, and to set forth performance objectives to improve the operation efficiency of the board of directors, these Procedures are established pursuant to Article 37 of Taiwan Stock Exchange's the *Corporate Governance Best-Practice Principles for TWSE/GTSM Listed Companies, Sample Template of "Board of Directors Performance Evaluation Procedures,"* and Article 53 of the Yuanta Financial Holding Company (hereinafter: "the Company")'s Corporate Governance Guidelines, for compliance.

The Company may create different evaluation methods appropriate to individual units subject to evaluation.

**Article 2 (Compliance)**

The general evaluation cycles, evaluation periods, scope and method of evaluation, the unit conducting evaluations, evaluation procedures and other matters for compliance under the Company's regulations governing the performance evaluation of the board of directors and board-level functional committees shall be subject to these Procedures.

The board-level functional committees of the Company include the Audit Committee, the Remuneration Committee, the Sustainable Development Committee, and the Nominating Committee.

**Article 3 (Evaluation Cycle and Period)**

The Company's board of directors and functional committees shall conduct the performance evaluations of the board of directors and functional committees every year according to the evaluation procedures and the evaluation indicators in Articles 6 and 8.

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The Company's board performance evaluation shall be conducted by an external independent professional institution or a panel of external experts and scholars at least once every three years.

The chairperson of the board of directors shall be authorized to approve the aforementioned external evaluation unit, processing schedule, and evaluation method.

The evaluation results for the board of directors and the functional committees shall be completed before the end of first quarter of the following year.

#### **Article 4 (Scope and Method of Evaluation)**

The Company's board evaluation scope covers the evaluation of the board of directors, functional committees, and individual directors. Methods of evaluations include the internal evaluations of the board of directors and functional committees, self-evaluation by individual board members, peer evaluation, and evaluation by appointed external professional institutions, experts, or other appropriate methods.

#### **Article 5 (Executive Unit of Evaluation)**

The Nominating Committee, which is the executive unit of the board of directors and the functional committees of the Company for performance evaluation, shall have an adequate understanding of the operation of the unit subject to evaluation and shall play a fair, impartial and independent role.

#### **Article 6 (Evaluation Procedures)**

The procedures for the performance evaluation of the Company's board of directors and functional committees are as follows:

- (1) Determine the units to be subject to evaluation, the period, and the scope of evaluation in the current year.
- (2) Determine the method of evaluation.
- (3) Select the units appropriate to conduct the evaluations.
- (4) The units executing evaluations will collect information about the activities of the board of directors and functional committees and distribute self-evaluation questionnaires such as the Board of Directors Performance Evaluation Self-Evaluation Questionnaire in Annex 1, the Board Member Performance Evaluation Self-Evaluation Questionnaire in Annex 2, the Audit Committee Performance Evaluation Self-Evaluation Questionnaire in Annex 3, the Remuneration Committee Performance Evaluation Self-Evaluation

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Questionnaire in Annex 4, Sustainable Development Committee Performance Evaluation Self-Evaluation Questionnaire in Annex 5, and Nominating Committee Performance Evaluation Self-Evaluation Questionnaire in Annex 6 to be completed. The units responsible for evaluation will then collect all information, give scores based on the evaluation indicators in Article 8, record the evaluation results in a report, and submit the report to the Nominating Committee and board of directors for discussion.

#### **Article 7 (External Organizations and Experts)**

When appointing an external evaluation institution or panel of external experts and scholars to conduct evaluations of board performance, the Company shall comply with the following guidelines:

- (1) The external evaluation institution or panel of external experts and scholars shall be professional and independent.
- (2) The external evaluation institution shall be an institution or management consulting firm mainly engaging in the provision of services for educational and training programs for board of directors and improvement of corporate governance of enterprises.
- (3) The panel of external experts and scholars shall appoint at least three experts or scholars specialized in the fields of board of directors or corporate governance to conduct evaluations of board performance of the Company and prepare external evaluation analysis reports.

#### **Article 8 (Evaluation Indicators and Scoring Criteria)**

The Company shall take into consideration its condition and needs when establishing the criteria for evaluating the performance of the board of directors, which shall cover, at a minimum, the following five aspects:

- (1) Participation in the operation of the Company.
- (2) Improvement of the quality of the board of directors' decision making.
- (3) Composition and structure of the board of directors.
- (4) Election and continuing education of the directors.
- (5) Internal control.

The criteria for evaluating the performance of the board members (on themselves or peers), shall cover, at a minimum, the following six aspects:

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- (1) Alignment of the goals and missions of the Company.
- (2) Awareness of the duties of a director.
- (3) Participation in the operation of the Company.
- (4) Management of internal relationship and communication.
- (5) The director's professionalism and continuing education.
- (6) Internal control.

The criteria for evaluating the performance of functional committees shall cover, at a minimum, the following five aspects:

- (1) Participation in the operation of the Company.
- (2) Awareness of the duties of the functional committees.
- (3) Improvement of quality of decisions made by the functional committees.
- (4) Makeup of the functional committees and election of their members.
- (5) Internal control.

The indicators of the performance evaluation of the board of directors and functional committees shall be determined based on the operation and needs of the Company and suitable and appropriate for evaluations by the Company, subject to regular reviews and constructive comments of the Remuneration Committee. Scoring criteria may be modified and adjusted based on the Company's needs. The weighted scoring method may be adopted based on the aspects of evaluation.

