

Yuanta Financial Holding Company
Risk Management and Information Security Committee Charter

Approved by the Board of Directors on March 15, 2023 (12th meeting of the 9th board)
Amendments approved on May 22, 2024 (27th meeting of the 9th board)
Amendments approved on June 25, 2025 (3rd meeting of the 10th board)
Amendments approved on June 24, 2026 (18th meeting of the 10th board)

Article 1 (Purpose and Basis)

In order to improve and strengthen the risk management mechanism, the Company has established a Risk Management and Information Security Committee (hereinafter referred to as “the Committee”) with reference to the *Risk Management Best Practice Principles for TWSE/TPEX Listed Companies* and set up the charter of the Committee (hereinafter referred to as “the Charter”) in accordance with Article 16-5 of the Articles of Incorporation of Yuanta Financial Holding Company, Inc.

Article 2 (Committee Composition and Term of Office)

The Committee shall have at least three members, who shall be directors of the board of the Company, with more than half of them being independent directors. All members shall elect one independent director to serve as convener and chairperson of the meeting.

The members of the Committee are appointed by the board of directors after their qualifications and potential conflicts of interest have been reviewed by the Nominating Committee.

The term of office of the members of the Committee shall, except as otherwise provided by law or rules and regulations of the Company, be the same as that of the directors. In the event that the number of members falls below three due to resignation for any reason, the board of directors shall appoint additional members to fill the vacancies.

Article 3 (Duties and Powers)

The Committee is subordinate to the board of directors and is primarily responsible for the following matters:

1. Reviewing risk management and information security policies and systems.
2. Reviewing annual risk limits and thresholds for monitoring indicators.
3. Reviewing the risk management and information security performance report.
4. Supervising the management of the Company’s existing or potential risks and information security.
5. Assisting the board of directors in supervising the implementation of risk management and information security management decisions.
6. Other risk management and information security management matters as designated by the board of directors or the Committee that shall be handled or

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reported.

Article 4 (Meeting Call and Notice)

Meetings of the Committee shall be held at least once a quarter, and may be held at any time as necessary.

In convening a meeting of the Committee, a notice setting forth the subjects to be discussed at the meeting shall be given to each member at least seven (7) days in advance. In emergency circumstances, however, the meeting may be convened on shorter notice. The notice of the meeting may be prepared and distributed electronically.

The agenda of the Committee shall be set by the convener and other members may also provide motions. The agenda of the meeting shall be provided to the members of the Committee in advance.

If the convener of the Committee is absent due to leave or unable to convene a meeting for any reason, or is required to recuse himself/herself in accordance with Article 7, Paragraph 1, he/she shall designate another independent director of the Committee to act as his/her proxy. If necessary, he/she may designate another member of the Committee to act as his/her proxy. If the convener does not designate a proxy, the other members of the Committee shall elect one independent director to act as proxy.

The Committee may invite directors of the board, officers of related departments, and internal auditors of the Company or its subsidiaries, certified public accountants, attorneys, or other professionals to attend the meeting as non-voting participants depending on the nature of the agenda item and provide relevant necessary information. However, such individuals shall leave the meeting during discussions and voting.

Article 5 (Rules of Procedure)

When the Committee convenes, a sign-in attendance book shall be set up for the attending members to sign in for inspection.

The Committee members shall attend the meeting in person. If a member is unable to attend the meeting in person, the member shall take leave of absence or appoint another member to attend as his or her proxy, provided that the proxy is appointed by one person only. Attending a meeting via telecommunications will be deemed attendance in person.

A member of the Committee that appoints another member as proxy to attend a meeting shall in each instance issue a written proxy stating the scope of authorization with respect to the items on the meeting agenda.

Resolutions at meetings of the Committee shall be adopted with the consent of one half or more of the entire membership. When a matter comes to a vote at a

Committee meeting, if upon inquiry by the meeting chair no member voices an objection, the matter will be deemed approved, with the same effect as approval by vote. The result of the vote shall be made known immediately and recorded in writing.

Article 6 (Meeting Minutes)

Discussions at a meeting of the Committee shall be included in the meeting minutes, which shall faithfully record the following:

1. The session, time, and place of the meeting.
2. The name of the meeting chair.
3. Attendance of the Committee members at the meeting, specifying the names and the number of members present, excused, and absent.
4. The names and titles of those attending the meeting as non-voting participants.
5. The name of the minute taker.
6. The matters reported at the meeting.
7. Agenda items: results of resolutions, summaries of speeches by Committee members, experts and other persons present at the meeting, and dissenting or reserved opinions on each motion.
8. Extemporaneous motions: The name of the mover; the result of resolution for each motion; a summary of the comments of the Committee members, experts and other persons present at the meeting; and dissenting or reserved opinions.
9. Other matters required to be recorded.

The attendance book constitutes part of the minutes for each meeting of the Committee. If the meeting is held via telecommunications, the audio and video materials also constitute part of the meeting minutes.

The minutes of each meeting of the Committee shall bear the signature or seal of both the meeting chair and the minute taker. A copy of the minutes shall be distributed to each member on the Committee within twenty (20) days after the meeting, and shall be presented to the board of directors and retained as important corporate records for five (5) years. The meeting minutes may be produced and distributed in electronic form.

If a lawsuit concerning matters related to the Committee arises before the expiration of the aforementioned retention period, the relevant information shall continue to be retained and the aforementioned provisions shall not apply.

Article 7 (Recusal)

If any Committee member has a personal interest in any matter under discussion, the member shall immediately disclose the materiality of his or her interests during the meeting and then recuse him/herself from all discussions and voting.

A member of the Committee whose spouse or collateral relatives by blood within two

generations has an interest in the matter of the meeting mentioned in the preceding paragraph shall be deemed to have his or her own interest in the matter.

If, as a result of Paragraph 1, the Committee is unable to resolve the matter, it shall report the matter to the board of directors, who shall make the resolution.

Article 8 (Resources to Be Provided by the Company in the Exercise of Powers)

The Committee may, at the expense of the Company, resolve to retain the service of an attorney, certified public accountant, or other professional to conduct a necessary audit or to provide advice on matters relating to the exercise of the Committee's powers.

Article 9 (Obligations of Members)

The members of the Committee shall exercise good stewardship, faithfully perform their duties as set forth in the Charter, be accountable to the board of directors, and submit important motions to the board of directors for resolution.

Article 10 (Implementation of Resolutions)

Matters resolved by the Committee and related implementation work may be delegated to the convener or other Committee members to supervise the relevant authority and responsibility for the implementation of the resolutions, with a written report to be presented to the Committee during the implementation period. When necessary, the matters shall be presented for ratification or a report made at the next meeting of the Committee.

Article 11 (Meeting Affairs Unit)

The Committee's meeting affairs unit is the Secretariat Office, which is responsible for assisting the Committee in compiling motions, convening notices, conducting business, taking minutes of meetings, and compiling information on the implementation of the Committee's resolutions.

All departments of the Company shall provide assistance necessary for the operation of the Committee in accordance with the relevant rules and regulations of the Company.

Article 12 (Unfinished Business)

All matters not covered by the Charter shall be governed by the relevant laws and regulations of the competent authorities and other relevant rules and regulations of the Company.

Article 13 (Approval Level)

The Charter and any amendments to it, shall be implemented upon approval by the board of directors.