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Company website: <https://www.yuanta futures.com.tw/>

Stock Code: 6023



2024 Annual Report

Date published: January 31, 2025

I. Name, job title, contact number, and email address of the spokesperson and acting spokesperson

	Spokesperson	Deputy Spokesperson
Name/ Title	Liang-Hui Yuan/ Senior vice president	Kuo-Tsun Hsu/ President
TEL:	(02)2717-6000#7470	(02)2717-6000#7205
E-mail	KarenYuan@yuanta.com	Alex@yuanta.com

II. Address and telephone number of the Head Office and branches:

Company name	Address	TEL
Head Office	2F. (Part), 3F, 4F, 5F, No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist., Taipei City	(02)2717-6000
Hsinchu Branch	B1-1, No. 373, Sec. 1, Guangfu Rd., Hsinchu City	(03)666-2558
Taichung Branch	4F.-1, No. 8, Sec. 2, Ziyu Rd., Central Dist., Taichung City	(04)3703-3368
Tainan Branch	4F., No. 165, Sec. 1, Minsheng Rd., West Central Dist., Tainan City	(06)235-5999
Kaohsiung Branch	7F.-1, No. 143, Zhongzheng 4th Rd., Qianjin Dist., Kaohsiung City	(07)215-7777

III. Name, address, website, and contact number of share administration agency:

Share administration agency	Share Administration Department, Yuanta Securities Co., Ltd.	TEL	(02)2586-5859
Address	B1F, No. 67, Sec. 2, Dunhua South Road, Da'an District, Taipei City	Website	http://www.yuanta.com.tw/

IV. The name of the CPAs for the most recent financial audit report, and the name, address, website and phone number of the CPA Firm

Name of CPA	Chiao-Sen Lo, Hsiu-Ling Li		
Name of firm	PwC Taiwan	TEL	(02)2729-6666
Address	27F., No. 333, Sec. 1, Keelung Rd., Xinyi Dist., Taipei City	Website	https://www.pwc.tw/zh.html

V. Name of overseas exchange where securities are listed, and the methods for inquiring the foreign-listed securities: None.

VI. Company website: <http://www.yuanta futures.com.tw/>

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One. Report to Shareholders

I. Market Overview

Looking back at 2024, financial markets continued to experience turbulence, with geopolitical tensions persisting. Events including the U.S. presidential election, various central banks' policy rate pivots, and the Chinese government's liquidity injections to rescue markets occurred in rapid succession, affecting energy, interest rates, and economic growth. The Russia–Ukraine war remained unresolved, with regional instability causing dramatic fluctuations in energy and commodity prices, leading to heightened risk aversion sentiment. Major economies like the U.S. and Europe entered rate-cutting cycles, stimulating stock markets and driving capital flows into emerging markets. However, following Donald Trump's election as U.S. president with full governing control, supply chains and international trade patterns were further reshaped, bringing greater uncertainty to the global economy and significantly increasing hedging and trading demand in futures markets.

Global futures and options trading volume reached new heights in 2024. According to data from the Futures Industry Association (FIA), trading volume reached 206.8 billion contracts by the end of 2024, an 80.62% increase from the previous year's 137.4 billion contracts. Of these, the futures market grew by 21.43%, while options increased by 96.59%. By commodity category, stock and stock index trading remained dominant, accounting for 89.08% of total volume, with an annual growth of 96.85%. Energy, metals, interest rates, and agricultural commodities saw annual growth rates of 51.38%, 49.90%, 36.81%, and 17.03%, respectively. Currency and other contract trading volumes declined compared to the same period last year. In summary, 2024 presented diverse dynamics and challenges globally, with a significant increase in demand for derivative financial products, increasingly concentrated in stock and index products, indicating shifting investor preferences.

In the domestic market, Taiwan's capital markets were vibrant in 2024, with the Taiwan Weighted Index setting new records. Futures market trading volume also reached new heights, with Taiwan's futures market total trading volume reaching 395 million contracts, exceeding 300 million contracts for the fifth consecutive year, up 21.53% from last year's 325 million contracts. Domestic futures trading volume increased by 36.17%, while options grew by 9.77%, demonstrating robust momentum in Taiwan's futures market. Additionally, after TSMC stock futures were included in night trading in January 2024, it helped Taiwanese traders further connect with international markets. Participation during night trading sessions became more active, with overall trading consistently accounting for over 30% of the total volume. In the future, TAIFEX will include more products in night trading to further enhance the hedging function of the options market. The popular futures products in 2024 were primarily mini and micro TAIEX futures, as well as stock futures. On July 29, 2024, micro TAIEX futures were officially listed, featuring contract specifications that aligned with market development trends and drove growth in futures products. Mini TAIEX and micro TAIEX accounted for 45.28% of the trading volume, with mini TAIEX being boosted by micro TAIEX, resulting in an overall trading volume growth of 28.54% compared to the previous year. Stock futures accounted for 33.79% (single stock + ETF futures). As the Taiwan Stock Index rose, interest in stock futures increased by 30.48% compared to last year, making them potential growth products for the future. Furthermore, TAIFEX added Taiwan Mid-Cap 100 Index futures and more ETF futures products to night trading this year, providing traders with a diversified range of product choices. In 2025, TAIFEX plans to

add more single stock futures to night trading and optimize the trader risk detection platform, aiming to increase trading flexibility in Taiwan's futures market, help traders with proper risk management, and thereby improve capital utilization efficiency.

In terms of the regulatory environment, in 2024, financial supervisory institutions are focusing on anti-fraud and sustainable development as their main priorities. Regarding anti-fraud measures, the Financial Supervisory Commission has introduced the Anti-Fraud Action Framework 2.0, which has been upgraded to five major dimensions: "fraud identification," "fraud blockage," "fraud prevention," "fraud obstruction," and "fraud punishment," continuing to promote cross-departmental cooperation. The goal is to protect citizens' financial security and reduce criminal damages. The Company will actively comply with the policies of regulatory authorities, continue to strengthen anti-fraud education, issue early warnings by detecting fraud risks in advance, and optimize anti-fraud service areas to fully protect customer interests. In terms of sustainable development, in addition to continuing to implement various sustainability initiatives, regulatory authorities require listed companies to incorporate sustainability information management into their internal control systems and to list it as a mandatory audit item for the year in order to strengthen the Company's management of sustainability information. The Company will also fully cooperate with policy implementation, continue to deepen sustainable development, actively respond to global sustainability trends, integrate sustainability concepts into management policies, and balance business development with corporate sustainability outlook, becoming a new benchmark for sustainable development in the futures industry.

In view of the rapidly changing overall financial environment and the increasing financial risks, the Company will continue to enhance corporate governance, deeply instilling risk control and compliance concepts as employee core competencies and establishing solid control defense lines. Under the overarching principle of regulatory compliance, we will focus on core business development, refine products and services based on principles of fairness, honesty, trustworthiness, and transparency, utilize operational advantages, establish a sound corporate governance culture, and strengthen profitability.

II. Operating results

The company continued to enhance various operations and management in 2024, including improving the profitability of shareholders' equity, substantiating risk management, enhancing brokerage and trading objectives, etc., and had achieved various operational objectives as follows:

- (I) In terms of financial performance: The company's net income in 2024 amounted to NT\$2.167 billion, ranked in the first place among 14 specialized futures merchants with the record high net income generated. The net EPS was NT\$7.47 and the net ROE was 14.24%.
- (II) In terms of business performance: In 2024, the Company achieved a market share of 22.62% in futures brokerage, 18.14% in options brokerage, and 26.47% in foreign market brokerage. As of year-end, client margin deposits accounted for 32.89% of the entire market, ranking first in market volume and continuing to grow, with overall business performance leading the industry.
- (III) In terms of corporate governance implementation: The company adheres to the principle of the highest ethical corporate management to establish a rigorous corporate governance system and to substantiate internal control, compliance with

laws and regulations, and risk control. Also, for the protection of the customers' rights and interests, the company convenes the Fair Dealing Principle meeting every quarter, and reports the implementation result to the board of directors. The board of directors supervises the indicators and actions related to customer rights and interests. The related governance performance has been repeatedly recognized and won domestic and foreign corporate governance awards.

1. The Company was honored to receive the top 5% distinction among listed companies in the 10th "Corporate Governance Evaluation" by the Taiwan Stock Exchange. Simultaneously, we received the "Taipei Exchange Leadership Governance Award" commemorating the Taipei Exchange's 30th anniversary, with only eight companies among all TPEx-listed companies receiving this honor, demonstrating the high recognition from regulatory authorities for our implementation of corporate governance.
2. The company was ranked in the top 25% of the futures category in the "Evaluation of Fair Dealing Principle in the Financial Services Industry" announced by the Financial Supervisory Commission.
3. Received an excellent domestic long-term credit rating of "AA-(tw)" and a domestic short-term credit rating of "F1+(tw)" from Fitch Ratings and a prospect of "stable"
4. Obtained Taiwan Intellectual Property Management Standards (TIPS) Level-A certification for four consecutive years since 2021 to improve the intellectual property management system. The company has continued to introduce the BS10012 Personal Information Management System (PIMS) international standard certification every year since then to fully protect the rights and interests of customers by establishing a comprehensive personal information protection measure.

(IV) In terms of award-winning records and international certification: The company as a leading "Futures Brand" in Taiwan values the importance of promoting the sustainable development of the industry while securing financial business development and generating profits; also, taking into account the research and development capabilities and innovation, striving to provide investors with the best futures trading platform services, and adhering to the core value of the brand in order to become the brand benchmark in the Asian financial market.

Credits and honors in 2024:

1. Ranked first on the "Commonwealth Magazine Sustainable Citizenship Award" Small Giant List, winning for seven consecutive years, and ranking third on the "Commonwealth Sustainability Talent Award" Small Giant List for two consecutive years.
2. National Brand Yushan Award "Outstanding Enterprise Award" and "Best Product Award: Intelligent AI Command Center."
3. Won the 2024 "TCSA Taiwan Corporate Sustainability Award" - Corporate Sustainability Report Category 2 Silver Award.
4. Awarded with first place in the category of futures commission merchant trade volume of the 10th "Futures Diamond Award" held by Taiwan Futures Exchange.

5. Commercial Times Digital Finance Award “Digital Fair Customer Treatment Award” and “Digital Information Security Award.”
 6. The 2023 Sustainability Report obtained verification from the Taiwan branch of the British Standards Institution (BSI) and received assurance from accountants. The Company continues to produce English versions of its reports, being the first futures company in the industry to publish an English version of its sustainability report.
 7. The company strives to introduce various ISO management tools, and has been certified by the British Standards Institute Taiwan Branch for: ISO 14001 Environmental Management System, ISO 14064-1 Greenhouse Gas, ISO 45001 Occupational Health and Safety Management System, ISO 20400 Sustainable Procurement Guidelines, ISO 14046 Environmental Management – Water Footprint, ISO 27001 Information Security Management System, ISO 10002 Customer Complaint Management System, and BS 10012 PIMS Personal Information Management System.
 8. No. 1 in futures companies amongst the Top 5000 large corporations in Taiwan.
5. The Company’s 2024 income and expense and profitability analysis as follows:

(Unit NTD thousand)

Item	2024	2023	Difference	Variation
Operating gains	4,013,452	3,436,053	577,399	16.80%
Earnings before tax	2,720,644	2,286,740	433,904	18.97%
Current period net profit	2,166,896	1,852,719	314,177	16.96%
Net worth	159.20	145.13	14.07	9.69%
After-tax EPS (NTD)	7.47	6.39	1.08	16.90%
Return on shareholders’ equity	14.24%	13.53%	0.71%	5.25%

III. Research and development

- (I) The optimization and upgrade of the core accounting system and hardware equipment was completed in 2021, and the brokerage clearing and trading system conversion plan will be implemented continuously. Also, various front-end trading systems and backend accounting system will be completed in coordination with the launch of new products and new systems by Taiwan Futures Exchange and the development of night trading account risk information inquiry services. In terms of cybersecurity protection, Yuanta Futures continues to strengthen its SIEM system and has implemented an open-source software system that automates security detection management to identify, track, and patch security vulnerabilities in open-source software. The Company also maintains ongoing ISO 27001 certification to protect company and client information assets from cyber threats and security vulnerabilities.
- (II) Continue to refine the readability and diversity of research reports, and provide traders with more real-time research information in the form of community posts,

audio-visual, and audio. Prepare customized industry and corporate project briefings for corporate customers; provide strategic hedging and forward-looking analysis to have futures services extended to industry and corporate physical economy services.

- (III) The Company continues to converge and optimize platform functions while advancing the “Tablet Account Opening Project” to effectively improve customer account opening efficiency. In addition to enhancing customers’ online service experience, the Company simultaneously optimizes internal operational processes through systems such as “RPA Process Automation” and “Digital Warehousing” to help improve overall operational efficiency. Furthermore, in coordination with Yuanta Group’s promotion of cross-subsidiary FIDO identity authentication and data sharing, futures can provide more secure and convenient identity verification, effectively simplifying the account opening process and improving efficiency. Looking ahead, the Company will continue to enhance digital financial services by utilizing financial technology, big data analysis, and AI to conduct precise marketing through customer segmentation, thereby improving customer satisfaction.

IV. Future operating plans and development strategies

Looking ahead to 2025, the Company adheres to the core business philosophy of “Innovative Vision, Sustainable Wealth.” With solid financial indicators, continuously optimized IT infrastructure, and comprehensive front- and back-office teams as its operational foundation, the Company maintains strict risk control and regulatory compliance as its operational core. The Company aims to develop various futures brokerage businesses, achieve stable profits, and is committed to promoting green operations and sustainable products, accelerating digital transformation projects, and capturing green finance opportunities. Simultaneously, the Company continues to advance the opening and operational preparation of Yuanta Global (Singapore) to expand international futures institutional clearing business and develop potential customers in Southeast Asian countries, thereby expanding its overseas profit engine.

In 2025, the operating plans of Yuanta Futures are highlighted below:

- (I) Focus on core brokerage business, accelerate client development, enhance market share to drive growth.
- (II) Expand Asia-Pacific cross-border operations, synchronizing with the group’s overseas deployment and development.
- (III) Refine digital financial services and optimize customer trading experience.
- (IV) Focus on growth opportunities in leverage business, develop next-generation trading systems.
- (V) Stabilize trading performance and realize strategic diversified deployment.
- (VI) Implement sustainable development, capitalize on green finance opportunities.

We wish you all shareholders
good health and prosperity in the future

Yuanta Futures Co., Ltd.