#### **Article 9 (Use of Evaluation Results)**

The results of the performance evaluation of the Company's board of directors shall be provided to the Nominating Committee for reference in the selection or nomination of director candidates; and the results of the performance evaluation of individual directors shall be provided to the Remuneration Committee for reference in determining their individual remuneration.

#### **Article 10 (Disclosure of Annual Report Information)**

The Company shall disclose in the annual report the implementation of the performance evaluation of the board of directors and the functional committees for the current year, including the evaluation cycle, evaluation period, evaluation scope, evaluation method, and evaluation content.

If the Company has an external organization or panel of external experts execute the performance evaluation of the board of directors, the Company shall disclose in the

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annual report the external evaluation organization, panel of external experts, and its team members and professional description, as well as the statement of independence of the external evaluation organization or panel of external experts, and the evaluation method, criteria, and suggestions for future improvement.

**Article 11 (Disclosure Method)**

The performance evaluation procedures established by the Company shall be fully disclosed on the Market Observation Post System (MOPS) and the Company's website at all times, to be made available for consultation.

**Article 12 (Implementation)**

These Procedures shall take effect after having been discussed and approved by the board of directors. Subsequent amendments thereto shall be effected in the same manner.

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## Yuanta Financial Holding Company

(Year) Board of Directors Performance Evaluation Self-Evaluation Questionnaire

Name of Evaluator: \_\_\_\_\_ (signature)

- For each indicator, where the grading in the evaluation result field does not fully express the evaluation of that indicator, additional explanation may be given by using the remarks column.
- Evaluation results are to be expressed on a five-point grading scale of 1 to 5 and the grading levels are defined as follows: 1—Very poor (Strongly disagree), 2—Below average (Disagree), 3—Average (Neutral), 4—Very Good (Agree), 5—Excellent (Strongly agree).

Evaluation Items	Evaluation Results	Remarks
<b>A. Level of involvement in the Company's operations</b>		
1. Average actual attendance (excluding attendance by proxy) of each board directors at board meetings (1 for attendance rate less than 70% , 2 for 70% and above but less than 80%, 3 for 80% and above but less than 85%, 4 for 85% and above but less than 90%, 5 for 90% and above)	1 2 3 4 5	
2. Attendance of board directors at stockholders' meeting. (1 for attendance rate of 30% , 2 for attendance rate of 40%, 3 for attendance rate of 50%, 4 for attendance rate of 60%, 5 for attendance rate of 70% )	1 2 3 4 5	
3. Board directors have read and understand meeting information before the board meeting.	1 2 3 4 5	
4. The board of directors has good communication with the management team.	1 2 3 4 5	
5. The board of directors has duly supervised the Company in compliance to laws and regulations and internal guidelines.	1 2 3 4 5	
6. All board directors of the Company have contributed effectively in the board meetings.	1 2 3 4 5	
7. The board of directors continues to promote and establish corporate governance related guidelines, support Company's participation in company assessment, and protect stockholder interest, enhancing corporate governance.	1 2 3 4 5	
8. The board members have adequate understanding of the Company, its management team and the industry of the Company.	1 2 3 4 5	
9. Directors can evaluate and oversee various existing and potential risks in the Company as well as engage in discussions on the execution and follow-up situation of internal control system.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
10. Directors have engaged in adequate communication and discussion with certified public accountants. (In case of where there is new accounting bulletin in place or significant adjustments in financial report, a meeting needs to be held for discussion. Every year, CPAs are invited to attend as non-voting participant to at least 2 board meetings for discussions on annual report and semi-annual report to fully understand the Company's financial situation.)	1 2 3 4 5	
11. The board of directors has periodically and thoroughly reviewed management performance of the management team and timely awarded reward and disciplinary penalty.	1 2 3 4 5	
12. The board of directors can adequately and promptly access performance report on company operations and can quickly have a good grasp of various unfavorable trends.	1 2 3 4 5	
<b>B. Improving the quality of decisions made by the board of directors</b>		
13. The board of directors has set in place the Company's core values and attitudes (concepts including discipline, mission, honor, and vision) as well as clearly setting the strategic goals of the Company.	1 2 3 4 5	
14. The Company has properly discussed and formulated strategic plans and procedures for annual budget.	1 2 3 4 5	
15. Appropriate frequency of board meetings (for every year, meetings are convened 1: at least two times, 2: four times, 3: six times, 4: eight times, or 5: ten times)	1 2 3 4 5	
16. The information the Company provides to the board of directors is complete, timely and of fixed quality, which allows the board of directors to perform its responsibilities and duties.	1 2 3 4 5	
17. The meeting minutes of the board of directors meeting properly record the content of discussion and comments made by and concerns raised by an individual or as a collective.	1 2 3 4 5	
18. In scheduling the board meeting, each item on the agenda is given appropriate discussion time for directors to adequately discuss the issue.	1 2 3 4 5	
19. Appropriate matters for discussion are submitted for board of directors resolution	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
20. Of the agenda items of board of directors meeting, all matters required by law to be submitted to board for discussion and resolution are discussed and put to a vote with all independent directors (including by proxy) attending the board meeting.	1 2 3 4 5	
21. The board of directors meeting provides a good communication channel, where matters can be properly communicated with independent directors.	1 2 3 4 5	
22. For the various resolutions made at the board of directors meetings, subsequent actions are properly executed and tracked.	1 2 3 4 5	
23. In instances where a director is required to enter recusal due to conflict of interest on related matters, the directors have all recused themselves or have been requested to recuse by the chairperson, and the recusal is recorded in the meeting minutes.	1 2 3 4 5	
24. The board directors, board members, and different functional committees have periodically and effectively conducted performance evaluations.	1 2 3 4 5	
<b>C. The composition and structure of the board of directors</b>		
25. The board of directors has in place adequate seats of independent director, and the number complies with relevant regulations.	1 2 3 4 5	
26. The independent directors of the Company possess the necessary professional knowledge and have maintained their independence during their duration in the appointed position.	1 2 3 4 5	
27. The board of directors has set in place appropriate and adequate functional committees.	1 2 3 4 5	
28. The existing functional committees has the ability to perform their duties and responsibilities assigned by the board of directors.	1 2 3 4 5	
29. The Company formulates and implements board member diversification policy based on the requirements as needed for company development.	1 2 3 4 5	
30. Among the directors of the Company, there are no more than two persons who have a spousal relationship or a relationship within the second degree of kinship with any other director, so that board members are able to function in an objective and independent manner.	1 2 3 4 5	



