

Yuanta Financial Holding Company, Ltd.
2024 Supplier Human Rights Due Diligence Investigation Table

Assessment Subjects	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%	Forced Labor	-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 the contracts to prohibit any form of forced labor, protect employees' physical, mental, and mobility freedom, and proactively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement 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 2024.	--	Yuanta Group's self-assessment questionnaire for suppliers confirmed that there were no instances of non-compliance. In addition to contract management, we will continue to deepen various types of engagements with suppliers. Yuanta Group will continue to ask suppliers 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	1.74%	Yuanta Group has included supplier's terms and conditions for sustainable procurement in its contracts and has established a Supplier Sustainable Procurement Guidance for suppliers to follow, including that suppliers should comply with relevant laws and regulations on labor safety and health. 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.	3	100%	100%	A total of 3 suppliers have violated regulations during the investigation. Yuanta Group proactively contacted the suppliers to ensure that the violations of laws and regulations by the suppliers were properly improved and handled.	100%	Yuanta Group's self-assessment questionnaire for suppliers confirmed that 3 suppliers have violated regulations during the investigation. Yuanta Group conducted on-site audits on 1 of the suppliers to understand the actual risks of the supplier, and guided the supplier to improve. We also requested 2 other companies to provide a detailed description of the incident and proof of implementation of remedial measures, and offered suggestions for improvement on related issues. We have completed the follow-up on the improvement of risk remediation measures for the 3 suppliers. In the future, we will continue to engage with suppliers.

Assessment Subjects	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%	Personal Data and Privacy	-Suppliers' employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	5.23%	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 the contracts. Suppliers should follow information confidentiality and respect intellectual property rights. When collecting consumer information, they should explain the purpose and adhere to the spirit of integrity management, collect the minimum amount of consumer information, and have relevant devices and means to ensure that consumer information is properly stored.	9	100%	0%	No actual risk occurred in the year 2024.	0%	9 suppliers did not have relevant policies in place when responding to the questionnaire, but no violations were confirmed. In addition to contract management, we will continue to deepen our methods of engagements with suppliers and continue to ask them to improve the management of personal data and privacy, so that we can build a sustainable supply chain together with them.
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 the contracts, requiring suppliers to follow local regulations and prohibit any discriminatory conduct in the recruitment and hiring process, which in turn affects the rights and interests of employees. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement 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 2024	--	In addition to contract management, Yuanta will continue to deepen various types of engagements with suppliers in the future, 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%	Equal Pay for Equal Work	-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 the contracts, which require suppliers to comply with local laws and regulations and actively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement 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 2024	--	In addition to contract management, we will continue to deepen various types of engagements 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.

Assessment Subjects	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%	Child/ Underage Workers	Children	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 the contracts, requiring suppliers to prohibit the employment of workers under the age of 15. When hiring underage workers, the <i>Labor Standards Act</i> should also be followed to ensure their labor rights and physical and mental health at work. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement 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 2024	-	Yuanta will continue to work on contract management and deepen various types of engagements with suppliers in the future, and will 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 the contracts, which require suppliers to comply with local laws and regulations and actively prevent human rights violations. Yuanta Group also conducts human rights and labor practices training for suppliers during the supplier engagement 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 2024	--	In addition to contract management, we will continue to deepen various types of engagements 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.

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