Chairman: Tien-Fu Lin

Vice Chairman: Pin-Cheng Chen

President: Kuo-Tsun Hsu

Two. Corporate Governance

I. Background information of the Directors, President, Vice Presidents, Assistant Vice Presidents and heads of various departments and branches

(I) Director, Independent Director

Date of information: January 31, 2025

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
Corporate shareholder	Republic of China	Yuanta Financial Holding Co., Ltd.	-	2024.05.27	3 years	2012.05.23	101,000,000	43.48%	192,167,005	66.27%	-	-	0	0%	-	-	-	-	-
Chairman	Republic of China	Yuanta Financial Holding Co., Ltd. Representative: Tien-Fu Lin	Male 73	2024.05.27	3 years	2014.06.26	0%	0	86,856	0.03%	0	0%	0	0%	President of Yuanta Securities Co., Ltd. Vice Chairman of Yuanta Securities Finance Co., Ltd. Director and President of Fuh Hwa Securities Investment Trust Co., Ltd. Director and Executive Vice President of Yuanta Core Pacific Securities Co., Ltd. Chairman of Ding Fu Securities Co., Ltd. Director of Yuanta Financial Holding Co., Ltd. Independent director of TTY Biopharm Company Limited Yu Da High School of Commerce and	Chairman of the Company, Director of Yuanta Securities Co., Ltd., Vice Chairman of Yuanta Securities Finance Co., Ltd., Director of Yuanta Securities Finance Co., Ltd., Director of Yuanta Securities Finance Co., Ltd., Director of the Taipei Exchange	None	None	None

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
															Home Economics Completed the Accounting Practice course of the Accounting Advanced Class 52 and Intermediate Accounting course of Class 57 arranged by the Center for Public and Business Administration Education, National Chengchi University (NCCU CPBAE).				
Vice Chairman	Republic of China	Yuanta Financial Holding Co., Ltd. Representative: Pin-Cheng Chen	Male 61	2024.05.27	3 years	2022.05.24	0	0%	0	0%	0	0%	0	0%	Director of KGI Futures Co., Ltd. President of KGI Securities (Thailand) Co., Ltd. Chairman of Grand Cathay Futures Co., Ltd. President of Grand Cathay Securities Corporation Director and President of Grand Cathay Securities (Hong Kong) Corporation Chairman of United Overseas Bank (Hong Kong) MBA, Syracuse University, USA	The Company's Vice Chairman; Director of Yuanta Securities Co., Ltd.; Director of Alcor Micro, Corp.; Director of Yuanta Global (Singapore) Company; Director of Taiwan Futures Exchange	None	None	None
Director	Republic of China	Yuanta Financial Holding Co., Ltd.	Male 52	2024.05.27	3 years	2010.09.23	18,000	0.01%	0	0%	0	0%	0	0%	Executive Vice President, Yuanta Futures	The Company's President;	None	None	None

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
		Representative: Kuo-Tsun Hsu													Co., Ltd. Vice President of Polaris Futures Co., Ltd; Master, Banking and Finance, National Taiwan University	Director of Yuanta Global (Singapore) Company; Director of Yuanta Futures (Hong Kong) Limited			
Director	Republic of China	Yuanta Financial Holding Co., Ltd. Representative: Mei-Ling Kuo	Female 62	2024.05.27	3 years	2019.04.08	0	0%	0	0%	0	0%	0	0%	Manager of Syscom Computer Engineering Company Executive Vice President of Capital Securities Corporation Executive Vice President, Yuanta Securities MBA, National Chengchi University	Manager of Yuanta Financial Holding Co., Ltd.; Manager of Yuanta Commercial Banking Corporation; Director of Yuanta Securities Co., Ltd.	None	None	None
Director	Republic of China	Yuanta Financial Holding Co., Ltd. Representative: Chien-Hua Wu	Male 58	2024.05.27	3 years	2024.05.27	0	0%	0	0%	0	0%	0	0%	Senior Vice President, Yuanta Securities Business Supervisor, Yuanta Securities Co., Ltd. Branch manager of Yuanta Securities Co., Ltd.	Yuanta Securities Co., Ltd. Manager	None	None	
Director	Republic of China	Yuanta Financial Holding Co., Ltd. Representative: Yung-Chu Su	Female 50	2024.05.27	3 years	2024.05.27	0	0%	0	0%	0	0%	0	0%	Junior Partner, Lee & Li Attorney at Law New York State Attorney	Manager of Yuanta Financial Holding Co., Ltd Yuanta Securities Co., Ltd. Manager Supervisor of Yuan Venture	None	None	

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
															Capital Co., Ltd. Supervisor of Yuan One Venture Capital Co., Ltd. Director of Yuanta Securities (HK) Co., Limited Director of Yuanta Financial (Asia) Co., Ltd. Director of SUNSHINE CITY GLOBAL (PTC) LIMITED Director of EMPIRE VISION LIMITED				
Independent Director	Republic of China	Yu-Chun Wu	Male 73	2024.05.27	3 years	2021.07.05	0	0%	0	0%	0	0%	0	0%	Master Degree of Executive Master Business Management, National Taiwan University Auditor of the Taxation Administration, Ministry of Finance, R.O.C. Director, Deputy Director, and Chief Secretary of the Securities and Futures Bureau of the Financial Supervisory Commission President of GreTai Securities Market	Independent Director of Yuanta Securities Co., Ltd.; Director of Browave Corporation; Independent Director of Jing-Jan Retail Business Co., Ltd.	None	None	None

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
															Chairman of MasterLink Investment Consulting Co., Ltd. Independent Director of Taiwan Mask Corporation Independent Director of Chun Zu Machinery Industry Co., Ltd. Supervisor of Browave Corporation				
Independent Director	Republic of China	Hui-Erh Yuan	Female 67	2024.05.27	3 years	2020.05.27	0	0%	0	0%	0	0%	0	0%	PwC Partnership Accountant Chairman of PwC Taiwan Director of the Taipei Certified Public Accountants Association of the Republic of China Master of Accounting, University of Central Missouri Master of Business Administration, University of Illinois, USA	Independent Director of Yuanta Life Insurance Company, Director of Sheng Yen Education Foundation, Supervisor of Dharma Drum Mountain Buddhist Foundation	None	None	None
Independent Director	Republic of China	An-Pin Chen	Male 71	2024.05.27	3 years	2023.05.24	0	0%	0	0%	0	0%	0	0%	Emeritus Professor, Department of Information Management and Finance, National Chiao Tung University Director of Innovation Research Center of National Chiao Tung	Independent Director of Yuanta Securities Co., Ltd.; Supervisor of Tian Mei Rubber Co., Ltd.	None	None	None

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
															University Assistant Dean of the College of Management, National Chiao Tung University Chairperson of the Department of Information Management and Finance, National Chiao Tung University Chief Executive Officer of National Chiao Tung University, EMBA Chair of the Graduate Institute of Information Management, National Chiao Tung University Adjunct Associate Professor, Department of Finance, National Taiwan University Ph.D. in Industrial and Systems Engineering, University of Southern California				
Former Director	Republic of China	Yuanta Financial Holding Co., Ltd. Representative: Wei-Chen Chang	Male 53	2022.05.24	2 years	2022.05.24	0	0%	0	0%	0	0%	0	0%	Vice President of Yuanta Securities Co., Ltd. MBA, Tulane University, USA	Vice President of the Department of Juridical Person of Yuanta Financial Holdings and Vice President of Yuanta Bank	None	None	None

Title	Nationality and Registry	Name	gender, age	Date elected	Term	Date first elected	Shareholding as of elected date		Current number of shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current duties in The Company and in other companies	Spouse or relatives of second degree or closer acting as Directors, Supervisors, or other department heads		
							Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship
Former Director	Republic of China	Yuanta Financial Holdings Co., Ltd. Representative: Wen-Ching Chiu	Female 57	2023.04.01	1 year and 2 months	2023.04.01	0	0%	0	0%	0	0%	0	0%	Vice President, Director of Yuanta Securities Co., Ltd. Secretary of the Board of Directors Legal Officer of Yuanta Financial Holding Co., Ltd. Department of Law, National Chengchi University;	Manager of Yuanta Financial Holding Co., Ltd.; Manager of Yuanta Commercial Banking Corporation; Director of Yuanta Commercial Banking Corporation	None	None	None

Note 1: The Company had the 12th directors elected entirely on May 27, 2024 for tenure from May 27, 2024 to May 26, 2027.

Note 2: The initial day of elected office of individual directors or representatives shall be initial day of office.

Note 3: As of January 31, 2025, the Company had 289,976,288 shares in circulation.

(II) Corporate shareholders' main shareholders

Date of information: August 18, 2024

Name of corporate shareholder	Corporate shareholders' main shareholders
Yuanta Financial Holding Co., Ltd.	Tsun Chueh Investment Co., Ltd. at 3.54%, Singapore Government Investment Account in the custody of Citibank (Taiwan) at 3.46%, Hejia Investment Co., Ltd. at 3.32%, Yuan Hung Investment Co., Ltd. at 2.92%, Yuan Hsiang Investment Co., Ltd. at 2.89%, Trust Account of Yuanta Commercial Bank at 2.71%, Cathay Pacific Taiwan High Dividends Umbrella Securities Investment Trust Fund Taiwan ESG Perpetual High Dividend ETF Securities Investment Trust Fund Special Account in the custody of Taishin International Commercial Bank Co., Ltd. at 2.36%, Bank of Taiwan Co., Ltd at 2.25%, Yu Yang Investment Co., Ltd. at 2.16%, Teng Ta Investment Co., Ltd. at 2.04%.

Note: The data of the top-10 shareholders are compiled according to the data of Yuanta Financial Holdings on the latest stock ex-rights date (August 18, 2024).

(III) Major shareholders of major corporate shareholders listed

Date of information: January 31, 2025

Name of corporate shareholder	Corporate shareholders' main shareholders
Tsun Chueh Investment Co., Ltd.	Teng Ta Investment Co., Ltd. (19.69%), Lian Ta Investment Co., Ltd. (19.84%), Chiu Ta Investment Co., Ltd. (18.36%), Lien Heng Investment Co., Ltd. (18.92%), Hsing Tsai Investment Co., Ltd. (10.23%), Wei-Chien Ma (12.96%)
Singapore Government Investment Account in the custody of Citibank (Taiwan)	Not applicable
Hejia Investment Co., Ltd	Chen-Hai Lin (50%), Shu-Chiung Tseng (50%)
Yuan Hung Investment Co., Ltd.	Mei Chia Lee Investment Co., Ltd. (45.88%), Lien Heng Investment Co., Ltd. (36.11%), Teng Ta Investment Co., Ltd. (15.38%), Li-Chuang Tu (2.63%)
Yuan Hsiang Investment Co., Ltd.	Lian Ta Investment Co., Ltd. (44.38%), Lien Heng Investment Co., Ltd. (19.00%), Teng Ta Investment Co., Ltd. (18.69%), Chiu Ta Investment Co., Ltd. (9.96%), Wei-Chen Ma (5.01%), Hsing Tsai Investment Co., Ltd. (2.96%)
Trust account entrusted with Yuanta Bank	Not applicable
Taiwan ESG Substainable High Dividend ETF Securities Investment Trust Fund Special Account of Cathay	Not applicable

Name of corporate shareholder	Corporate shareholders' main shareholders
Pacific Taiwan High Dividends Umbrella Securities Investment Trust Fund in the custody of Taishin International Commercial Bank Co., Ltd.	
Bank of Taiwan	Taiwan Financial Holdings (100%)
Yu Yang Investment Co., Ltd.	Tsun Chueh Investment Co., Ltd. (100%)
Teng Ta Investment Co., Ltd.	Lien Heng Investment Co., Ltd. (54.13%), Miao Kao Venture Capital Investment Co., Ltd. (45.87%)

(IV) The professional knowledge and independence of the directors

Date of information: January 31, 2025

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
The 12th Board of Directors Yuanta Financial Holdings Co., Ltd. Representative: Tien-Fu Lin	Chairman Tien-Fu Lin served as the President of Yuanta Polaris Securities, the Director of Yuanta Financial Holdings, the Vice Chairman of Yuanta Securities Finance, the Director and President of Fuhua Securities, the Director and Executive Vice President of Yuanta Securities, and the Chairman of Ding Fu Securities. Chairman Tien-Fu Lin has expertise in business management, leadership and decision-making, and accounting. Chairman Lin has served the Group for over 40 years and is an Independent Director of the biotechnology industry with the expertise and experience accumulated in business management, leadership and decision-making, accounting, and corporate governance; also, he does not meet the stipulations stated in Article 30 of the Company Act.	During the two years before being elected or during the term of office, Chairman Tien-Fu Lin did not have any of the following: Employed by the company or any of its affiliated companies; A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings. A managerial officer of the Company or the Company's associates, or a director, supervisor, the principal and the principal's spouse, minor children of the Company's associates, or a natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an	0

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>aggregate of 1% or more of the total number of issued shares of the Company, or a spouse, relative within the second degree of kinship, or lineal relative within the third degree of kinship of a natural person shareholder ranking in the top-10 in holdings;</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent</p>	

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		directors.	
The 12th Board of Directors Yuanta Financial Holdings Co., Ltd. Representative: Pin-Cheng Chen	<p>Pin-Cheng Chen was the Vice Chairman of KGI Futures, the Chairman of UOB Holdings (Hong Kong), the Chairman of Grand Cathay Futures Corporation, the Director and President of UOB Securities (Hong Kong), the President of Grand Cathay Securities Corporation, and the President of KGI Securities (Thailand).</p> <p>Pin-Cheng Chen has a master's degree in business administration received from Syracuse University in the United States. He has served as a director in the finance industry, possessed professional capabilities in business management, leadership and decision-making, and finance, and has not committed any of the acts stated in Article 30 of the Company Act.</p>	<p>During the two years before being elected or during the term of office, Vice Chairman Pin-Cheng Chen did not have any of the following:</p> <p>A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings.</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years</p>	1

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		has received cumulative compensation exceeding NT\$500,000, or a spouse thereof. There is not a spouse or relative within the second degree of kinship with the directors and independent directors.	
The 12th Board of Directors Yuanta Financial Holdings Co., Ltd. Representative: Kuo-Tsun Hsu	Mr. Kuo-Tsun Hsu served as the Executive VP of Yuanta Futures and the VP of Polaris Man Futures. Mr. Kuo-Tsun Hsu graduated from the Department of Finance of the National Taiwan University. He has worked for the Company for more than ten years with sufficient experience accumulated in securities, futures, and other financial services, as well as business management, leadership, decision-making, and a profound background in the financial industry; furthermore, he does not meet the stipulations stated in Article 30 of the Company Act.	During the two years before being elected or during the term of office, Director Kuo-Tsun Hsu did not have any of the following: A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings. If a majority of the company's director seats or voting shares and those of any other company are controlled by the same person: a director, supervisor, or employee of that other company. If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution. Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the	0

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p>	
<p>The 12th Board of Directors Yuanta Financial Holdings Co., Ltd. Representative: Mei-Ling Kuo</p>	<p>Ms. Mei-Ling Kuo served as the manager of The Syscom Group and the Executive Vice President of Capital Securities Corporation. Ms. Mei-Ling Kuo graduated from the Executive Master of Business Administration of National Chengchi University. She worked in the information and securities-related industries with related experience accumulated in finance and digital finance, as well as the professional capability in business management, leadership, decision-making, and corporate management; furthermore, she does not meet the stipulations stated in Article 30 of the Company Act.</p>	<p>During the two years before being elected or during the term of office, Director Mei-Ling Kuo did not have any of the following:</p> <p>A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings.</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of</p>	0

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p>	
<p>The 12th Board of Directors Yuanta Financial Holding Co., Ltd. Representative: Chien-Hua Wu</p>	<p>Chien-Hua Wu was the Vice President of Yuanta Securities. Chien-Hua Wu has a master's degree in business administration received from National Chung Hsing University. He has served as the Vice President in the finance industry, possessed professional capabilities in business management, leadership and decision-making, and finance, and has not committed any of the acts stated in Article 30 of the Company Act.</p>	<p>During the two years before being elected or during the term of office, Director Chien-Hua Wu did not have any of the following:</p> <p>A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings.</p> <p>If the chairperson, general</p>	0

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p>	
The 12th Board of Directors Yuanta Financial Holding Co., Ltd. Representative: Yung-Chu Su	Yung-Chu Su was the Junior Partner, Lee & Li Attorney at Law. Ms. Yung-Chu Su holds a Master of Laws degree in Financial Law from Boston University. She previously served as Vice President of Finance, possessing professional capabilities in business	During the two years before being elected or during the term of office, Director Yung-Chu Su did not have any of the following: A natural-person shareholder who holds shares, together with those held by the person's spouse, minor	0

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
	management, leadership decision-making, and financial services. She has not violated any provisions of Article 30 of the Company Act.	<p>children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings.</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p>	
The 12th	Mr. Yu-Chun Wu was the Director	During the two years before	2

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
Independent Director Yu-Chun Wu	of the Securities and Futures Bureau of the Financial Supervisory Commission and the President of TPEx for more than ten years with ample experience accumulated in securities, futures, and financial supervisory matters; also, he had once served as the Independent Director of Chun Zu Machinery Industry, Independent Director of Taiwan Mask Corp., etc. He is with professional capability in business management, leadership, decision-making, and financial banking; also, meets the professional qualification requirements stated in Article 2 of the "Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies;" " furthermore, he does not meet the stipulations stated in Article 30 of the Company Act and not elected on behalf of the government, juristic person, or their representatives as stated in Article 27 of the Company Act. Mr. Yu-Chun Wu graduated from the College of Management of National Taiwan University.	being elected or during the term of office, Director Yu-Chun Wu did not have any of the following: Employed by the company or any of its affiliated companies; A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings. A managerial officer of the Company or the Company's associates, or a director, supervisor, the principal and the principal's spouse, minor children of the Company's associates, or a natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate of 1% or more of the total number of issued shares of the Company, or a spouse, relative within the second degree of kinship, or lineal relative within the third degree of kinship of a natural person shareholder ranking in the top-10 in holdings; A director, supervisor, or employee of a corporate shareholder that directly holds five percent or more of the total number of issued shares of the company, or that ranks among the top five in shareholdings, or that designates its representative to serve as a director or	

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>supervisor of the company under Article 27, paragraph 1 or 2 of the Company Act.</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p> <p>The government, juristic person, or their representatives elected as a director or supervisor pursuant to Article 27 of the Company</p>	