Evaluation Items	Evaluation Results	Remarks
31. The board of directors is composed with appropriate members and possesses the professional background needed in the decision making process.	1 2 3 4 5	
<b>D. Director selection and continuing education</b>		
32. The Company has a rigorous and transparent process for the election of directors and succession planning.	1 2 3 4 5	
33. The selection process of board member is carried out based on weighting standards of board member diversification policy.	1 2 3 4 5	
34. The selection process of board member includes consideration of performance evaluation results of individual board directors.	1 2 3 4 5	
35. The selection process of board member, based on the Company's actual needs, takes full consideration of board members' skill sets, knowledge and area of experience. For independent directors who have served a consecutive three terms as board directors, consideration shall be given to see if their independence is undermined.	1 2 3 4 5	
36. The board of directors provides adequate explanation to onboard a newly-elected director for newly-elected directors to understand their duties and responsibilities and be familiar with company operation and surrounding.	1 2 3 4 5	
37. Board directors have participated in diverse range of courses outside of their area of expertise and engaged in adequate hours of training for continuing education every year.	1 2 3 4 5	
38. The Company maintains an official record of director training time and ongoing development plan to enhance their knowledge and skill sets.	1 2 3 4 5	
<b>E. Internal controls</b>		
39. The board of directors has included risk assessment and control of management level into corporate decision making process.	1 2 3 4 5	
40. The board of directors can effectively evaluate and supervise each internal control system and effectiveness of risk management.	1 2 3 4 5	
41. The internal control system approved by the board of directors includes five main elements/ principles and covers control process of all operational activities and transaction cycle.	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
42. The Company's head of audit/auditor-general attends the board of directors' meeting and presents the internal audit report, and delivers or notifies the audit report (including follow-up report) to the audit committee and independent directors as required.	1 2 3 4 5	
43. The appointment, removal, appraisal, and remuneration of internal auditing personnel are to be reported to the board of directors or submitted to chairperson of the board in a written report by auditing officer for approval.	1 2 3 4 5	
44. In the event CPA firm provides non-audit services, appropriate arrangements have been made to ensure the CPA's objectivity and independence.	1 2 3 4 5	
45. The board directors understand and supervise over the Company's accounting system, financial status and financial report, audit report and their subsequent situations.	1 2 3 4 5	
<b>F. Overall assessment</b>		
46. Overall operation of the board of directors	1 2 3 4 5	
<b>General comments</b> (Other supplementary notes: Suggestions for improving the operation of the board of directors, etc.)		

## Yuanta Financial Holding Company

      (Year)       Board Member Performance Evaluation Self-Evaluation Questionnaire

Name of Evaluator: \_\_\_\_\_ (signature)

- For each indicator, where the grading in the evaluation result field does not fully express the evaluation of that indicator, additional explanation may be given by using the remarks column.
- Evaluation results are to be expressed on a five-point grading scale of 1 to 5 and the grading levels are defined as follows: 1—Very poor (Strongly disagree), 2—Below average (Disagree), 3—Average (Neutral), 4—Very Good (Agree), 5—Excellent (Strongly agree).