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		Act Mr. Yu-Chun Wu, independent auditor, who concurrently serves as an independent director of Yuanta Securities Co., Ltd., a subsidiary of the same parent company, but complies with Article 3, Paragraph 2 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies;” therefore, he meets the requirement of independence as stipulated in Article 3 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies.”	
The 12th Independent Director Hui-Erh Yuan	Ms. Hui-Erh Yuan has been a certified public accountant for more than 30 years. She served as a partner accountant of PwC Taiwan, the Chairman of PricewaterhouseCoopers’ Corporate Finance & Recovery Group, and an Executive of the CPA ASSOCIATIONS R.O.C. (TAIWAN) with professional skills accumulated in accounting. She meets the requirement of professional qualification as stipulated in Article 2 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies,” furthermore, she does not meet the stipulations stated in Article 30 of the Company Act and not elected on behalf of the government, juristic person, or their representatives as stated in Article 27 of the Company Act. Ms. Hui-Erh Yuan holds a master’s degree in accounting from the University of Missouri	During the two years before being elected or during the term of office, Independent Director Hui-Erh Yuan did not have any of the following: Employed by the company or any of its affiliated companies; Director or supervisor of the Company or its affiliates; A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings. A managerial officer of the Company or the Company’s associates, or a director, supervisor, the principal and the principal’s spouse, minor children of the Company’s associates, or a natural-person	1

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
	and a master's degree in business administration from Southern Illinois University.	<p>shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate of 1% or more of the total number of issued shares of the Company, or a spouse, relative within the second degree of kinship, or lineal relative within the third degree of kinship of a natural person shareholder ranking in the top-10 in holdings;</p> <p>A director, supervisor, or employee of a corporate shareholder that directly holds five percent or more of the total number of issued shares of the company, or that ranks among the top five in shareholdings, or that designates its representative to serve as a director or supervisor of the company under Article 27, paragraph 1 or 2 of the Company Act.</p> <p>If a majority of the company's director seats or voting shares and those of any other company are controlled by the same person: a director, supervisor, or employee of that other company.</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that</p>	

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>has financial or business relationship with the company.</p> <p>A professional individual of commerce, law, finance, accounting or related services, or the owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution who receives more than NT\$500,000 cumulatively in the last 2 years, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p> <p>Regarding the government, juristic person, or their representatives elected as a director or supervisor pursuant to Article 27 of the Company Act, Ms. Hui-Erh Yuan, independent auditor, who concurrently serves as an independent director of Yuanta Life Insurance Co., Ltd., a subsidiary of the same parent company, but complies with Article 3, Paragraph 2 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies;” therefore, she meets the requirement of independence as stipulated in Article 3 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies.”</p>	
The 12th Independent Director An-Pin Chen	Mr. An-Pin Chen served as Emeritus Professor of the Department of Information Management and Finance of National Chiao Tung University,	During the two years before being elected or during the term of office, Independent Director An-Pin Chen did not have any of the following:	1

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
	<p>Director of Innovation Research Center of National Chiao Tung University, Associate Dean of the College of Management, National Chiao Tung University, Chairperson of the Department of Information Management and Finance, National Chiao Tung University, and EMBA Chief Executive Officer of National Chiao Tung University, Director of the Institute of Information Management of National Chiao Tung University, adjunct associate professor of the Department of Finance of National Taiwan University, etc., he possesses information professional capabilities, meets the professional qualification requirements stated in Article 2 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies;” furthermore, he does not fall in the situations stated in Article 30 of the Company Act and has not been elected on behalf of the government, juristic person, or their representatives as stated in Article 27 of the Company Act. Mr. An-Pin Chen receives a Ph.D. degree in Industrial Systems Engineering from the University of Southern California.</p>	<p>Employed by the company or any of its affiliated companies; Director or supervisor of the Company or its affiliates; A natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate amount of one percent or more of the total number of issued shares of the company or ranking in the top 10 in holdings. A managerial officer of the Company or the Company's associates, or a director, supervisor, the principal and the principal's spouse, minor children of the Company's associates, or a natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under others' names, in an aggregate of 1% or more of the total number of issued shares of the Company, or a spouse, relative within the second degree of kinship, or lineal relative within the third degree of kinship of a natural person shareholder ranking in the top-10 in holdings; A director, supervisor, or employee of a corporate shareholder that directly holds five percent or more of the total number of issued shares of the company, or that ranks among the top five in shareholdings, or that designates its representative to serve as a director or supervisor of the company under Article 27, paragraph 1</p>	

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		<p>or 2 of the Company Act.</p> <p>If a majority of the company's director seats or voting shares and those of any other company are controlled by the same person: a director, supervisor, or employee of that other company.</p> <p>If the chairperson, general manager, or person holding an equivalent position of the company and a person in any of those positions at another company or institution are the same person or are spouses: a director (or governor), supervisor, or employee of that other company or institution.</p> <p>Director, supervisor, manager, or shareholder with more than 5% ownership interest in any company or institution that has financial or business relationship with the company.</p> <p>A professional individual who, or an owner, partner, director, supervisor, or officer of a sole proprietorship, partnership, company, or institution that, provides auditing services to the company or any affiliate of the company, or that provides commercial, legal, financial, accounting or related services to the company or any affiliate of the company for which the provider in the past 2 years has received cumulative compensation exceeding NT\$500,000, or a spouse thereof.</p> <p>There is not a spouse or relative within the second degree of kinship with the directors and independent directors.</p>	

Qualification Name	Professional qualification and experience (Note 1)	Compliance of independence (Note 2)	Number of positions as an Independent Director in other public listed companies
		Regarding the government, juristic person, or their representatives elected as a director or supervisor pursuant to Article 27 of the Company Act, Mr. An-Pin Chen, independent auditor, who concurrently serves as an independent director of Yuanta Securities Co., Ltd., a subsidiary of the same parent company, but complies with Article 3, Paragraph 2 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies”; therefore, he meets the requirement of independence as stipulated in Article 3 of the “Regulations Governing Appointment of Independent Directors and Compliance Matters for Public Companies.”	

(V) Diversity and independence of directors

According to Article 20, Paragraph 3 of the Company’s “Corporate Governance Best Practice Principles,” the composition of the Company’s board of directors shall be determined by taking diversity into consideration, except that the number of directors who also serve as the managerial officers of the Company shall not exceed one-third of all board directors, and formulating an appropriate policy on diversity based on the Company’s business operations, operating dynamics, and development needs. It is advisable that the policy includes, without being limited to, the following two general standards:

1. Basic requirements and values: Gender, age, nationality, and culture.
2. Professional knowledge and skills: Professional background (such as, law, accounting, industry, finance, marketing, or technology), professional skills, and industrial experience.

In addition, according to Article 20, Paragraph 4 of the Company’s “Corporate Governance Best Practice Principles,” the Company’s board directors shall generally possess the knowledge, skills, and competences necessary to perform their duties. Overall, the Board of Directors shall have the following capabilities to achieve the desirable goal of corporate governance:

1. The ability to make judgments about operations.
2. Accounting and financial analysis ability.
3. Business management ability.
4. Crisis management ability.
5. Professional knowledge of futures and financial derivatives

6. An international market perspective.
7. Leadership ability.
8. Decision-making ability.
9. Risk management knowledge and ability

The Company has 9 board directors, including 3 independent directors and 6 directors, of which, female directors accounted for 33% and board directors with employee status accounted for 11%. Furthermore, Mr. Yu-Chun Wu, independent director, had held an important position to serve in financial supervision agencies and peripheral businesses with ample experience accumulated in financial practice. Mr. An-Pin Chen, independent director, had held an important position to serve in securities businesses with ample experience accumulated in information-related business. Ms. Hui-Erh Yuan, independent director, is a certified public accountant and serves as an independent director of the Company with accounting profession.

In terms of the Company's management goal in director diversity policy, there are 2 male independent directors and 1 female independent director elected in the 12th term of office, which achieves the Company's goal of having 1 female independent director elected. Currently, there are 3 female directors, accounted for one-third of the quorum of the board directors. Moreover, each gender director of the Company accounts for more than one-third of the board directors, achieving the management goal in having gender composition of the board of directors diversified. In addition, 11% of the Company's board directors are employees of the Company; also, 3 directors in the age group of 51~60 years old, and 6 directors in the age group of 61 years old or older. A policy of diversity has been implemented with respect to the basic conditions and values of the board of directors.

In terms of professional ability and industrial experience, the Company's board directors have various professional capabilities, including business management, leadership and decision-making, accounting, financial banking, corporate management, information technology, etc., and have experience in finance, technology, biotechnology, and trade. Of which, Chairman Tien-Fu Lin is with the expertise in business management, leadership and decision-making, and accounting; furthermore, he has served the Group for more than 40 years and is an independent director of the biotechnology industry; therefore, he has the expertise and experience in business management, leadership and decision-making, accounting, and corporate governance. Vice Chairman Pin-Cheng Chen has professional abilities related to business management, leadership decision-making, and finance. Kuo-Tsun Hsu, the director, has worked for the company for more than a decade, possessed abundant experience in securities and futures, as well as business management, leadership and decision-making, and finance. Mei-Ling Kuo, the director, had worked in information and securities-related industries, possessed experience in finance and digital finance, as well as professional capabilities in business management, leadership and decision-making, and corporate management. Chien-Hua Wu, the director, had served as a Vice President in the finance industry, possessed professional capabilities in business management, leadership decision-making, and finance. Director Yung-Chu Su previously served as a partner at a law firm, possessing professional capabilities in business management, leadership decision-making, and expertise. Yu-Chun Wu, the independent director, had held important positions in financial supervisory institutions and peripheral enterprises, possessed rich experience in securities and futures, financial supervision, and corporate governance operations, as well as professional capabilities in operation management, leadership and decision-making, and finance. Independent director Hui-Erh Yuan is a public certified accountant and has been a partner accountant in an accounting firm with professional accounting abilities. Independent director An-Pin Chen holds important positions in academia and has professional abilities in information and industrial engineering. In summary, the Company's board directors meet the board diversity policy stipulated in the Company's "Corporate Governance Best Practice Principles" in the respect of professional knowledge and skills.

There is not a relationship of spouse or a family relationship in the second degree of kinship

between the Company's directors and independent directors, which complies with Article 26-3, Paragraphs 3 and Paragraph 4 of the Securities and Exchange Act, indicating that the Company's board of directors is independent in its nature.

The realization of diversity policy in the Company's board of directors is as follows:

Date of information: January 31, 2025

Name of director	Basic composition						Professional ability						Industry experience			
	Nationality	Gender	Employee identity	Age			Management	Leadership and decision-making	Accounting	Finance	Business management	Information technology	Financial institutions	Technology industry	Biotechnology industry	Trading business
				40-50	51-60	More than 61 years old										
Tien-Fu Lin Chairman	Republic of China	Male	-			V	V	V	V				V		V	
Pin-Cheng Chen Vice Chairman	Republic of China	Male	-			V	V	V		V			V			
Kuo-Tsun Hsu Director	Republic of China	Male	V		V		V	V		V			V			
Mei-Ling Kuo Director	Republic of China	Female	-			V	V	V			V	V	V			
Chien-Hua Wu Director	Republic of China	Male			V		V	V		V			V			
Yung-Chu Su Director	Republic of China	Female			V		V	V					V			
Yu-Chun Wu Independent Director	Republic of China	Male	-			V	V	V		V			V	V		
Hui-Erh Yuan Independent Director	Republic of China	Female	-			V	V	V	V							V
An-Pin Chen Independent Director	Republic of China	Male	-			V	V	V				V	V			

(VI) Background information of the President, Vice Presidents, Assistant Vice Presidents and heads of various departments and branches

Date of information: January 31, 2025

Title	Nationality	Name	Gender	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
President	Republic of China	Kuo-Tsun Hsu	Male	2020/10/29	0	0%	0	0%	0	0%	Executive Vice President, Yuanta Futures Co., Ltd. Master, Banking and Finance, National Taiwan University	Director of Yuanta Global (Singapore) Company Director, Yuanta Futures (HK) Co., Limited	None	None	None	None
Executive Vice President	Republic of China	Ching-Jen Chen	Male	2022/03/16	0	0%	0	0%	0	0%	Vice President of the Operating Center of Yuanta Securities Co., Ltd. MBA, Feng Chia University	Liquidator of SYF Information Co., Ltd.	None	None	None	None
Senior Vice President	Republic of China	Li-Hua Yang	Female	2024/05/01	0	0%	0	0%	0	0%	President, Yuanta Securities Finance MBA, National Taiwan University of Science and Technology	None	None	None	None	None
Senior Vice President	Republic of China	Chia-Ling Tsai	Female	2005/01/03	0	0%	0	0%	0	0%	Vice President, Institution Dept, Polaris Futures Co., Ltd. MBA, National Chiao Tung University	None	None	None	None	None
Senior Vice President	Republic of China	Chien-Wan Lai	Male	2020/06/01	27,000	0.01%	0	0%	0	0%	Deputy Manager of TSEC. Master of Water	Supervisor of SYF Information	None	None	None	None

Title	Nationality	Name	Gender,	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
											Resources and Environmental Engineering, Tamkang University	Co., Ltd.; Director of Yuanta Global (Singapore) Company				
Senior Vice President	Republic of China	Liang-Hui Yuan	Female	2012/04/01	0	0%	0	0%	0	0%	Vice President, Finance and Accounting Department, Yuanta Futures Master, Banking and Finance, National Taipei University	None	None	None	None	None
Vice President	Republic of China	Ching-Yi Chang	Female	2012/04/01	38,000	0.02%	0	0%	0	0%	Vice President, Domestic Juristic Person Department, Yuanta Futures Dept of Business Administration, Shih Chien University	Director, Yuanta Futures (HK) Co., Limited Director of Yuanta Global (Singapore) Company	None	None	None	None
Vice President	Republic of China	Chun-Hao Chang	Male	2014/09/01	20,000	0.01%	0	0%	0	0%	Senior Deputy Manager, Institution Dept., Yuanta Futures MBA, National Chengchi University	Director, Yuanta Futures (HK) Co., Limited Director of Allmega Taiwan Co., Ltd.	None	None	None	None
Vice President	Republic of China	Feng-An Liu	Male	2021/06/01	0	0%	0	0%	0	0%	Senior Asst VP, Brokerage Department, Yuanta Futures Dept. of	None	None	None	None	None

Title	Nationality	Name	Gender,	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
											International Business and Trade, National Tamkang University					
Vice President	Republic of China	Yu-Hung Chen	Male	2012/04/01	26,024	0.01%	0	0%	0	0%	Senior Asst VP, Research Dept, Yuanta Futures Master, Banking and Finance, National Central University	None	None	None	None	None
Vice President	Republic of China	Shu-Hui Shih	Female	2021/07/01	0	0%	0	0%	0	0%	Senior Asst VP of the Legal Compliance Department of Yuanta Securities Investment Trust Co., Ltd. Dept of Laws, Soochow University	None	None	None	None	None
Vice President	Republic of China	Shih-Ming Lin	Male	2024/07/01	0	0%	0	0%	0	0%	Professional Vice President, Audit Department, Yuanta Futures Co., Ltd. Master, Banking and Finance, National Chung Hsing University	None	None	None	None	None
Vice President	Republic of China	Ming-Wen Tsou	Male	2022/05/01	0	0%	0	0%	0	0%	Manager of Xindian Zhongzheng Branch of Yuanta Securities Co., Ltd.	None	None	None	None	None

Title	Nationality	Name	Gender,	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
											Master, Banking and Finance, Fu Jen Catholic University					
Vice President	Republic of China	Hsin-Hsien Li	Male	2017/09/01	0	0%	0	0%	0	0%	Professional Manager, IT Department, Yuanta Futures Co., Ltd., Masters of Information Management, China University of Technology	None	None	None	None	None
Senior Assistant Vice President	Republic of China	Hui-Ching Lu	Female	2020/07/01	16,000	0.01%	0	0%	0	0%	Senior Asst VP, Treasury Dept. of Yuanta Global Assets Management Co., Ltd. Master, Banking and Finance, National Taiwan University of Science and Technology	None	None	None	None	None
Senior Assistant Vice President	Republic of China	Kuo-Liang Wang	Male	2024/12/01	0	0%	0	0%	0	0%	Professional Senior Asst VP, Brokerage Department, Yuanta Futures Master, Banking and Finance, National Central University	None	None	None	None	None
Assistant Vice President	Republic of China	Tung-Chin Li	Male	2023/09/16	2,000	0.001%	0	0%	0	0%	Senior Manager, Network Business	None	None	None	None	None

Title	Nationality	Name	Gender,	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
											Division, Yuanta Securities Co., Ltd. Institute of System Engineering and Management, National Taipei University of Technology					
Assistant Vice President	Republic of China	Li-Li Lin	Female	2016/08/01	0	0%	0	0%	0	0%	Senior Deputy Manager, Clearing Dept., Yuanta Futures Department of General Business, Chihlee Institute of Technology	None	None	None	None	None
Assistant Vice President	Republic of China	Chia-Hui Hu	Female	2014/03/01	44,881	0.02%	0	0%	0	0%	Deputy Manager, Customer Service and Dealing Dept, Polaris Futures Co., Ltd. Shih Hsin High School of Industry and Commerce – Department of General Business	None	None	None	None	None
Assistant Vice President	Republic of China	Hui Chin	Female	2024/07/01	0	0%	0	0%	0	0%	Asst VP, Risk Management Department, Yuanta Securities Investment Trust Co., Ltd. Dept of	None	None	None	None	None

Title	Nationality	Name	Gender,	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
											Statistics, National Chengchi University					
Senior Manager	Republic of China	Yu-Chen Lin	Female	2021/10/01	0	0%	0	0%	0	0%	Manager, IT Department, Yuanta Futures Master of Information Management, Tatong University	None	None	None	None	None
Senior Manager	Republic of China	Yu-ting Wu	Female	2023/11/09	0	0%	0	0%	0	0%	Manager of Human Resources Department of Yuanta Securities Co., Ltd. Master of Human Resources Management, National Sun Yat-sen University	None	None	None	None	None
Assistant Vice President	Republic of China	Sheng-Wei Wu	Male	2021/04/16	21,896	0.01%	0	0%	0	0%	Senior Manager, Auditing Department, Yuanta Futures Department of Agricultural Marketing, National Chung Hsing University	None	None	None	None	None
Senior Assistant Vice	Republic of China	Tsung-Hsiang Chen	Male	2015/07/01	0	0%	0	0%	0	0%	Asst VP, Yuanta Futures Co., Ltd., Hsinchu	None	None	None	None	None

Title	Nationality	Name	Gender	Date elected	Shares held		Shareholdings of spouse and underage children		Shares held in the names of others		Major career (academic) achievements	Current positions in the company and other companies	Spouse or relatives of second degree or closer acting as managers			Remarks (Note 3)
					Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage			Title	Name	Relationship	
President											Branch Department of Ethnology, National Chengchi University					
Manager	Republic of China	Keng-Shuo Ho	Male	2023/11/09	0	0%	0	0%	0	0%	Manager of Business Dept, Yuanta Futures Co., Ltd., Kaohsiung Branch Department of International Trade, Ling Tung University	None	None	None	None	None
Assistant Vice President	Republic of China	Chen-Ling Hsu	Female	2020/03/01	0	0%	0	0%	0	0%	Asst VP, Yuanta Futures Co., Ltd., Tainan Branch Master of Wealth and Tax Management, National Kaohsiung University of Applied Sciences	None	None	None	None	None

Note 1: Background information of the President, Vice Presidents, Assistant Vice Presidents, Heads of various departments and Branches; anyone of equivalent authority to the above, regardless of their job titles, shall be disclosed.

Note 2: Previous work experiences relating to their current roles; if the person works in the auditor's firm or in an affiliated company during the aforementioned time period, the job title and responsibilities must be provided.

Note 3: When the President or a person with equivalent positions (the top manager) is also the chairman of the board, the spouse of one another, or relatives in the first degree of kinship, the reason, rationality, necessity, and corresponding measures (such as increasing the number of independent directors, there should be more than half of the directors not concurrently serving as employees or managers, etc.) related information should be disclosed.

Note 4: As of January 31, 2025, the Company had 289,976,288 shares in circulation.

II. Remuneration paid to Directors, the President, and the Vice Presidents in the most recent year

(I) Directors, President's and Vice Presidents' remuneration

1. Directors' remuneration (including Independent Directors) (individual)

Unit: NTD thousand

Title	Name	Directors' remuneration								The sum of A, B, C, and D as a percentage of after-tax net profit		Remuneration as an employee								The sum of A, B, C, D, E, F and G as a percentage of after-tax net profit		Remuneration from invested businesses other than the subsidiaries or parent company
		Remuneration (A)		Pension (B)		Remuneration to directors (C)		Fees for services rendered (D)				Salaries, bonuses, special allowances etc (E)		Pension (F)		Remuneration to employees (G)						
		The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company		All companies contained in the financial report		The Company	All companies contained in the financial report	
																Cash amount	Stock amount	Cash amount	Stock amount			
Chairman	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Tien-Fu Lin	93,000	93,000	0	0	0	0	256	256	93,256 4.3%	93,256 4.3%	0	0	0	0	0	0	0	0	93,256 4.3%	93,256 4.3%	None
Vice Chairman	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Pin-Cheng Chen	33,000	33,000	0	0	0	0	256	256	33,256 1.53%	33,256 1.53%	0	0	0	0	0	0	0	0	33,256 1.53%	33,256 1.53%	None

Details:

- The calculation of the amount of each payment for directors in this table is based on the actual date of his/her appointment in the current year.
- In addition to the disclosure in the preceding paragraph, the remuneration paid to the directors for providing services to the Company (such as, serving as a consultant without an employee capacity to all the companies/invested companies of the parent company or in the consolidated financial statements) in the most recent year: none.

2. Directors' remuneration (including Independent Directors) (summarize)

Unit: NTD thousand

Title		Name	Directors' remuneration								The sum of A, B, C, and D as a percentage of after-tax net profit		Remuneration as an employee								The sum of A, B, C, D, E, F and G as a percentage of after-tax net profit		Remuneration from invested businesses other than the subsidiaries or parent company
			Remuneration (A)		Pension (B)		Remuneration to directors (C)		Fees for services rendered (D)				Salaries, bonuses, special allowances etc (E)		Pension (F)		Remuneration to employees (G)						
			The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company		All companies contained in the financial report		The Company	All companies contained in the financial report	
Director	Director co-headed President	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Kuo-Tsun Hsu	0	0	0	0	0	0	921	921	921 0.04%	921 0.04%	25,985	25,985	0	0	15	0	15	0	26,921 1.24%	26,921 1.24%	16,797
	Director	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Yung-Chu Su																					
	Director	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Chien-Hua Wu																					
	Director	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Wei-Chen Chang																					
	Director	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Wen-Ching Chiu																					
	Director	Name of corporate shareholder: Yuanta Financial Holding Co., Ltd. Representative: Mei-Ling Kuo																					
Independent Director	Independent Director	Hui-Erh Yuan	6,120	6,120	0	0	0	0	672	672	6,792 0.31%	6,792 0.31%	0	0	0	0	0	0	0	0	6,792 0.31%	6,792 0.31%	None
	Independent Director	Yu-Chun Wu																					
	Independent Director	An-Pin Chen																					

Details:

1. Describe the policy, system, standards, and structure of remuneration to independent directors, and describe the correlation between the amounts of remuneration and the responsibilities, risks, time invested, etc.:

- (1) Independent directors' remuneration includes remuneration and business expenses.
- (2) The monthly fixed compensation for the independent directors is authorized to be determined by the board of directors with reference to the standard generally adhered by other firms of the same trade and shall not be allocated to the Company's remuneration of directors.
2. In addition to the disclosure in the preceding paragraph, the remuneration paid to the directors for providing services to the Company (such as, serving as a consultant without an employee capacity to all the companies/invested companies of the parent company or in the consolidated financial statements) in the most recent year: none.
3. The 11th Board of Directors (Director Chang Wei-Chen, Director Chiu Wen-Ching) will be discharged from their duties on May 27, 2024.
4. The 12th Board of Directors (Director Lin Tien-Fu, Director Chen Pin-Cheng, Director Hsu Kuo-Tsun, Director Su Yung-Chu, Director Wu Chien-Hua, Independent Director Wu Yu-Chun, Independent Director Yuan Hui-Erh, Independent Director Chen An-Pin) will assume office on May 27, 2024.

3. Table of remuneration brackets of Directors (including Independent Directors)

Unit: NTD

Remunerations to individual directors in respective brackets along the salaries scale	Name of director			
	The total of the aforementioned 4 items (A+B+C+D)		The total of the aforementioned 7 items (A+B+C+D+E+F+G)	
	The Company	All companies contained in the financial report H	The Company	Parent company and all invested businesses I
<NT\$1,000,000	Yung-Chu Su; Chien-Hua Wu Wei-Chen Chang; Wen-Ching Chiu Mei-Ling Kuo; Kuo-Tsun Hsu	Yung-Chu Su; Chien-Hua Wu Wei-Chen Chang; Wen-Ching Chiu Mei-Ling Kuo; Kuo-Tsun Hsu	Yung-Chu Su; Chien-Hua Wu Wei-Chen Chang; Wen-Ching Chiu Mei-Ling Kuo	Yung-Chu Su; Chien-Hua Wu Wei-Chen Chang; Wen-Ching Chiu Mei-Ling Kuo
NT\$1,000,000 ~ NT\$2,000,000 (exclusive)	Yu-Chun Wu; An-Pin Chen	Yu-Chun Wu; An-Pin Chen	Yu-Chun Wu; An-Pin Chen	Yu-Chun Wu; An-Pin Chen
NT\$2,000,000 ~ NT\$3,500,000 (exclusive)	Hui-Erh Yuan	Hui-Erh Yuan	Hui-Erh Yuan	Hui-Erh Yuan
NT\$3,500,000 ~ NT\$5,000,000 (exclusive)				
NT\$5,000,000 ~ NT\$10,000,000 (exclusive)				
NT\$10,000,000 ~ NT\$15,000,000 (exclusive)				
NT\$15,000,000 ~ NT\$30,000,000 (exclusive)			Kuo-Tsun Hsu	Kuo-Tsun Hsu
NT\$30,000,000 ~ NT\$50,000,000 (exclusive)	Pin-Cheng Chen	Pin-Cheng Chen	Pin-Cheng Chen	Pin-Cheng Chen
NT\$50,000,000 ~ NT\$100,000,000 (exclusive)	Tien-Fu Lin	Tien-Fu Lin	Tien-Fu Lin	Tien-Fu Lin
More than NT\$100,000,000				
Total	11	11	11	11

* The basis of remuneration disclosed above is different to the basis required by the income tax law; hence the above table has been prepared solely for information disclosure, and not for tax purposes.

4. Remuneration to the President and Vice President

Unit: NTD thousand

Title	Name	Salary (A)		Pension (B)		Bonuses and allowances etc. (C)		Remuneration to employees (D)				The sum of A, B, C, and D as a percentage of after-tax net profit (%)		Remuneration from invested businesses other than the subsidiaries or parent company
		The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company	All companies contained in the financial report	The Company		All companies contained in the financial report (Note 5)		The Company	All companies contained in the financial report	
								Cash amount	Stock amount	Cash amount	Stock amount			
President	Kuo-Tsun Hsu	24,320	39,948	0	0	102,320	105,125	163	0	163	0	126,803 5.85%	145,236 6.70%	None
Executive Vice President	Ching-Jen Chen													
Senior Vice President	Li-Hua Yang													
Senior Vice President	Liang-Hui Yuan													
Senior Vice President	Chia-Ling Tsai													
Senior Vice President	Chien-Wan Lai													
Vice President	Ching-Yi Chang													
Vice President	Chun-Hao Chang													
Vice President	Feng-An Liu													
Vice President	Yu-Hung Chen													
Vice President	Shu-Hui Shih													

Vice President	Shih-Ming Lin													
Vice President	Ming-Wen Tsou													
Vice President	Hsin-Hsien Li													
(Yuanta Futures (Hong Kong) Limited) President	Chun-Hsing Jen													
(Yuanta Futures (Hong Kong) Limited) COO	Fu-Chi Hsieh													
Yuanta Global (Singapore) Company COO	Wen-Liang Chen													

Note: In the financial statements, the remunerations for all companies, including for Yuanta Futures Hong Kong and Yuanta Global (Singapore) Company, were converted at the exchange rate quoted as of 2024/12/31, i.e., HKD:TWD=1:3.9339 and SGD:TWD=1:24.1222.

5. Table of remunerations brackets to the President and Vice President

Unit: NTD

The brackets of remunerations to all Presidents and Vice Presidents of the Company	Names of the Presidents and the Vice Presidents	
	The Company	All companies contained in the financial report E
<NT\$1,000,000		
NT\$1,000,000 ~ NT\$2,000,000 (exclusive)		
NT\$2,000,000 ~ NT\$3,500,000 (exclusive)		
NT\$3,500,000 ~ NT\$5,000,000 (exclusive)		Fu-Chi Hsieh
NT\$5,000,000 ~ NT\$10,000,000 (exclusive)	Li-Hua Yang; Chia-Ling Tsai; Chien-Wan Lai; Ching-Yi Chang Chun-Hao Chang; Feng-An Liu; Shu-Hui Shih; Shih-Ming Lin Ming-Wen Tsou; Hsin-Hsien Li	Li-Hua Yang; Chia-Ling Tsai; Chien-Wan Lai; Ching-Yi Chang Chun-Hao Chang; Feng-An Liu; Shu-Hui Shih; Shih-Ming Lin Ming-Wen Tsou; Hsin-Hsien Li; Chun-Hsing Jen; Wen-Liang Chen
NT\$10,000,000 ~ NT\$15,000,000 (exclusive)	Yu-Hung Chen; Liang-Hui Yuan; Ching-Jen Chen	Yu-Hung Chen; Liang-Hui Yuan; Ching-Jen Chen
NT\$15,000,000 ~ NT\$30,000,000 (exclusive)	Kuo-Tsun Hsu	Kuo-Tsun Hsu
NT\$30,000,000 ~ NT\$50,000,000 (exclusive)		
NT\$50,000,000 ~ NT\$100,000,000 (exclusive)		
More than NT\$100,000,000		
Total	14	17

* The basis of remuneration disclosed above is different to the basis required by the income tax law; hence the above table has been prepared solely for information disclosure, and not for tax purposes.

6. Name of the managers received remuneration and the distribution of remuneration

Distribution base line date: July 8, 2024

Unit: NTD thousand; %

	Title	Name	Stock amount	Cash amount	Total	As a percentage of net profit after tax (%)
Manager	President	Kuo-Tsun Hsu	0	311	311	0.02
	Senior Vice President	Ching-Jen Chen				
	Senior Vice President	Chia-Ling Tsai				
	Senior Vice President	Min-Fang Wu				
	Senior Vice President	Chien-Wan Lai				
	Senior Vice President	Liang-Hui Yuan				
	Vice President	Ching-Fang Lin				
	Vice President	Ching-Yi Chang				
	Vice President	Chun-Hao Chang				
	Vice President	Feng-An Liu				
	Senior Assistant Vice President	Hsiu-Ling Chung				
	Senior Assistant Vice President	Yu-Hung Chen				
	Senior Assistant Vice President	Hui-Ching Lu				
	Senior Assistant Vice President	Wei-Ching Chien				
	Senior Assistant Vice President	Shu-Hui Shih				
	Senior Assistant Vice President	Shu-Fen Kung				
	Senior Assistant Vice President	Hsin-Hsien Li				
	Assistant Vice President	Tung-Chin Li				
	Assistant Vice President	Ming-Wen Tsou				
	Senior Manager	Yu-ting Wu				
	Senior Manager	Li-Li Lin				
	Senior Manager	Chia-Hui Hu				
	Senior Manager	Yu-Chen Lin				
	Manager	Yi-Chung Hsu				
	Assistant Vice President	Sheng-Wei Wu				
	Senior Assistant Vice President	Tsung-Hsiang Chen				
	Assistant Vice President	Chen-Ling Hsu				
	Assistant Vice President	Keng-Shuo Ho				

(II) The total remunerations to the directors, presidents, and vice presidents of the Company and the companies in the consolidated financial statements in the last 2 years in proportion to the corporate earnings of individual entities or individual financial statements and the analysis and description of the policy, standard, and combination, decision-making procedure of the remunerations, and the association with operation performance and risks of the future:

1. Analysis and interpretation of the total remunerations of directors, general managers, and vice presidents accounted for the net income on entities' or separate financial statements.