Evaluation Items	Evaluation Results	Remarks
<b>A. Mastery of Company goals and tasks</b>		
1. Directors truly understand the Company's core values and attitudes (concepts including discipline, mission, honor, and vision).	1 2 3 4 5	
2. Directors have a clear understanding of all strategic goals of the Company set by the board of directors.	1 2 3 4 5	
3. Directors clearly understand the nature and risks associated with the industry of the Company.	1 2 3 4 5	
<b>B. Director responsibilities awareness</b>		
4. Directors can faithfully perform their tasks and carry out the duty of care of a good administrator, as well as exercise their powers with high level of self-discipline and prudence.	1 2 3 4 5	
5. Directors fully understand the statutory obligations of a director.	1 2 3 4 5	
6. Newly-elected directors understand their duties and responsibilities and are familiar with the Company's operation and surrounding.	1 2 3 4 5	
7. Directors have complied with the obligation of confidentiality in handling Company's inside information obtained in the course of performing their job responsibilities.	1 2 3 4 5	
8. In the event there is a change in the information of stakeholders as stipulated in Articles 44 and 45 of Financial Holding Company Act, the director timely provides related information for filing.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
9. In incidences of where a director has a personal stake in the matter on board meeting agenda to the extent that there is a likelihood that the interests of the Company may be impaired, the director has recused himself (not take part in the discussion and voting of the matter, as well as not exercising the voting rights as proxy on behalf of another director).	1 2 3 4 5	
<b>C. Level of involvement in the Company's operations</b>		
10. The director personal attendance (excluding attendance by proxy) (1 for attendance rate less than 70% , 2 for 70% and above but less than 80%, 3 for 80% and above but less than 85%, 4 for 85% and above but less than 90%, 5 for 90% and above)	1 2 3 4 5	
11. The director has read and understand meeting information before the board meeting, so that he can fully perform his duties at the board of directors meeting.	1 2 3 4 5	
12. The director puts in adequate amount of time into board of directors related affairs.	1 2 3 4 5	
13. The director has contributed effectively in board meetings such as making specific recommendation to the agenda item.	1 2 3 4 5	
14. After the meeting minutes are received, the director carefully reviews the content of the minutes and acknowledges that the content of discussion and comments made by and concerns raised by him individually or as a collective are properly recorded.	1 2 3 4 5	
15. The director has a clear understanding of the Company, its management team and the industry of the Company to make professional and proper judgements.	1 2 3 4 5	
16. The director has truly evaluated and supervised various existing and potential risks in the Company as well as engage in discussions on the execution and follow-up situation of internal control system.	1 2 3 4 5	
17. The number of board director or supervisor positions in other companies concurrently held by the director is in compliance to legal regulations.	1 2 3 4 5	
<b>D. Internal relationship management and communication</b>		
18. The director has good interaction with the management team	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
19. The director has good communication with other board members.	1 2 3 4 5	
20. The director has engaged in adequate communication and discussion with certified public accountants	1 2 3 4 5	
<b>E. Director professionalism and continuing education</b>		
21. The director is equipped the professionalism needed for decision-making in the board of directors meetings.	1 2 3 4 5	
22. Board directors have participated in diverse range of courses outside of their area of expertise and engaged in adequate hours of training for continuing education every year.	1 2 3 4 5	
23. Directors are continuing to enhance their professional knowledge and skill sets.	1 2 3 4 5	
<b>F. Internal controls</b>		
24. In instances where the director is required to enter recusal due to conflict of interest on related matters, the director has recused himself.	1 2 3 4 5	
25. The director has effectively evaluated and supervised each internal control system and effectiveness of risk management.	1 2 3 4 5	
26. The director is able to understand and supervise over the Company's accounting system, financial status and financial report, audit report and their subsequent situations.	1 2 3 4 5	
<b>G. Overall assessment</b>		
27. Overall performance of the board member	1 2 3 4 5	
<p><b>General comments</b>            (Other supplementary notes:            Expectations or recommendations for directors (self or peers))</p>		

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## Yuanta Financial Holding Company

      (Year)       Audit Committee Performance Evaluation Self-Evaluation Questionnaire

Name of Evaluator: \_\_\_\_\_ (signature)

- For each indicator, where the grading in the evaluation result field does not fully express the evaluation of that indicator, additional explanation may be given by using the remarks column.
- Evaluation results are to be expressed on a five-point grading scale of 1 to 5 and the grading levels are defined as follows: 1—Very poor (Strongly disagree), 2—Below average (Disagree), 3—Average (Neutral), 4—Very Good (Agree), 5—Excellent (Strongly agree).