Unit: NTD thousand; percentage

Year	After-tax net profit	Directors' remuneration	Directors' remuneration as a percentage of after-tax net profit	President's and Vice Presidents' remuneration	President's and Vice Presidents' remuneration as a percentage of after-tax net profit
2023	1,852,719	123,058	6.64	84,450	4.56
2024	2,166,896	160,225	7.39	145,236	6.70

2. Policies, standards, packages, and procedures at which remunerations were made, and their association with business performance and risks

(I) Director (including Independent Director)

A. Directors and Independent Directors

The traveling expenses and attendance fees of the Company's directors are calculated in accordance with the "Regulations Governing Payment for Traveling Expenses and Attendance Fees of Directors of Yuanta Futures Co., Ltd." The allowance for traveling expenses of each director is NT\$8,000 per month, and the attendance fees is NT\$8,000 per time. The remuneration of the Company's directors shall be handled in accordance with Article 27 of the Company's Articles of Incorporation. The remuneration of independent directors shall be determined for a fixed amount to be paid on a monthly basis in order to avoid direct or indirect interest conflict of interest against the Company.

B. Chairman and Vice Chairman

The salary of the Chairman and Vice Chairman shall be paid in accordance with the Company's Articles of Incorporation for an amount equivalent to 50%–200% of the salary of the President. The actual percentage or multiple of the salary shall be determined by the Remuneration Committee and the resolution of the Board of Directors. The other remunerations and benefits of the Chairman and Vice Chairman shall be determined by the Remuneration Committee and the Board of Directors after considering the personal performance, corporate operational performance, and the reasonableness of future risks; also, taking into account the general remuneration standard of the industry. In addition, the resignation and retirement payment to the Chairman and Vice Chairman is to be determined in accordance with the Company's Articles of Incorporation and the pension plan for the Chairman and Vice Chairman. The Board of Directors is authorized to have it determined depending on their participation in the Company's business operation, their contribution, and the general remuneration standard of the industry.

(2) President and Managers

According to Article 26 of Chapter 4 of the Company's Articles of Incorporation, the Company has one President and several managerial officers appointed whose appointment, dismissal, and remuneration shall be handled in accordance with Article 29 of the Company Act. The appointed President and managerial officers are to manage the Company in accordance with the decisions of the board of directors and relevant laws and regulations comprehensively. The President is to set the annual work objectives and performance evaluation index in accordance with the Company's mid-term and long-term operational strategies and annual operational plan; also, have them reviewed regularly to fulfill the Company's strategic goals, improve the overall business performance, and increase the return on shareholders' equity.

A. Objectives setting

The company formulates annual operating objectives and business plans in accordance with the Group's overall business strategies and business development attributes.

The President and managers have personal annual work objectives formulated as the basis for performance evaluation in three aspects "policy requirements," "self-reporting," and "designated projects" according to the company's strategic objectives (including sustainable development goals), the company's charter, and the job responsibilities defined in the "Regulations Governing the Investment Businesses."

The content of "self-reporting" should include the following three categories:

I. Departmental key tasks

It is to review and evaluate the connection and achievement of the department business and the company's mid-term and long-term business strategy (including sustainable development goals) and annual operational objectives, such as: the planning and implementation effectiveness of project tasks, sustainable development project implementation effectiveness, implementation effectiveness of job assignment, etc.

II. Operation management

It is to review and measure the management capabilities of department heads in planning, organization, leadership, and control, such as: business innovation, work quality, teamwork, review and enhancement of core competence, establishment and management of rules and regulations, and improvement of information systems and operating procedures.

III. Talent management

It is to review and evaluate the management capabilities of department heads in selecting, educating, applying, and retaining talents, such as departmental annual training plan and execution, task assignment and work instruction, cultivation and development of core talents, and team morale motivation.

"Designated projects" refer to the required work objectives for the President and managers, including "successors training," "internal control system management," "law compliance," and "fair hospitality."

B. Performance evaluation

According to the Company's performance evaluation rules, for the purpose of substantiating the Company's strategy and enhancing the organizational efficiency, the Company conducts mid-term and yearend performance evaluation routinely through the performance management mechanism of setting objectives

at the beginning of the year, tracking improvement in the middle of the year, and reviewing and evaluating the performance at the yearend. The performance evaluation is conducted in accordance with the job objectives and performance indicators of the President and the managerial officers so to evaluate the job performance of the President and managerial officers within the year.

The performance evaluation results are divided into 5 categories (ratings 5–1)

Rating	Description
5	Outstanding performance, exceeding expectations
4	Slightly above the standard, occasionally performs outstandingly
3	Meet expectations and achieve work objectives
2	Below expectations, needs improvement
1	Far below expectations, unqualified performance

The performance evaluation results of the President and managers and the corresponding performance bonuses shall be submitted to the Remuneration Committee for deliberation and the board of directors for resolutions.

C. Connection of remuneration policy, business performance, and future risks

The President's work objectives shall include the following two categories:

I. Implementation of annual operating objectives

It is used to assess the implementation effectiveness of annual operating objectives (including sustainable development objectives) and business plans, such as: operating income, net income, return on shareholders' equity, and other important operating data.

II. Deployment and promotion of mid-term and long-term strategic objectives

It is to evaluate the planning of mid-term and long-term strategic objectives and execution capabilities, such as: research and development of sustainable financial products, enhancement of core competence, reformation of operating models, improvement of asset quality, adjustment of income structure, upgrade of customer loyalty, etc.

The aforementioned two job objectives are the main reference for the performance evaluation and bonus distribution of the President. The President's annual remuneration also depends on his/her contribution to the achievement of the Company's overall operation management and business performance. There is a positive correlation between the remuneration amount paid to the President and his/her contribution to the achievement of the Company's overall operation management and business performance.

The company values managers' contributions and value creation to the company. Managers shall have their annual work objectives planned according to their job duties, including mutual support, selection and cultivation of successors, compliance with law and regulations, internal control systems and fair treatment of customer policy, etc. The policies, system, standard, and structure of managers' remuneration are to be reviewed by the Remuneration Committee and then the level of their remuneration is to be resolved by the board of directors.

Due to the consideration of the Company's operational performance and risk factors, in order to ensure and respond to future risk-adjusted profits, it is proposed to have the

distribution of variable bonuses to the President and managerial officers deferred. A certain percentage of the variable remuneration of the President and managerial officers shall be appropriated and deposited in the form of a 1-year savings-shareholding trust. If the Company's goodwill is affected by the occurrence of other major risk events, the Company may have the bonus reduced or not paid depending on the seriousness of the loss of goodwill. The President and managerial officers are expected to share the future risks with the Company and work towards the on-going concern of the Company.

Remuneration packages generally comprise of base salary, allowances, and bonuses with additional benefits such as annual leaves, insurance etc at reasonable costs. The company has included operating performance and risk management in the overall remuneration strategy and positioning in order to have employees' personal work goals and the company's business objectives and shareholders' interests integrated closely, and to attract outstanding talents to work for the company. The company has also designed a remuneration policy that is performance-oriented and is not inferior to the market level. The idea is to have the company's operating results and individual performance closely integrated in order to create the common interests of individuals, the company, and shareholders for a three-win situation.

(III) Repatriation as consultants/advisors of retired chairpersons and presidents.

No retired chairpersons and presidents have been repatriated as consultants/advisors.

(IV) Does the company make succession planning for BOD members and important management? How does the plan work?

1. Board directors

A nomination system is adopted for the election of the company's board directors. Shareholders are to recommend the director candidates in accordance with the law. The board candidates are to be resolved in the board meeting and selected in the shareholders' meeting.

For achieving the goal of forming a profound board of directors, the company's plans for successors shall not only meet the requirements of the law, but also based on the company's business development direction and mid-term and long-term strategic objectives; also, comprehensively consider the professional knowledge, skills, experience, and gender required in the board members to seek suitable candidates that are with diverse backgrounds and meet the standards of independence. The succeeding directors of the company, in addition to possessing diversified professional knowledge and skills (such as law, accounting, industry, finance, marketing, or science and technology), and industry experience, should have overall abilities including operational judgment, accounting and financial analysis, business management, crisis management, industry knowledge, international market outlook, leadership, decision-making, and risk management knowledge and ability.

Every year the Company plans extension education courses in relation to corporate governance with respect to the "Corporate Governance Best Practice Principles for TWSE/TPEX Listed Companies", "Yuanta Futures Co., Ltd. Governance Best Practice Principles", and the "Yuanta Futures Co., Ltd. Regulations for Extension Education of Directors", and in consideration of the changes within and outside of the company, the organizational development needs and the director's expertise, in order to help directors become enriched in the information required by directors and improve their performance in duty implementation.

Overall, for the company's succeeding directors, in addition to the annual performance evaluation for reference in selecting future directors, the company also recruits appropriate professionals externally and reserves talents for future recruitment by training and educating the directors and the management of the company and the Group so to reserve "professionalism" and "inheritance," to form a profound board of directors, and

to lay a solid foundation for the sustainable operation of the company taking as a whole.

The management team of the company is obliged to attend the board meeting and related meetings in order to get familiar with the operation of the said meetings; also, have a considerable degree of professional knowledge and ability in the formulation and development of the company's strategy, the supervision and implementation of internal control and compliance with law and regulations, and the control and response of risk management.

2. Important management

The company has established a deputy system for leaders of all levels to train and cultivate high-level talents, effectively implement succession plans, and enhance the leadership and knowledge of the company's leaders at all levels. Through intensive internal talent cultivation and internal promotion policies, we effectively cohere the organization commitment of employees, lower the employee turnover rate, and facilitate organizational performance improvement.

III. Corporate governance

(I) Functionality of the Board of Directors

16 Board of Directors meetings were held in the latest year (2024); Directors' and Independent Directors' attendance are listed below:

Title	Name (Note 1)	Actual attendance (B)	Proxy Attendance	Percentage of actual attendance (%) [B/A] (Note 2)	Remarks
Chairman	Yuanta Financial Holdings Co., Ltd. Representative: Tien-Fu Lin	16	0	100%	Re-election; re-election date on May 27, 2024
Director	Yuanta Financial Holdings Co., Ltd. Representative: Pin-Cheng Chen	16	0	100%	Re-election; re-election date on May 27, 2024
Director	Yuanta Financial Holdings Co., Ltd. Representative: Kuo-Tsun Hsu	16	0	100%	Re-election; re-election date on May 27, 2024
Director	Yuanta Financial Holdings Co., Ltd. Representative: Mei-Ling Kuo	16	0	100%	Re-election; re-election date on May 27, 2024
Director	Yuanta Financial Holding Co., Ltd. Representative: Chien-Hua Wu	9	1	90%	Newly elected; re-election date on May 27, 2024, there will be 10 board meetings held during the tenure.
Director	Yuanta Financial Holding Co., Ltd. Representative: Yung-Chu Su	10	0	100%	Newly elected; re-election date on May 27, 2024, there will be 10 board meetings held during the tenure.
Former Director	Yuanta Financial Holding Co., Ltd. Representative: Wei-Chen Chang	6	0	100%	Former director: The dismissal date was May 27, 2024. There were 6 meetings convened during the tenure.
Former Director	Yuanta Financial Holdings Co., Ltd. Representative: Wen-Ching Chiu	6	0	100%	Former director: The dismissal date was May 27, 2024. There were 6 meetings convened during the tenure.
Independent Director	Yu-Chun Wu	16	0	100%	Re-election; re-election date on May 27, 2024
Independent Director	Hui-Erh Yuan	16	0	100%	Re-election; re-election date on May 27, 2024
Independent Director	An-Pin Chen	16	0	100%	Re-election; re-election date on May 27, 2024
Other remarks:					

- I. For the operation of the Board of Directors in any of the following circumstances, please specify the date, term, the contents of the proposals, the opinions of all independent directors, and the process of the opinions proposed by the independent directors:
- (I) Matters under Article 14~3 of the Securities and Exchange Act: Where the Company has duly set up the Audit Committee, matters set forth under Article 14~5 of the Securities and Exchange Act are no longer applicable.
- (II) Except for the aforementioned matters, the resolutions reached by the Board of Directors with the objections or reservations of the independent directors documented or declared in writing: None.
- II. With respect to the avoidance of conflicting interest agendas, describe the names of directors, details of the relevant agendas, reasons for avoiding conflicting interest, and the voting decisions:

Board of Directors Meeting Date	Name of director	Agenda	Reasons for avoiding conflicting interests	Voting decision
January 31, 2024	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu and Independent Director An-Bin Chen, are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu and Independent Director An-Bin Chen related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Director Kuo-Tsun Hsu	It is to resolve the group performance bonus of the chairman, vice chairman, president, and other senior executives of the company.	Chairman, Tien-Fu Lin, Vice Chairman Pin-Cheng Chen and Director, Kuo-Tsun Hsu are the related party in the case.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen and Director Kuo-Tsun Hsu related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Yu-Chun Wu. The issue was duly passed without objection.

April 10, 2024	<p>Chairman Tien-Fu Lin</p> <p>Vice Chairman Pin-Cheng Chen</p> <p>Independent Director Yu-Chun Wu</p> <p>Independent Director, Hui-Erh Yuan</p> <p>Independent Director An-Bin Chen</p> <p>Director Kuo-Tsun Hsu</p> <p>Director Mei-Ling Kuo</p>	The 12th board director (including independent directors) candidate list.	<p>Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director Hui-Erh Yuan, Independent Director An-Bin Chen, Director Kuo-Tsun Hsu and Director Mei-Ling Kuo are the related party in the case.</p>	<p>Directors with conflicts of interest provided written explanations of the key aspects of their personal conflicts during the meeting and did not participate in the related discussions or voting. The remaining directors in attendance approved the inclusion of these individuals in the list of director and independent director candidates to be presented for election at the shareholders' meeting. The voting results for each candidate are as follows:</p> <p>Six individuals included in the director candidate list:</p> <p>Yuanta Financial Holding Co., Ltd. Representative</p> <p>Mr. Tien-Fu Lin: Except for the individual who recused themselves from the discussion and voting, all other attending directors approved the inclusion in the "Director Candidate List."</p> <p>Mr. Pin-Cheng Chen: Except for the individual who recused themselves from the discussion and voting, all other attending directors approved the inclusion in the "Director Candidate List."</p> <p>Mr. Kuo-Tsun Hsu: Except for the individual who recused themselves from the discussion and voting, all other attending directors approved the inclusion</p>
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				<p>in the “Director Candidate List.”</p> <p>Ms. Mei-Ling Kuo: Except for the individual who recused themselves from the discussion and voting, all other attending directors approved the inclusion in the “Director Candidate List.”</p> <p>Mr. Chien-Hua Wu: Unanimously approved by all attending directors and included in the “Director Candidate List.”</p> <p>Ms. Yung-Chu Su: Unanimously approved by all attending directors and included in the “Director Candidate List.”</p> <p>Three individuals included in the independent director candidate list:</p> <p>Mr. Yu-Chun Wu: Except for the individual who recused themselves from the discussion and voting, all other attending directors approved the inclusion in the “Director Candidate List.”</p> <p>Ms. Hui-Erh Yuan: Except for the individual who recused themselves from the discussion and voting, all other attending directors approved the inclusion in the “Director Candidate List.”</p> <p>Mr. An-Pin Chen: Except for the individual who recused themselves from the discussion and voting, all other</p>
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				attending directors approved the inclusion in the “Director Candidate List.”
	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen	Proposal for lifting competition restrictions on the Company’s new directors.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu and Independent Director An-Bin Chen, are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu and Independent Director An-Bin Chen related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Chairman Tien-Fu Li. The issue was duly passed without objection.
	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu and Independent Director An-Bin Chen, are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu and Independent Director An-Bin Chen related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
May 8, 2024	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen	Regarding donations to the Ministry of Health and Welfare’s disaster relief fund in response to the Hualien earthquake.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen and Director Wen-Ching Chiu, are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen and Director Wen-Ching Chiu related parties, withdrew from conflict involvement (recusal) and from the

	Director, Wen-Ching Chiu			discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
May 14, 2024	Director Kuo-Tsun Hsu	Amidst evaluation on a regular basis, we duly work out the salaries and remuneration for the Company's managerial officers.	Director, Kuo-Tsun Hsu is the related party in the case.	Director, Kuo-Tsun Hsu, a stakeholder, was excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.
May 27, 2024	Independent Director, Yu-Chun Wu; Independent Director, Hui-Erh Yuan, Independent Director, An-Pin Chen	It is regarding the appointment of the Company's 12th "Remuneration Committee" members.	Independent Director, Yu-Chun Wu; Independent Director, Hui-Erh Yuan; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director, Hui-Erh Yuan and Independent Director An-Bin Chen are stakeholders, and were excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.
	Director, Yung-Chu Su	Regarding the Matter of Lifting Director Concurrent Position Restrictions for the Company	Director, Yung-Chu Su is the related party in the case.	Director, Yung-Chu Su, a stakeholder, was excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.

June 5, 2024	<p>Chairman Tien-Fu Lin</p> <p>Vice Chairman Pin-Cheng Chen</p> <p>Independent Director Yu-Chun Wu</p> <p>Independent Director An-Bin Chen</p> <p>Director, Chien-Hua Wu</p> <p>Director, Yung-Chu Su</p>	<p>This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.</p>	<p>Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen, Independent Director Chien-Hua Wu, Director Yung-Chu Su are the related party in the case.</p>	<p>Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen, Director Chien-Hua Wu and Director Yung-Chu Su related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.</p>
June 26, 2024	<p>Chairman Tien-Fu Lin</p> <p>Vice Chairman Pin-Cheng Chen</p> <p>Independent Director Yu-Chun Wu</p> <p>Independent Director, Hui-Erh Yuan</p> <p>Independent Director An-Bin Chen</p> <p>Director Kuo-Tsun Hsu</p> <p>Director Mei-Ling Kuo</p> <p>Director, Chien-Hua Wu</p> <p>Director, Yung-Chu Su</p>	<p>Amidst evaluation on a regular basis, we duly work out the salaries and remuneration for the Company's directors.</p>	<p>Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director Hui-Erh Yuan, Independent Director An-Bin Chen, Director Kuo-Tsun Hsu, Director Mei-Ling Kuo, Director Chien-Hua Wu, and Director Yung-Chu Su are the related party in the case.</p>	<p>This case is being conducted through separate voting: (1) Regarding the remuneration for general directors (excluding independent directors): Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Director Kuo-Tsun Hsu, Director Mei-Ling Kuo, Director Chien-Hua Wu, and Director Yung-Chu Su have conflicts of interest in this case and have voluntarily recused themselves from participating in the discussion and voting on this separate portion of the case. Chairman Tien-Fu Lin, as the presiding chair, has delegated Independent Director Yu-Chun Wu to serve as the acting chair for the discussion and voting on this case. The remaining independent directors in attendance, after</p>

				<p>being consulted by the acting chair</p> <p>Independent Director Yu-Chun Wu, have agreed to approve the case as proposed. (2)</p> <p>Regarding the remuneration for independent directors: Independent Director Yu-Chun Wu, Independent Director Hui-Erh Yuan, and Independent Director An-Bin Chen have conflicts of interest in this case and have voluntarily recused themselves from participating in the discussion and voting on this separate portion of the case. The remaining directors in attendance, after being consulted by the chair of this case, have unanimously approved the case as proposed without objection.</p>
July 31, 2024	Director, Yung-Chu Su	Regarding the Matter of Lifting Director Concurrent Position Restrictions for the Company	Director, Yung-Chu Su is the related party in the case.	Director, Yung-Chu Su, a stakeholder, was excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.
	<p>Chairman Tien-Fu Lin</p> <p>Vice Chairman Pin-Cheng Chen</p> <p>Independent Director Yu-Chun Wu</p> <p>Independent Director An-Bin Chen</p> <p>Director, Chien-Hua Wu</p>	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen, Independent Director Chien-Hua Wu, Director Yung-Chu Su are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen, Director Chien-Hua Wu and Director Yung-Chu Su related parties, withdrew from conflict involvement (recusal) and from the discussion and voting

	Director, Yung-Chu Su			process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Director Kuo-Tsun Hsu	The proposal for the performance bonus of the Company's Chairman, Vice Chairman, President, Executive VP, and other senior executives is submitted for review and discussion.	Chairman, Tien-Fu Lin, Vice Chairman Pin-Cheng Chen and Director, Kuo-Tsun Hsu are the related party in the case.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen and Director Kuo-Tsun Hsu related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Yu-Chun Wu. The issue was duly passed without objection.
September 25, 2024	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen Director, Chien-Hua Wu Director, Yung-Chu Su	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen, Independent Director Chien-Hua Wu, Director Yung-Chu Su are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen, Director Chien-Hua Wu and Director Yung-Chu Su related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
November 27, 2024	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen, Independent Director	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen, Director Chien-Hua Wu and

	<p>Wu Independent Director An-Bin Chen</p> <p>Director, Chien-Hua Wu</p> <p>Director, Yung-Chu Su</p>	self-regulatory objects and the transactions linked to the underlying subject.	Chien-Hua Wu, Director Yung-Chu Su are the related party in the case.	Director Yung-Chu Su related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
December 18, 2024	Director Kuo-Tsun Hsu	It is for matters related to the stipulation of the Company's "Rules governing cash capital increase and employee stock subscription in 2024."	Director, Kuo-Tsun Hsu is the related party in the case.	Director, Kuo-Tsun Hsu, a stakeholder, was excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.
December 23, 2024	<p>Vice Chairman Pin-Cheng Chen</p> <p>Director Kuo-Tsun Hsu</p>	Regarding the Matter of Issuing a Written Letter of Responsibility to the Monetary Authority of Singapore for the Subsidiary Yuanta Global (Singapore) Limited.	Vice Chairman Pin-Cheng Chen and Director Kuo-Tsun Hsu are the related party in the case.	Vice Chairman Pin-Cheng Chen and Director Kuo-Tsun Hsu are stakeholder, was excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.
	Director Kuo-Tsun Hsu	Issues for audit plans in 2025.	Director, Kuo-Tsun Hsu is the related party in the case.	Director, Kuo-Tsun Hsu, a stakeholder, was excused from the discussion and votes to avoid the conflict of interest. All other directors present in the meeting acted in favor of the motion as stated in common consent after the inquiry of the chairman of the meeting.

January 21, 2025	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen Director, Chien-Hua Wu Director, Yung-Chu Su	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen, Independent Director Chien-Hua Wu, Director Yung-Chu Su are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen, Director Chien-Hua Wu and Director Yung-Chu Su related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Independent Director Yu-Chun Wu Independent Director An-Bin Chen Director, Chien-Hua Wu Director, Yung-Chu Su	In response to stakeholders planning to participate in the public offering of ordinary shares through cash capital increase and the related matters in 2024.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, Independent Director Yu-Chun Wu, Independent Director An-Bin Chen, Independent Director Chien-Hua Wu, Director Yung-Chu Su are the related party in the case.	Chairman, Tien-Fu Lin; Vice Chairman, Pin-Cheng Chen, Independent Director, Yu-Chun Wu, Independent Director An-Bin Chen, Director Chien-Hua Wu and Director Yung-Chu Su related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at all in response to the inquiry by Independent Director, Hui-Erh Yuan. The issue was duly passed without objection.
	Chairman Tien-Fu Lin Vice Chairman Pin-Cheng Chen Director Kuo-Tsun Hsu	The proposal for the performance bonus of the Company's Chairman, Vice Chairman, President, Executive VP, and other senior executives is submitted for review and	Chairman, Tien-Fu Lin, Vice Chairman Pin-Cheng Chen and Director, Kuo-Tsun Hsu are the related party in the case.	Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen and Director Kuo-Tsun Hsu related parties, withdrew from conflict involvement (recusal) and from the discussion and voting process. All other present directors voiced no objection at

		discussion.		all in response to the inquiry by Independent Director, Yu-Chun Wu. The issue was duly passed without objection.
III. TWSE/TPEx Listed Companies shall disclose assessment cycles, periods, scope, methods, and contents for self or peer evaluation of the board of directors and record relevant details.				
(I)				
Evaluation cycle (Note)	At least once every three years			
Evaluation duration (Note 2)	November 1, 2021 ~ October 31, 2022			
Evaluation scope (Note 3)	Board of Directors			
Evaluation Method (Note 4)	Appoint an external professional organization (Taiwan Corporate Governance Association) Taiwan Corporate Governance Association, an independent professional corporate governance counseling and evaluation organization, has launched corporate governance system evaluation and assessment services since 2005 with more than 300 companies served that engaged in all types of industries, public enterprises, TWSE/TPEx listed companies, and general public offerings and non-public offering companies with different equity structures and combinations of board members. Taiwan Corporate Governance Association and the “Self-Evaluation or Peer Evaluation of the Board of Directors” executive team have no business dealings with the company. The team is organized by three independent executive members and two evaluation specialists. They refer to the information on the implementation of various indicators provided by the company and public information; they also perform on-site interviews with relevant members, to have an evaluation report issued.			
Evaluation content (Note 5)	Eight aspects: I. Composition of the board of directors II. Guidance of the board of directors III. Authorization of the board of directors. IV. Supervision of the board of directors V. Communication of the board of directors VI. Internal control and risk management VII. Self-discipline of the board of directors. VIII. Others, such as board meetings, support systems, etc. Evaluation, suggestions, and the company’s improvement plan and progress: I. The company has formulated the “Regulations Governing the Implementation of Whistleblowing System,” established a whistleblower mailbox, designated the Legal Compliance Department to handle the reported incidents; also, the Audit Office is to investigate the reported incidents. Furthermore, the Audit Committee can receive them simultaneously, but the actual implementation practice has not been included in the relevant internal specifications. The company is recommended to further enhance the existing whistleblower mechanism; also, to incorporate the process of having emails received by independent directors and the processing units simultaneously into the “Regulations Governing the Implementation of Whistleblowing System” in order to ensure that such mechanism has been operated effectively. Improvement plan and implementation: The “Regulations Governing the Implementation of Whistleblowing System” will be reported to the board of directors in March in accordance with the suggestions of Taiwan Corporate Governance Association. II. The company had conducted the performance assessment of the board of directors and functional committees in accordance with the internal regulation “Rules for Performance Assessment of the Board of Directors and Functional Committees.” All board directors rendered a positive confirmation on the assessment results. A suggestion is proposed to			

	<p>the company to review the design of the performance assessment questionnaire for the board of directors and functional committees in order to substantiate the “spirit of accountability” of the board of directors, to reflect the sufficient guidance and supervision of the board of directors more effectively, and to facilitate the review and summary of the refined action plans at the same time.</p> <p>Corrective action plan and implementation: The company will review the rationality of the performance assessment questionnaires of the board of directors and functional committees occasionally in the future with dynamic revisions implemented. In addition, the company will make appropriate adjustments and improvements based on the opinions and feedback of the board of directors.</p>
(II)	
Evaluation cycle (Note)	At least once every year
Evaluation duration (Note 2)	January 1, 2024 to December 31, 2024
Evaluation scope (Note 3)	<p>Board of directors, functional committees, and individual board director</p> <p>The measurement items for the performance evaluation of the board of directors include the following five aspects:</p> <ol style="list-style-type: none"> 1. The level of participation in the company’s operations. 2. Improvement of the decision-making quality of the board of directors. 3. Composition and structure of the board of directors. 4. Election and continuous education of directors. 5. Internal control. <p>Board members (for Themselves or Peers) performance evaluation criteria should include the following six aspects:</p> <ol style="list-style-type: none"> 1. Mastering the company’s goals and tasks. 2. Cognition of the responsibilities of the directors. 3. The level of participation in the company’s operations. 4. Internal relationship management and communication. 5. Professionalism and continuing education of directors. 6. Internal control. <p>The measurement items for the performance evaluation of functional committee include the following five aspects:</p> <ol style="list-style-type: none"> 1. The level of participation in the company’s operations. 2. Recognition of responsibilities of functional committee. 3. Improve the decision-making quality of functional committees. 4. Composition of functional committee and the selection of committee members. 5. Internal control.
Evaluation Method (Note 4)	Self-evaluation of the board of directors, self-evaluation of functional committees, and self-evaluation of individual board director
Evaluation content (Note 5)	<p>The evaluation result of the 2024 board of directors and functional committee’s self-evaluation operation is based on the “Performance Evaluation of the Board of Directors and Functional Committee of Yuanta Futures Co., Ltd.”. The relevant evaluation results have been reported in the 11th meeting of the 12th term on January 21, 2025.</p> <p>I. The “Questionnaire of Self-Evaluation of Performance of the Board”: It includes six aspects and 48 evaluation items that are performed by 9 directors (including independent directors).</p> <p>Statistical results:</p> <ol style="list-style-type: none"> 1. The level of participation in the company’s operations (12 questions in total): Directors and independent directors gave positive evaluations. 2. Improvement of the decision-making quality of the board of directors (12 questions in total): Both directors and independent directors gave positive evaluations. 3. Composition and structure of the board of directors (7 questions in total): Both directors and independent directors gave positive evaluations. 4. Election and continuous education of directors (7 questions in total): Both directors and independent directors gave positive evaluations. 5. Internal control (7 questions in total): Both directors and independent directors gave positive evaluations.

	<p>6. The level of participation in ESG sustainable development (3 questions in total): Directors and independent directors gave positive evaluations. Overall evaluation results: Nine directors (including independent directors) gave positive evaluations.</p> <p>II. “Questionnaire of Self-Evaluation of Performance of Board Members (for Themselves or Peers)”: It includes six aspects and 27 evaluation items that are performed by 9 directors (including independent directors). Statistical results</p> <ol style="list-style-type: none"> 1. Mastering the company’s goals and tasks (4 questions in total): Both directors and independent directors gave positive evaluations. 2. Cognition of the responsibilities of the directors (6 questions in total): Both directors and independent directors gave positive evaluations. 3. The level of participation in the company’s operations (8 questions in total): Directors and independent directors gave positive evaluations. 4. Internal relationship management and communication (3 questions in total): Both directors and independent directors gave positive evaluations. 5. Professional and continuous education of directors (3 questions in total): Both directors and independent directors gave positive evaluations. 6. Internal control (3 questions in total): Both directors and independent directors gave positive evaluations. <p>Overall evaluation results: Nine directors (including independent directors) gave positive evaluations.</p> <p>III. “Questionnaire of Self-Evaluation of Performance of the Audit Committee”: It includes five major aspects and 34 evaluation items that are performed by 3 members. Statistical results</p> <ol style="list-style-type: none"> 1. The level of participation in the company’s operations (9 questions in total): The committee members all gave positive evaluations. 2. Cognition of the responsibilities of the Audit Committee (5 questions in total): The committee members all gave positive evaluations. 3. Improvement of the decision-making quality of the Audit Committee (8 questions in total): The committee members all gave positive evaluations. 4. The composition of the Audit Committee and the election of members (5 questions in total): The committee members all gave positive evaluations. 5. Internal control (7 questions in total): The committee members all gave positive evaluations. <p>Overall evaluation results: All three members gave positive evaluations.</p> <p>IV. “Questionnaire of Self-Evaluation of the Remuneration Committee”: It includes five major aspects and 26 evaluation items that are performed by 3 members. Statistical results</p> <ol style="list-style-type: none"> 1. The level of participation in the company’s operations (5 questions in total): The committee members all gave positive evaluations. 2. Cognition of the responsibilities of the Remuneration Committee (7 questions in total): The committee members all gave positive evaluations. 3. Improvement of the decision-making quality of the Remuneration Committee (8 questions in total): The committee members all gave positive evaluations. 4. The composition of the Remuneration Committee and the election of members (4 questions in total): The committee members all gave positive evaluations. 5. Internal control (2 questions in total): The committee members all gave positive evaluations. <p>Overall evaluation results: All three members gave positive evaluations.</p> <p>V. Summary The current performance evaluation results show that all directors (including independent directors) gave positive evaluations on the efficiency and operation of the board of directors and functional committees. The board directors and functional committee members have the “involvement in the company’s operation,” “director’s awareness of responsibilities,” “quality of meeting resolutions,” “education and training and professional development,” “management of the internal control system” evaluated and concluded to be functioned satisfactorily.</p>
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Note 1: Please fill out the execution cycle of the board evaluation, for example: Once a year.

Note 2: Please fill out the board evaluation period, for example: Evaluating the performance of the board of directors

in the period from January 1, 2024 to December 31, 2024.

Note 3: The scope of performance assessment covers the board of directors, individual directors and functional committees.

Note 4: The methods of assessment include board internal self-assessment, director self-assessment, peer assessment, external institution assessment, external expert assessment, and other appropriate methods for performance assessment.