Evaluation Items	Evaluation Results	Remarks
<b>A. Level of involvement in the Company's operations</b>		
1. Average actual attendance (excluding attendance by proxy) of each committee member at audit committee meeting (1 for attendance rate less than 70% , 2 for 70% and above but less than 80%, 3 for 80% and above but less than 85%, 4 for 85% and above but less than 90%, 5 for 90% and above)	1 2 3 4 5	
2. Committee members have read and understand meeting information before the committee meeting.	1 2 3 4 5	
3. The audit committee has good communication with the management team.	1 2 3 4 5	
4. Committee members all have contributed effectively in the audit committee meetings.	1 2 3 4 5	
5. The audit committee convenes periodically, and at least one meeting is held every quarter.	1 2 3 4 5	
6. The audit committee members have a clear understanding of the Company, its management team and the industry of the Company.	1 2 3 4 5	
7. The audit committee can adequately and promptly access performance report on company operations.	1 2 3 4 5	
8. The audit committee can discuss and make decisions on the appointment and removal of financial, accounting, or internal audit officers.	1 2 3 4 5	
9. The audit committee can supervise and manage material operational matters of the Company.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
<b>B. Awareness of the responsibilities of the audit committee</b>		
10. The scope of powers of the audit committee is clearly defined and appropriate.	1 2 3 4 5	
11. The audit committee can truly evaluate and supervise various existing and potential risks in the Company.	1 2 3 4 5	
12. The audit committee timely proposes professional and objective recommendations to be discussed at the board of directors, serving as a reference for board of directors in making decisions.	1 2 3 4 5	
13. The audit committee has engaged in adequate communication and discussion with certified public accountants (In case of where there is new accounting bulletin in place or significant adjustments in financial report, a meeting needs to be held for discussion.)	1 2 3 4 5	
14. The audit committee periodically reviews the independence and the qualification of the appointed certified public accountants.	1 2 3 4 5	
<b>C. Improving the quality of decisions made by the audit committee</b>		
15. Except for emergency circumstances, in calling an audit committee meeting, the meeting notice clearly states the reasons for convening the meeting and is given to each committee member seven (7) days in advance of the meeting.	1 2 3 4 5	
16. The information the Company provides to the audit committee is complete, timely and of fixed quality, which allows the audit committee to perform its responsibilities and duties. When necessary, the managers of relevant departments, internal audit officers, certified public accountants, legal consultants, or other personnel have been requested to attend the meeting as non-voting participants.	1 2 3 4 5	
17. The audit committee has adequate time for discussion.	1 2 3 4 5	
18. Appropriate matters for discussion are submitted for audit committee resolution	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
19. In instances where a member is required to enter recusal due to conflict of interest on related matters, the member has recused himself, and the recusal is recorded in the meeting minutes. (When a member of the audit committee is a stakeholder with respect to a given agenda item, the member shall explain the material aspects of the stake, and if there is a likelihood that the interests of the Company may be impaired, the member shall not attend the discussion and voting and shall not exercise the voting right for and on behalf of another member.)	1 2 3 4 5	
20. The minutes of the audit committee meetings appropriately record the content of discussions, and where appropriate, individual or collective reservations or concerns.	1 2 3 4 5	
21. For the various resolutions made at the audit committee meetings, subsequent actions are properly executed and tracked.	1 2 3 4 5	
22. The audit committee has periodically and effectively conducted performance evaluations.	1 2 3 4 5	
<b>D. Composition and selection of members of the audit committee</b>		
23. The audit committee shall be composed of the entire number of independent directors and shall not be fewer than three persons in number, one of whom shall be the convener, and at least one of whom shall have accounting or financial expertise.	1 2 3 4 5	
24. The audit committee is composed with appropriate members and possesses the professional background needed in the decision making process.	1 2 3 4 5	
25. The committee members all fulfil the qualification of independent directors of public companies and comply with relevant rules and regulations.	1 2 3 4 5	
26. The audit committee members have maintained their independence during their duration in office.	1 2 3 4 5	
27. The selection process of audit committee members is based on the Company's actual needs and fully considers the skill sets, knowledge, and area of experience of board director members as well as include the evaluation results of audit committee performance evaluation in the consideration.	1 2 3 4 5	



Evaluation Items	Evaluation Results	Remarks
<b>E. Internal controls</b>		
28. The audit committee periodically receives risk management reports from unit dedicated to be responsible for risk management (including the appropriate measures taken immediately in the event of material risks which impact financial and business operation).	1 2 3 4 5	
29. The formulation of or the revisions to internal control system and the appraisal of its effectiveness have all been agreed by the audit committee and submitted to audit committee for resolution.	1 2 3 4 5	
30. The audit committee can effectively evaluate and supervise each internal control system and effectiveness of risk management.	1 2 3 4 5	
31. The auditing officers of the Company have participated in audit committee meeting as non-voting participant and submits report on internal audit affairs as well as deliver the audit report (including follow-up report) or notify or audit committee in accordance to regulations.	1 2 3 4 5	
32. The internal control system approved by the audit committee includes five main elements/ principles and covers control process of all operational activities and transaction cycle.	1 2 3 4 5	
33. The audit committee understands and supervises over the Company's accounting system, financial status and financial report, audit report and their subsequent situations.	1 2 3 4 5	
34. The audit committee places great importance on the compliance of various laws and regulations and company guidelines.	1 2 3 4 5	
<b>F. Overall assessment</b>		
35. Overall operation of the audit committee	1 2 3 4 5	
<b>General comments</b> (Other supplementary notes: Suggestions for improving the operation of the audit committee, etc.)		

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## Yuanta Financial Holding Company

(Year) Remuneration Committee Performance Evaluation Self-Evaluation

## Questionnaire

Name of Evaluator: \_\_\_\_\_ (signature)

- For each indicator, where the grading in the evaluation result field does not fully express the evaluation of that indicator, additional explanation may be given by using the remarks column.
- Evaluation results are to be expressed on a five-point grading scale of 1 to 5 and the grading levels are defined as follows: 1—Very poor (Strongly disagree), 2—Below average (Disagree), 3—Average (Neutral), 4—Very Good (Agree), 5—Excellent (Strongly agree).

Evaluation Items	Evaluation Results	Remarks
<b>A. Level of involvement in the Company's operations</b>		
1. Average actual attendance (excluding attendance by proxy) of each committee member at remuneration committee meeting (1 for attendance rate less than 70% , 2 for 70% and above but less than 80%, 3 for 80% and above but less than 85%, 4 for 85% and above but less than 90%, 5 for 90% and above)	1 2 3 4 5	
2. Committee members have read and understand meeting information before the committee meeting.	1 2 3 4 5	
3. The remuneration committee has good communication with the management team.	1 2 3 4 5	
4. Committee members all have contributed effectively in the remuneration committee meetings.	1 2 3 4 5	
5. The remuneration committee convenes regularly, and at least two meetings are held every year.	1 2 3 4 5	
<b>B. Awareness of the responsibilities of the remuneration committee</b>		
6. The scope of powers of the remuneration committee is clearly defined and appropriate.	1 2 3 4 5	
7. The remuneration committee can truly evaluate and supervise various existing and potential risks in the Company.	1 2 3 4 5	
8. The remuneration committee timely proposes professional and objective recommendations to be discussed at the board of directors, serving as a reference for board of directors in making decisions.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
<p>9. The remuneration committee has formulated and periodically reviews the performance evaluation of board directors, supervisors, and managerial officers and remuneration policy, system, standards and structure. (The remuneration decided for board directors, supervisors and managerial officers shall not deviate significantly from the financial performance.)</p>	<p>1 2 3 4 5</p>	
<p>10. The remuneration committee conducts periodic reviews of the evaluation criteria for board directors performance evaluation, which are submitted for the approval by the board of directors and sets the board directors' remuneration based on the results of the performance evaluation.</p>	<p>1 2 3 4 5</p>	
<p>11. When setting and managing performance evaluation and remuneration, the remuneration committee is able to take into account the general pay levels in the industry with additional consideration to evaluate its reasonableness in correlation with the individual's performance, the Company's operational performance and future risk exposure.</p>	<p>1 2 3 4 5</p>	
<p>12. The remuneration committee members can understand the core goals of the business affairs of the committee and are familiar with the Company's bonus plan, when reviewing the remuneration decisions.</p>	<p>1 2 3 4 5</p>	
<p><b>C. Improving the quality of decisions made by the remuneration committee</b></p>		
<p>13. Except for emergency circumstances, in calling a remuneration committee meeting, the meeting notice clearly states the reasons for convening the meeting and is given to each committee member seven (7) days in advance of the meeting.</p>	<p>1 2 3 4 5</p>	
<p>14. The information the Company provides to the remuneration committee is complete, timely and of fixed quality, which allows the remuneration committee to perform its responsibilities and duties. When necessary, the managers of relevant departments, internal audit officers, certified public accountants, legal consultants, or other personnel have been requested to attend the meeting as non-voting participants.</p>	<p>1 2 3 4 5</p>	

Evaluation Items	Evaluation Results	Remarks
15. The remuneration committee has adequate time for discussion.	1 2 3 4 5	
16. Appropriate matters for discussion are submitted for remuneration committee resolution	1 2 3 4 5	
17. In instances where a member is required to enter recusal due to conflict of interest on related matters, the member has recused himself, and the recusal is recorded in the meeting minutes. (When a member of the remuneration committee is a stakeholder with respect to a given agenda item, the member shall explain the material aspects of the stake, and if there is a likelihood that the interests of the Company may be impaired, the member shall not attend the discussion and voting and shall not exercise the voting right for and on behalf of another member.)	1 2 3 4 5	
18. The minutes of the remuneration committee meetings appropriately record the content of discussions, and where appropriate, individual or collective reservations or concerns.	1 2 3 4 5	
19. For the various resolutions made at the remuneration committee meetings, subsequent actions are properly executed and tracked.	1 2 3 4 5	
20. The remuneration committee has periodically and effectively conducted performance evaluations.	1 2 3 4 5	
<b>D. Composition and selection of members of the remuneration committee</b>		
21. The remuneration committee shall not be composed by fewer than three persons in number, one of whom shall be the convener, and shall include at least one independent director member.	1 2 3 4 5	
22. The audit committee is composed with appropriate members and possesses the professional background needed in the decision making process.	1 2 3 4 5	
23. The remuneration committee members have maintained their independence during their duration in office.	1 2 3 4 5	
24. The selection process of remuneration committee members is based on the Company's actual needs and fully considers the skill sets, knowledge, and area of experience of board director members as well as include the evaluation results of remuneration committee performance evaluation in the consideration.	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
<b>E. Internal controls</b>		
25. The remuneration committee places great importance on the compliance of various laws and regulations and company guidelines.	1 2 3 4 5	
26. The remuneration committee members have complied with the obligation of confidentiality in handling Company's inside information obtained in the course of performing their job responsibilities.	1 2 3 4 5	
<b>F. Overall assessment</b>		
27. Overall operation of the remuneration committee	1 2 3 4 5	
<b>General comments</b> (Other supplementary notes: Suggestions for improving the operation of the remuneration committee, etc.)		

## Yuanta Financial Holding Company

**(Year) Sustainable Development Committee Performance Evaluation Self-Evaluation  
Questionnaire**

Name of Evaluator: \_\_\_\_\_ (signature)

- For each indicator, where the grading in the evaluation result field does not fully express the evaluation of that indicator, additional explanation may be given by using the remarks column.
- Evaluation results are to be expressed on a five-point grading scale of 1 to 5 and the grading levels are defined as follows: 1—Very poor (Strongly disagree), 2—Below average (Disagree), 3—Average (Neutral), 4—Very Good (Agree), 5—Excellent (Strongly agree).