Note 5: The contents of evaluation according to the evaluation scope includes at least the following items:

- (1) Performance evaluation of the board of directors: It includes at least “the level of participation in the company’s operations,” “the board’s decision-making quality,” “the composition and structure of the board of directors,” “the election and continuous study of directors,” “internal control,” etc.
- (2) Performance evaluation of individual director: It includes at least “mastering the company’s goals and tasks,” “cognition of the responsibilities of the directors” “the level of participation in the company’s operations,” “internal relationship management and communication,” “professionalism and continuing study of directors,” “internal control,” etc.
- (3) Performance evaluation of functional committees: It includes “the level of participation in the company’s operations,” “cognition of the responsibilities of the functional committees,” “the decision-making quality of the functional committees,” “the composition of the functional committees and the election of members,” “internal control,” etc.

IV. Enhancements to the functionality of the Board of Directors in the current and the most recent year (e.g. the establishment of an Audit Committee, improving information transparency etc), and the progress of such enhancements.

- (I) The Company not only arranged self-audit on a regular basis for its directors, the board, and the Audit Committee to enhance the efficiency and effectiveness of its operation, but also submitted to the Audit Committee and the board a report on actions taken by personnel of self-audit, legal compliance, and risks management to be consistent with the provisions of the Competent Authority.
- (II) The Company has appointed designated personnel to disclose relevant information and materiality as required by the competent authority in Chinese and English in MOPS for announcement. In addition, the Company has also disclosed the continuing education of the directors and independent directors, their attendance to Board meetings, Audit Committees, Remuneration Committee, and remunerations in MOPS.

Note 1: If Directors is corporate entities, then the names of corporate shareholders and their representatives must be provided.

Note 2: (1) The date of resignation must be specified for Directors who had resigned prior to the close of the financial year. The percentage of actual attendance (%) should be calculated based on the number of Board of Directors meeting held during active duty and the number of actual attendance.

- (2) If a re-election of Directors had taken place prior to the close of the financial year, Directors/Supervisors of both the previous and the current term must be listed; the remarks column must address the re-election date and whether the Director was elected in the previous term, the new term, or both. The percentage of actual attendance (%) is calculated based on the number of board of directors meetings held during active duty and the actual attendance.

(II) The operation of the Auditing Committee:

The Auditing Committee has convened for 16 times (A) in the most recent year (2024). The attendance of the independent directors is shown below:

Title	Name	Actual attendance (B)	Proxy Attendance	Percentage of actual attendance (%) (B/A) (Note 1, Note 2)	Remarks
Independent Director	Yu-Chun Wu	16	0	100	Re-election; re-election date on May 27, 2024
Independent Director	Hui-Erh Yuan	16	0	100	Re-election; re-election date on May 27, 2024
Independent Director	An-Pin Chen	16	0	100	Re-election; re-election date on May 27, 2024

Other remarks:

- I. For the operation of the Audit Committee in any of the following circumstances, please specify the date, term, the contents of the proposals, the resolution of the Audit Committee, and the process of the opinions proposed by the Audit Committee:
- (I) On issues stated in Article 14-5 of the Securities and Exchange Act:
- On January 24, 2024, the 42nd Meeting of the 11th Audit Committee was duly convened.
 - Regarding the independence, audit quality index evaluation, appointment, and remuneration matters of the company's 2024 independent auditors
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 37th meeting of the 11th board of directors convened on January 31, 2024.
 - This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.
The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 37th meeting of the 11th board of directors convened on January 31, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.
 - On February 27, 2024, the 43rd Meeting of the 11th Audit Committee was duly convened.
 - The Company's consolidated individual and financial statements for the year 2023.
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 38th meeting of the 11th board of directors convened on February 27, 2024.
 - The Company's earnings distribution in 2023.
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 38th meeting of the 11th board of directors convened on February 27, 2024.

- ③ Amendment of the revision of the “Internal Control System” and the “Enforcement Rules of Internal Audit” of the Company.
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 38th meeting of the 11th board of directors convened on February 27, 2024.
- ③ The Company's 2023 “Anti-Money Laundering and the Combating the Financing of Terrorism & Declaration of Internal Control Policies”.
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 38th meeting of the 11th board of directors convened on February 27, 2024.
- ③ The Company's 2023 “Declaration of Internal Control Policies”.
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 38th meeting of the 11th board of directors convened on February 27, 2024.
3. On April 10, 2024, the 45th Meeting of the 11th Audit Committee was duly convened.
- ③ Regarding lifting the non-compete clause against the company’s new independent directors
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 40th meeting of the 11th board of directors convened on April 10, 2024.
- ③ This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.
The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 40th meeting of the 10th board of directors convened on April 10, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.
4. On May 8, 2024, the 47th Meeting of the 11th Audit Committee was duly convened.
- ③ The Company’s consolidated financial statements for the Q1 of the year 2024.
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 41st meeting of the 11th board of directors convened on May 8, 2024.
5. On May 27, 2024, the 1st Meeting of the 12th Audit Committee was duly convened.
- ③ Regarding the Matter of Lifting Director Concurrent Position Restrictions for the Company
The resolution reached by the Audit Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 1st meeting of the 12th board of directors convened on May 27, 2024.

6. On June 5, 2024, the 2nd Meeting of the 12th Audit Committee was duly convened.
 - ◎ This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.
 The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.
 Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 2nd meeting of the 12th board of directors convened on June 5, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.
7. On June 19, 2024, the 3rd Meeting of the 12th Audit Committee was duly convened.
 - ◎ Amendment of the revision of the “Internal Control System” and the “Enforcement Rules of Internal Audit” of the Company.
 The resolution reached by the Audit Committee: Approved with the consent of the board directors.
 Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 3rd meeting of the 12th board of directors convened on June 26, 2024.
 - ◎ Purchase of new futures trading hosting servers and implementation of a remote backup system infrastructure.
 The resolution reached by the Audit Committee: Approved with the consent of the board directors.
 Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 3rd meeting of the 12th board of directors convened on June 26, 2024.
 - ◎ It is for the liquidation operation of Sheng Yuan Futures Co., Limited, a reinvestment business.
 The resolution reached by the Audit Committee: Approved with the consent of the board directors.
 Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 3rd meeting of the 12th board of directors convened on June 26, 2024.
8. On July 24, 2024, the 4th Meeting of the 12th Audit Committee was duly convened.
 - ◎ Regarding the Matter of Lifting Director Concurrent Position Restrictions for the Company
 The resolution reached by the Audit Committee: Approved with the consent of the board directors.
 Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 4th meeting of the 12th board of directors convened on July 31, 2024.
 - ◎ This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.
 The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.
 Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 4th meeting of the 12th board of directors convened on July 31, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.
9. On August 14, 2024, the 5th Meeting of the 12th Audit Committee was duly convened.
 - ◎ The Company’s consolidated individual and financial statements for the first half of the

year 2024.

The resolution reached by the Audit Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 5th meeting of the 12th board of directors convened on August 21, 2024.

- ◎ Update of the financial plan of the Company in 2024.

The resolution reached by the Audit Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 5th meeting of the 12th board of directors convened on August 21, 2024.

- ◎ Amendment of the revision of the “Internal Control System” and the “Enforcement Rules of Internal Audit” of the Company.

The resolution reached by the Audit Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 5th meeting of the 12th board of directors convened on August 21, 2024.

10. On September 18, 2024, the 6th Meeting of the 12th Audit Committee was duly convened.

- ◎ The revision of the “Internal Control System” of the Company.

The resolution reached by the Audit Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 6th meeting of the 12th board of directors convened on September 25, 2024.

- ◎ This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.

The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 6th meeting of the 12th board of directors convened on September 25, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.

- ◎ Progress report on the establishment of Yuanta Global (Singapore) Pte. Ltd., a 100% owned subsidiary of the Company.

The resolution reached by the Audit Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 6th meeting of the 12th board of directors convened on September 25, 2024.

11. On October 30, 2024, the 7th Meeting of the 12th Audit Committee was duly convened.

- ◎ Amendment of the revision of the “Internal Control System” and the “Enforcement Rules of Internal Audit” of the Company.

The resolution reached by the Audit Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 7th Meeting of the 12th board of directors convened on November 7, 2024.

12. On November 7, 2024., the 8th Meeting of the 12th Audit Committee was duly convened.

- ◎ The Company’s consolidated financial statements for the Q3 of the year 2024.

- The resolution reached by the Audit Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors plenarily in the 7th Meeting of the 12th board of directors convened on November 7, 2024.
13. On November 20, 2024, the 9th meeting of the 12th Audit Committee was duly convened.
- ⊙ Amendment of the revision of the “Internal Control System” and the “Enforcement Rules of Internal Audit” of the Company.
- The resolution reached by the Audit Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors plenarily in the 8th Meeting of the 12th board of directors convened on November 27, 2024.
- ⊙ This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.
- The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 8th meeting of the 12th board of directors convened on November 27, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.
14. On December 18, 2024, the 10th Meeting of the 12th Audit Committee was duly convened.
- ⊙ The Company’s plan for cash capital increase with new stock shares issued.
- The resolution reached by the Audit Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors plenarily in the 9th meeting of the 12th board of directors convened on December 18, 2024.
- ⊙ Amendment of the revision of the “Internal Control System” and the “Enforcement Rules of Internal Audit” of the Company.
- The resolution reached by the Audit Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors plenarily in the 9th meeting of the 12th board of directors convened on December 18, 2024.
- ⊙ Issues for audit plans in 2025.
- The resolution reached by the Audit Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 9th meeting of the 12th board of directors convened on December 18, 2024, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.
15. On January 15, 2025, the 11th Meeting of the 12th Audit Committee was duly convened.
- ⊙ Regarding the independence, audit quality index evaluation, appointment, and remuneration matters of the company’s 2025 independent auditors
- The resolution reached by the Audit Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Audit Committee: The issue was duly resolved by all present directors planarity in the 11th meeting of the 12th board of directors convened on January 21, 2025.
- ⊙ This is regarding the trade of securities and the use of proprietary funds for trading the

securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.

The resolution of the Audit Committee: It is a resolution deliberated and reached by all the attending Audit Committee members unanimously, except for those who have themselves recused due to a conflict of interest.

Acts to be taken by the Company in response to the opinions heard in the Audit Committee: the 11th meeting of the 12th board of directors convened on January 21, 2025, the issue was duly resolved by all present directors except those in interested involvement who duly withdrew from the event.

- (II) Except for the aforementioned matters, the other matters that are not resolved by the Audit Committee must be resolved with the consent of more than two thirds of the board directors: none.

- II. With respect to the avoidance of conflicting interest agendas, describe the names of independent directors, details of the relevant agendas, reasons for avoiding conflicting interest, and the voting decisions:

Auditing Committee dates	Name of Committee	Agenda	Reasons for avoiding conflicting interests	Voting decision
January 24, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director, An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
April 10, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	Proposal for lifting competition restrictions on the Company's new directors.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director, An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
	Independent	This is regarding	Independent Director,	Independent Director,

	Director Yu-Chun Wu Independent Director An-Bin Chen	the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Yu-Chun Wu; Independent Director An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
May 8, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	Regarding donations to the Ministry of Health and Welfare's disaster relief fund in response to the Hualien earthquake.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
June 5, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.

July 24, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director, An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
September 18, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director, An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
November 20, 2024	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director, An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.

January 15, 2025	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	This is regarding the trade of securities and the use of proprietary funds for trading the securities issued by any stakeholders or self-regulatory objects and the transactions linked to the underlying subject.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.
	Independent Director Yu-Chun Wu Independent Director An-Bin Chen	In response to stakeholders planning to participate in the public offering of ordinary shares through cash capital increase and the related matters in 2024.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are the related party in the case.	Independent Director, Yu-Chun Wu; Independent Director An-Bin Chen are related party, had himself recused from participating in the discussion and voting. The proposal was passed by the other attending members unanimously after the consultation of the Acting Independent Director, Hui-Erh Yuan, independent director, and to be deliberated and resolved in the board meeting.

- III. Performance of communications by and between independent directors, internal audit head and Certified Public Accountant(s) (should include the Company's financial, business operation affairs, issued, methods and outcomes of communications among them).
- (I) In order to improve the efficiency and effectiveness of the operation and strengthen the interaction with the internal audit and accounting units, the Audit Committee establishes "Communication Procedure between the Audit Committee and the Audit Department" and the "Communication Procedure between the Audit Committee and the Certified Public Accountant," so it can supervise the audit unit to perform and elaborate on its functions. The communication between the Audit Committee, internal auditors and CPA is carried out in accordance with the method disclosed above, and the communication is generally good. In addition, the overall performance appraisal of internal auditors and CPA is conducted at the end of each year, and the relevant appraisal results are reported to the board of directors.
- (II) The Company discloses the individual communication between independent directors and internal audit supervisors and accountants in the "About Us -> Corporate governance" section of the Company's website under [Communications between independent directors and internal audit supervisors and accountants]. (website at: https://www.yuantafutures.com.tw/corporategovernance_12).
- IV. Annual work plan and operation status of the Audit Committee:

- (I) Formed with independent directors, the Audit Committee aims to supervise the quality and integrity of the Company's finance and accounting, audits, and risk management. At the end of each year, it plans and schedules proposals to be discussed in the next year in order to strengthen committee operations.
- (II) The authority of the Audit Committee mainly includes:
 1. Establishment of or amendment to internal control system pursuant to Article 14-1.
 2. Evaluate the effectiveness of the internal control system.
 3. Stipulate or revise the regulations governing the significant financial business behaviors, including the acquisition and disposal of assets, trading of financial derivatives, lending of capital, loaning of funds, and making of endorsement/guarantees in accordance with Article 36-1.
 4. Matters that involve the best interests of the directors.
 5. Material assets or derivative transactions.
 6. The lending, endorsement, or guarantee of capital in huge sum.
 7. Public offering, issuance, or private placement of equity-type securities.
 8. The appointment, dismissal, or compensation of the CPAs.
 9. The appointment and dismissal of the Finance Officer, Accounting Officer, or Internal Chief Auditor.
 10. Annual financial report signed or stamped by the chairman, executive and accounting supervisor, and the Q2 financial report to be audited and validated by the accountant.
 11. Other significant matters required by the Company or the competent authorities.

The Audit Committee regularly holds meetings. Within the scope of its authority, it may invite managers of relevant departments. Internal auditors, accountants, legal advisers or other personnel shall attend the meetings and provide relevant and necessary information. However, they shall be excused at the time of discussion and balloting.
- (III) The Audit Committee held a total of 16 meetings in 2024, and the annual work plans are as follows:
 1. Assess the independence of appointed accountants, and appoint a CPA to audit and validate various financial and tax statements.
 2. Reviewed the "Statement of Internal Control System" and "Statement of Internal Control System on Money Laundering Control and Counter-Terrorism Financing."
 3. Review the 2023 consolidated and standalone financial reports, and the first half of 2024 consolidated and standalone financial reports.
 4. Amendment of the revision of the "Internal Control System" and the "Enforcement Rules of Internal Audit".

Note 1: The date of resignation must be specified for Independent Directors who had resigned prior to the close of the financial year. The percentage of actual attendance (%) should be calculated based on the number of Audit Committee meeting held during active duty and the number of actual attendance.

Note 2: If a re-election of Independent Directors had taken place prior to the close of the financial year, then Independent Directors of both the previous and the current term must be listed; the remarks column must address the re-election date and whether the Independent Director was elected in the previous term, the new term, or both. The actual attendance rate (%) is based on the number of Audit Committee meetings held during his/her tenure

(III) How The Company’s actual governance differs from The Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies and why

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
I. Will the Company based on the “Corporate Governance Best-Practice Principles for TWSE/GTSM Listed Companies” set up and disclose the Company’s corporate governance best-practice principles?	V		<p>I.</p> <ol style="list-style-type: none"> 1. The Company has approved its Corporate Governance Principles based on the “Corporate Governance Best-Practice Principles” and the “Corporate Governance Best-Practice Principles for Futures Commission Merchants,” which is implemented after the board’s approval and disclosed on the Market Observation Post System and the Company’s website (https://www.yuantafutures.com.tw/corporategovernance_07). 2. Additionally, the Company formulated the relevant chapter of corporate governance as required by regulations and implemented following the Company’s system. Other operations are also in compliance with relevant laws and regulations. 3. Under our governance framework, BOD is the core of governance. As the highest governance body, BOD puts the interest of the Company and shareholders first and makes strategic instructions for organizational operations and supervises the operational performance of the management. Under BOD, there are functional committees and departments including the Audit Committee, Remuneration Committee, Ethnical Management Committee, Audit Department, Risk Management Department, and the BOD Secretary’s Office which assist BOD in supervising the Company with due care and due diligence. The president of this Company leads the Legal Compliance Department, Overseas Institutional Business Department, 	There is no difference detected.