Evaluation Items	Evaluation Results	Remarks
<b>A. Level of involvement in the Company's operations</b>		
1. Average actual attendance (excluding attendance by proxy) of each committee member at sustainable development committee meeting (1 for attendance rate less than 70% , 2 for 70% and above but less than 80%, 3 for 80% and above but less than 85%, 4 for 85% and above but less than 90%, 5 for 90% and above)	1 2 3 4 5	
2. Committee members have read and understand meeting information before the committee meeting.	1 2 3 4 5	
3. The interaction between the sustainable development committee and the management team is good.	1 2 3 4 5	
4. Each member contributes effectively to the sustainable development committee.	1 2 3 4 5	
5. The sustainable development committee has regular meetings and meets at least twice a year.	1 2 3 4 5	
6. The sustainable development committee has an ongoing commitment to promote integrity in management and to achieve the goal of sustainable corporate development in order to enhance corporate governance.	1 2 3 4 5	
7. Members of the sustainable development committee have a clear understanding of the Company, its management team, and the industry in which it operates	1 2 3 4 5	
8. Members of the sustainable development committee have full and timely access to the Company's plans and status of implementation for integrity management and sustainable corporate development.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
9. The sustainable development committee effectively reviews and oversees the integrity of the Company's operations and corporate sustainable development.	1 2 3 4 5	
<b>B. Awareness of the responsibilities of the sustainable development committee</b>		
10. The terms of reference of the sustainable development committee are clear and appropriate.	1 2 3 4 5	
11. The sustainable development committee is able to assess and monitor the existing or potential risks of the Company.	1 2 3 4 5	
12. The sustainable development committee is able to make timely, professional, and objective recommendations to the board of directors for its decision making.	1 2 3 4 5	
<b>C. Improving the quality of decisions made by the sustainable development committee</b>		
13. Except for emergencies, the sustainable development committee is convened with seven (7) days' notice of the reason for the convening.	1 2 3 4 5	
14. The information provided by the Company to the sustainable development committee is complete, timely, and of a certain quality to enable the sustainable development committee to perform its duties smoothly. Relevant managers, internal auditors, accountants, legal advisors or other personnel are invited to attend the meeting as non-voting participants when necessary.	1 2 3 4 5	
15. The sustainable development committee assists in integrating the values of integrity management and sustainable corporate development into the Company's business strategy in a good way.	1 2 3 4 5	
16. The Integrity Management Office and the Corporate Sustainability Office report regularly to the sustainable development committee on work plans and results of implementation.	1 2 3 4 5	
17. The sustainable development committee has sufficient time for discussion.	1 2 3 4 5	
18. The discussion proposal submitted by the Company to the resolution of the sustainable development committee is appropriate.	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
19. In the case of a motion requiring recusal of a member's interest, the member has been recused and the minutes of the meeting have been recorded. (When a member of the sustainable development committee is involved in a proposal in which he or she has an interest, he or she shall explain the material contents of his or her interest and recuse himself or herself from the discussion and voting if it is harmful to the Company's interests, and he or she shall not exercise his or her voting rights on behalf of other members.)	1 2 3 4 5	
20. The minutes of the sustainable development committee appropriately record the discussions, and where appropriate, individual or collective reservations or concerns.	1 2 3 4 5	
21. For the various resolutions made at the sustainable development committee meetings, follow-up actions are properly executed and tracked.	1 2 3 4 5	
22. The sustainable development committee has regular and efficient performance evaluation.	1 2 3 4 5	
<b>D. Composition and selection of members of the sustainable development committee</b>		
23. The members of the sustainable development committee shall consist of at least three directors of the board of the Company, half of whom shall be independent directors, and all members shall elect one person from among themselves as the convener and chairperson of the meeting.	1 2 3 4 5	
24. Members of the sustainable development committee are appropriately composed and have the necessary expertise for the decision-making process.	1 2 3 4 5	
25. Members of the sustainable development committee maintain their independence during their term of office.	1 2 3 4 5	
26. The selection of the members of the sustainable development committee is based on the actual needs of the Company, taking into full consideration the skills, knowledge, and experience of the members of the board or directors, and taking into account the results of the evaluation of the performance of the sustainable development committee.	1 2 3 4 5	

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Evaluation Items	Evaluation Results	Remarks
<b>E. Internal controls</b>		
27. The sustainable development committee effectively oversees and implements the Company's policies on integrity management and sustainable corporate development, and evaluates their effectiveness.	1 2 3 4 5	
28. The persons in charge of the Integrity Management Office and the Corporate Sustainability Office do manage and supervise office related matters.	1 2 3 4 5	
29. The persons in charge of the Integrity Management Office and the Corporate Sustainability Office are appointed with the approval of the sustainable development committee and after the resolution of the board of directors.	1 2 3 4 5	
30. The sustainable development committee emphasizes the importance of compliance with laws and regulations of corporate sustainable development and integrity management.	1 2 3 4 5	
<b>F. Overall assessment</b>		
31. Overall operation of the sustainable development committee.	1 2 3 4 5	
<b>General comments</b> (Other supplementary notes: Suggestions for improving the operation of the sustainable development committee, etc.)		

## Yuanta Financial Holding Company

**(Year) Nominating Committee Performance Evaluation Self-Evaluation Questionnaire**

Name of Evaluator: \_\_\_\_\_ (signature)

- For each indicator, where the grading in the evaluation result field does not fully express the evaluation of that indicator, additional explanation may be given by using the remarks column.
- Evaluation results are to be expressed on a five-point grading scale of 1 to 5 and the grading levels are defined as follows: 1—Very poor (Strongly disagree), 2—Below average (Disagree), 3—Average (Neutral), 4—Very Good (Agree), 5—Excellent (Strongly agree).

Evaluation Items	Evaluation Results	Remarks
<b>A. Level of involvement in the Company's operations</b>		
1. Average actual attendance (excluding attendance by proxy) of each committee member at nominating committee meeting (1 for attendance rate less than 70% , 2 for 70% and above but less than 80%, 3 for 80% and above but less than 85%, 4 for 85% and above but less than 90%, 5 for 90% and above)	1 2 3 4 5	
2. Committee members have read and understand meeting information before the committee meeting.	1 2 3 4 5	
3. The nominating committee has good communication with the management team.	1 2 3 4 5	
4. Committee members all have contributed effectively in the nominating committee meetings.	1 2 3 4 5	
5. The nominating committee convenes periodically. (At least two meetings are held every year.)	1 2 3 4 5	
6. The nominating committee members have a clear understanding of the Company, its management team and the industry of the Company.	1 2 3 4 5	
<b>B. Awareness of the responsibilities of the nominating committee</b>		
7. The scope of powers of the nominating committee is clearly defined and appropriate.	1 2 3 4 5	
8. The nominating committee can truly evaluate and supervise various existing and potential risks in the Company.	1 2 3 4 5	
9. The nominating committee timely proposes professional and objective recommendations to be discussed at the board of directors, serving as a reference for board of directors in making decisions.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
10. The nominating committee has taken into account the scale of the Company and the nature its business and considers the professional knowledge, skill sets and experience as well as the gender and independence which the board directors of the Company are required to have when setting and reexamining the number and qualification criteria of board directors.	1 2 3 4 5	
11. The nominating committee has set the standards for formulation and member qualification criteria of each committee reporting to the board of directors.	1 2 3 4 5	
12. The nominating committee has established and developed organizational framework for the board of directors and each functional committee.	1 2 3 4 5	
<b>C. Nomination review and decision making</b> (Questions 13 to 17 of this item are not applicable when there is no election during the evaluation period, and question 18 is not applicable when there is no senior manager election under consideration during the evaluation period.)		
13. The nominating committee follows the criteria stipulated when searching for a suitable board director candidate and proposes the list of director nominees to the board of directors.	1 2 3 4 5	
14. The nominating committee has conducted a prior review of the relevant criteria for director candidates, and the results of the review, together with a proposed reference list of director candidates, are submitted to the board of directors for approval and provided at the shareholders meeting for the election of suitable directors.	1 2 3 4 5	
15. The nominating committee when nominating independent director candidates has already examined to verify that their qualifications satisfy those set by relevant regulations.	1 2 3 4 5	
16. The nominating committee when nominating independent director candidates has acted in line with best long-term interests of shareholders as its main consideration.	1 2 3 4 5	
17. The nominating committee reviews the qualifications and potential conflicts of interest of candidates for the remuneration committee and the sustainable development committee, and recommends to the board of directors the selection of the conveners of each committee.	1 2 3 4 5	

Evaluation Items	Evaluation Results	Remarks
18. When considering the election of senior managers, the nominating committee reviews the qualifications of the proposed positions in accordance with the regulations.	1 2 3 4 5	
<b>D. Improving the quality of decisions made by the nominating committee</b>		
19. Except for emergencies, the nominating committee is convened with seven (7) days' notice of the reason for the convening.	1 2 3 4 5	
20. The information provided by the Company to the nominating committee is complete, timely, and of a certain quality to enable the nominating committee to perform its duties smoothly. Relevant managers, internal auditors, accountants, legal advisors or other personnel are invited to attend the meeting as non-voting participants when necessary.	1 2 3 4 5	
21. The nominating committee has sufficient time for discussion.	1 2 3 4 5	
22. The discussion proposal submitted by the Company to the resolution of the nominating committee is appropriate.	1 2 3 4 5	
23. In the case of a motion requiring recusal of a member's interest, the member has been recused and the minutes of the meeting have been recorded. (When a member of the nominating committee is involved in a proposal in which he or she has an interest, he or she shall explain the material contents of his or her interest and recuse himself or herself from the discussion and voting if it is harmful to the Company's interests, and he or she shall not exercise his or her voting rights on behalf of other members.)	1 2 3 4 5	
24. The minutes of the nominating committee appropriately record the discussions, and where appropriate, individual or collective reservations or concerns.	1 2 3 4 5	
25. For the various resolutions made at the nominating committee meetings, follow-up actions are properly executed and tracked.	1 2 3 4 5	
26. The nominating committee has regular and efficient performance evaluation.		

Evaluation Items	Evaluation Results	Remarks
<b>E. Composition and selection of members of the nominating committee</b>		
27. Members of the nominating committee are appropriately composed and have the necessary expertise for the decision-making process.	1 2 3 4 5	
28. Members of the nominating committee maintain their independence during their term of office.	1 2 3 4 5	
29. The selection of the members of the nominating committee is based on the actual needs of the Company, taking into full consideration the skills, knowledge, and experience of the members of the board or directors, and taking into account the results of the evaluation of the performance of the nominating committee.	1 2 3 4 5	
<b>F. Internal controls</b>		
30. The nominating committee reviews the charters of each functional committee at least once a year and propose amendments to the board of directors in a timely manner.	1 2 3 4 5	
31. The nominating committee has established and regularly reviews the director continuing education plan and the succession plan for directors and senior managers.	1 2 3 4 5	
32. The nominating committee has the authority to review the Company's Corporate Governance Guidelines, the Procedures for Director Election, and the rules for the continuing education of directors in accordance with the Company's development needs.	1 2 3 4 5	
33. The nominating committee attaches great importance to the compliance with the law and the code of practice.	1 2 3 4 5	
<b>G. Overall assessment</b>		
34. Overall operation of the nominating committee.	1 2 3 4 5	
<b>General comments</b> (Other supplementary notes: Suggestions for improving the operation of the nominating committee, etc.)		