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			Domestic Institutions Department, Proprietary Trading Department, Corporate Planning Department and the management team to effectively implement the Company's governance and operations activities to maximize interest for shareholders.	
<p>II. Shareholding structure and shareholders' equity</p> <p>(I) Will the Company have the internal procedures regulated to handle shareholders' proposals, doubts, disputes, and litigation matters; also, have the procedures implemented accordingly?</p> <p>(II) Will the Company possess the list of the Company's major shareholders and the list</p>	<p>V</p> <p>V</p>		<p>II.</p> <p>(I)</p> <p>1. In the Company's official website in the special zone of "About Us > Investors" the Company has set up a "Contact Window with Investors (or Shareholders)" where we have adequately disclosed the method of communications. A shareholder is encouraged to voice his or her opinions by phone, in person, by mail, by FAX, e-mail or other channels. In response to the opinions voiced by shareholders, their questions, disputes or litigation, the Company duly manages in a prudential manner through our shareholder services agent. The clerk in the unit accepting shareholders' opinions duly judges the contents of opinions and, in turn, the agent, investor relation contact person, spokesman and competent unit will prudentially reply and take countermeasures as necessary.</p> <p>2. The Company intends to have the matters that have come through the Customer Service Mailbox handled in accordance with the "Act for Settlement of Customer Disputes."</p> <p>(II) The Company has set up a designated body for tracking the list of the dominant shareholders and the final shareholders of the dominant shareholders. In addition, the Company also apply with the Central Depository of Securities for the list of shareholders basing on the result after</p>	There is no difference detected.

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
<p>of the ultimate controllers of the major shareholders?</p> <p>(III) Will the Company establish and implement the risk control and firewall mechanisms with the related parties?</p>	V		<p>transactions have been made, and the declaration with the status of share transfer by the insiders of the Company in each month in order to keep track on the holding of shares by the shareholders.</p> <p>(III)</p> <ol style="list-style-type: none"> 1. The Company and the subsidiaries are independent of one another in financial and business transactions. 2. To strengthen the financial business among the affiliated enterprises and to prevent Non-arm's Length Transaction or conveyance of unjust interests among transactions between affiliated enterprises, acquiring or disposal of assets, and Lending of Capital. Therefore, to formulate the “Rules Governing Financial and Business Matters Between this Corporation and its Parties”, “Rules Governing Transactions with Interest Parties”, “Rules Governing General Authorization for transactions Other Than Credit Extension with Interested Parties Mentioned in Article 45 of Financial Holding Company Act” and “Transactions with Parties Governed by Self-Disciplinary Rules” in accordance with the Company’s “Corporate Governance Best-Practice Principles” for full implementation of risk management policies and firewalls. 3. The Company has established a Risk Management Department which shall be responsible for the overall risk management, control, supervision, and enforcement. 	
<p>(IV) Will the Company set up internal norms to prohibit insiders from utilizing the undisclosed information</p>	V		<p>(IV)</p> <ol style="list-style-type: none"> 1. The Company has the “Procedures for Handling Material Insider Information” regulated to prohibit insiders from utilizing the undisclosed information to trade securities. 	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
to trade securities?			<p>2. In order to enable all personnel of the company to have the correct knowledge of and the ability to judge relevant laws and regulations, the Company regularly advocates laws and regulations on insider equity transfers for directors, managers and employees, insider trading and short-term trading, as well as communicating with new directors, managers, and employees before they start jobs. The content includes the purpose of insider equity management, the definition of insider, the relevant laws and regulations and penalties for the declaration of insider shareholding changes, common deficiencies and other precautions for violations of insider rules, the constituent elements of insider transactions, the clear timing of important news, and the method and timeliness of disclosure, penalties for violation of insider trading, lessons on how to avoid false insider trading and the relevant case studies, the constituent elements of short-term trading, exercise of the right of disgorgement, and common reasons for the occurrence of the right of disgorgement, etc.</p> <p>3. The Company has also compiled a regulatory compliance manual for managers and employees to refer to, conducted self-assessment of regulatory compliance every six months, and used online courses and physical assignments for education on insider trading, short-term trading, and insider equity laws.</p>	
III. The constitution and obligations of the board of directors (I) Does the board of	V		III. (I) 1. The Company intends to have matters handled in accordance with the “Corporate Governance Best-Practice Principles for TWSE/GTSM Listed	There is no difference detected.

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
directors disclose the drafted diversity policies, specific management objectives, and implementation on the company's website?			<p>Companies” and Company’s Article 20 Section 3 of “Corporate Governance Best-Practice Principles”. The composition of board members should be diversified. Appropriate and diversified policies should be drafted for the business operations, business patterns and development needs, of which, the diversification should include but not be limited to the standards with the following two aspects: Basic conditions and values (including gender, age, nationality, and culture) and professional knowledge and skills (including professional background of law, accounting, industry, finance, marketing or technology), professional skills and industry experience.</p> <p>2. In order to achieve the ideal goal of corporate governance, the board of directors should have the following capabilities: judgment on operations, accounting and financial analysis, business management, crisis management, expertise on futures and derivative financial instruments, perspectives on international markets, leadership, decision-making, risk management knowledge.</p> <p>3. The company has nine board members. Currently, there are three independent directors and six directors. Female directors account for 33% of the board, and directors with a concurrent employee status account for 11% of the board. The directors have backgrounds in economics, accounting, finance, corporate management, business, electrical engineering, etc. In addition to professional skills in banking, securities, insurance, financing, and leasing, many directors have experience in information technology, trading, manufacturing, etc., and have good contribution for the Company’s business management and risk control. Furthermore, the independent director Yu-Chun Wu of the company</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(II) Will the Company, in addition to setting the Remuneration Committee and Audit Committee lawfully, have other functional committee set up voluntarily?	V		<p>has been engaged in financial supervisory practice for years. He has held important positions in financial supervisory agencies and peripheral businesses, accumulating rich experience in financial practice. Additionally, the independent director Ms. Hui-Erh Yuan is a certified public accountant and serves as an independent director of the company with an accounting profession. Lastly, the independent director An-Pin Chen holds important positions in academia and has rich experience in information management-related businesses.</p> <p>4. In terms of the Company's management goal in director diversity policy, there are three independent directors elected for the 12th term of office, including 1 female independent director. Currently, female directors are account for 33% of the quorum of the board directors, achieving the Company's goal of having each gender director account for more than one-third of the board directors.</p> <p>5. Information related to the board of directors' diversity policy is disclosed in the "About Us>Corporate Governance" section of the company's website under the [Board of Directors Diversity Status] (website: https://www.yuantafutures.com.tw/directors_04).</p> <p>(II) BOD approved the establishment of the Remuneration Committee on November 24, 2011 and the Audit Committee on May 23, 2012 to replace supervisors. Both committees were formed with the three independent directors and are well operated. In addition to regular meetings, independent directors of the Company often discuss corporate governance with the Company's management and heads of managerial department, and understand the Company's business operations such as finance, accounting,</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(III) Has the Company formulated “The Procedures for the Company’s Board Performance Evaluation” and evaluation method, conducted a performance evaluation annually and regularly, reported the results of the performance evaluation to the Board of Directors, and applied it for reference in determining individual director’s remuneration and nomination for renewal?	V		<p>compliance with laws and regulations, audits, and risk management, so as to fulfill their duty of care and faithfully perform their duties. In the future, the necessity of setting up other functional committees will be evaluated based on the needs of operational development.</p> <p>(III)</p> <ol style="list-style-type: none"> 1. The Company has established the “Board of Directors and Functional Committee Performance Appraisal Measures.” The board and functional committees shall conduct performance appraisal of the board and functional committees each year in accordance with the evaluation procedures and indicators in Articles 6 and 8. The report on the results of appraisal, conducted in accordance with the grading criteria in Article 8, is sent to the board for review and improvement. On January 24, 2017, it was added that an external specialized independent agency or external experts and scholar are employed to conduct performance appraisal of the board every three years, and the appraisal results and improvement plans are reported to the board and functional committees. 2. The results of the performance appraisal of the Company’s board have been used as a reference for selecting or nominating director candidates. The results of the performance appraisal of directors have been submitted to the salary and remuneration committee as a reference for determining directors’ remuneration. 3. The information on board performance appraisal methods and the results of the self-evaluation of board (and functional committees) and board members (self or peers) appraisal are disclosed in the Corporate governance section of 	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(IV) Will the Company have the independence of the public accountant evaluated regularly?	V		<p>the company's official website, under [Performance Appraisal Results of the Board of Directors and Functional Committees] (https://www.yuantafutures.com.tw/directors_05).</p> <p>(IV)</p> <p>1. According to Article 30 of the Company's "Corporate Governance Best-Practice Principles" and Article 4 of the "Rules Governing Communication Between the Audit Committee and CPAs," the Company periodically (at least once a year) refers to the Audit Quality Indicators (AQIs) to evaluate Independence and adaptability. The company has completed the following matters in accordance with regulations:</p> <p>(1) The company should request Audit Quality Indicators (AQIs) from independent auditors, encompassing 5 major dimensions and 13 specific indicators. These AQIs will serve as a reference for evaluating the independence and competence of the auditors.</p> <p>(2) Review the statement issued by the independent auditor, which includes all relationships between the independent auditor and the company, which complies with the requirements of "The Bulletin of Norm of Professional Ethics for Certified Public Accountant of the Republic of China No. 10: Independence of Audit and Review."</p> <p>(3) Evaluate the internal quality control procedures of the accounting firm that the independent auditor belongs.</p> <p>(4) If the Company has not changed its certifying accountants for seven consecutive years, or if the accountants have been subject to disciplinary actions or their independence has been compromised, the Company must</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>evaluate whether it is necessary to change the certifying accountants and submit the evaluation results to the Board of Directors.</p> <p>2. CPA independency assessment includes the following key indicators: CPA firm rating, quality control process, CPAs and audit teams, scope of audit, audit fee, communication and independency of audit.</p> <p>3. The aforementioned appraisal and the “Statement on Independence and Inspection Work” issued by the CPA are submitted to the Audit Committee and the board of directors every year, and the board of directors then approves their appointment. There is no relationship between the Company and the CPA except for the contractual relationship in audit and validation. The most recent assessment results were submitted to the 11th meeting of the 12th batch of Audit Committee on January 15, 2025 and the 11th meeting of the 12th batch of the board on January 21, 2025 for review and approval.</p>	
IV. Has the company assigned sufficient qualified and competent personnel to work, and has a corporate governance officer designated to be responsible for corporate governance-related matters? (Including but not limited to providing information needed by directors and independent directors to perform business,	V		<p>IV.</p> <p>1. The company protects the rights and interests of shareholders and enhances the occupational functions of the board of directors in response to the “Corporate Governance Best-Practice Principles for TWSE/TPEX Listed Companies.” The board of directors resolved and approved the establishment of a corporate governance unit “Secretary Office of the Board of Directors” on October 31, 2018. Liang-hui Yuan, the Senior vice president, is to serve as the Corporate Governance Officer who has abundant experience in financial and accounting management. Liang-hui Yuan has served as a financial supervisor in the company for more than 10 years and met the qualification requirements. The “Secretary Office of the Board of Directors” is setup with competent and</p>	There is no difference detected.

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
assisting directors and independent directors in complying with laws and regulations, handling matters related to board meetings and shareholders meetings lawfully, preparing minutes of board meetings and shareholders meetings, etc.)?			<p>appropriate personnel designated to provide the board directors and Audit Committee members with the information needed to perform their duties, to assist directors and independent directors in complying with laws and regulations, and to be responsible for company registration, the affairs related to the Audit Committee meetings, board of directors meetings, and shareholders' meetings, and other corporate governance-related matters.</p> <p>2. The 2024 performance of the "BOD Secretary's Office" is as follows:</p> <p>a. Provision of data required for business implementation for directors and Audit Committee members to assist with compliance: Periodically provided information regarding and undertaken insider stake changes and insider trading laws and regulations; periodically gathered and delivered information regarding cases punished by competent authorities and various government policies and decrees; assisted with the collection of information regarding professional training and provided them for directors and Audit Committee members; and arranged related courses for them, in order to help directors and Audit Committee members to achieve compliance through appropriate internal and external education and training activities.</p> <p>b. Handle matters related to the Audit Committee meetings, the Board of Directors meetings, and the shareholders' meetings: Report the corporate governance implementation status to the Audit Committee and the Board of Directors regularly, confirm that the meeting procedures comply with relevant laws and corporate governance best-practice principles and codes, convene meetings, and provide meeting materials. The meeting agenda</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>and notice should be issued 7 days in advance. A friendly reminder should be issued to directors who should have themselves recused from participating in the discussion or voting on specific proposals due to a conflict of interest. In addition, distribute the meeting minutes within 20 days after the meeting, arrange respective meetings for Audit Committee members, internal auditors, and risk control members to communicate with the CPAs in order to improve the efficient operation of the company's Audit Committee, to assist directors to comply with laws and regulations in performing job responsibility or in reaching a formal resolution of the board of directors, to release material information on important resolutions of the board of directors after the meeting, to ensure the legality and correctness of the content of material information announced in order to protect investors from information asymmetry, to process the registration for the shareholders' meeting prior to the commencement date, to prepare meeting notices, meeting handbook, meeting agenda, and to handle change registration at the time when the Articles of Incorporation or re-election of the board of directors takes place.</p> <p>c. It is regarding company registration and change registration related matters.</p> <p>d. Regular and irregular information disclosures on the Market Observation Post System.</p> <p>e. Handle tasks related to corporate governance evaluation.</p> <p>3. Senior vice president Liang-Hui Yuan has served as the head of corporate governance since July 1, 2022, and has a total of 15 hours of continuing</p>	

Assessment items	Actual governance								Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies	
	Yes	No	Summary description							
			education in 2024.							
			Title	Name	Training date		Organizer	Course name	Training hours	
					Start	End				
			Corporate Governance Officer	Liang-Hui Yuan	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/07/09	2024/07/09	GreTai Securities Market	AI Strategy and Governance	3	
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
2024/10/17	2024/10/17	Taiwan Securities			Trends of sustainable	3				

Assessment items	Actual governance								Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description						
							Association	financial development and disclosures of natural-related financials.	
			4. Information pertinent to the Corporate Governance Officer of the Company for disclosure in the section of “Corporate Governance” under the heading of “corporate governance personnel” on the official website of the Company (Website: https://www.yuantafutures.com.tw/corporategovernance_09).						
V. Has the Company established a communication channel with the stakeholders (including but not limited to the shareholders, employees, customers, and suppliers), set up a stakeholder section on the Company’s website, and responded appropriately to the important corporate social responsibilities concerned by the stakeholders?	V		V. 1. The Company assures that it will provide adequate information to customers, correspondent banks, suppliers, employees, shareholders and such interested parties. Further through the Company’s website, the Company has set up a “special zone for Investors” > “special zone for interested parties” (website at: https://www.yuantafutures.com.tw/investors_04). Through such efforts, the Company takes charge of and responds the key issues concerned to the interested parties. Starting from 2015, the Company has worked out Corporate Social Responsibility (CSR) reports onto the Company’s website and Market Observation Post System (MOPS), readily accessible to interested parties. 2. The Company has Spokesperson and Deputy Spokesperson to establish communication with its stakeholders. In addition, The Company's Manager, Finance and Accounting Department, Customer Service / Trading Department etc may also contact stakeholders to address specific issues. All legal disputes						There is no difference detected.

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>are handled by the Legal Compliance Department.</p> <p>3. To develop an integral and transparent corporate culture, promote ethical management, and encourage the report of illegal acts or events within the Company. We have also established the suggestion and grievance email at auditcomm.fut@yuanta.com; the reporting hotline (02)2546-0373, toll-free customer service helpline on 0800-333-338; and the customer service email for reporting.</p> <p>4. We have established the “Directions for Supplier Management” to effectively manage the suppliers of the Company and investees, improve procurement quality, and advocate CSR together with suppliers. We have also disclosed these Directions on the corporate website.</p>	
VI. Has the Company commissioned a professional stock service agent to handle shareholders affairs?	V		VI. The Company has appointed Yuanta Securities Co., Ltd., a professional stock service agent, to handle shareholders affairs.	There is no difference detected.
VII. Disclosure of information			VII.	
(I) Does the Company have a website setup and the financial business and corporate governance information disclosed?	V		(I) The financial business information, shareholders meeting-related information, legal person briefing information, corporate governance, corporate sustainable development, and other related information are disclosed in the “About Us” section of the company’s website. Please refer to https://www.yuantafutures.com.tw/companyprofile_01 .	There is no difference detected.
(II) Has the Company adopted other information disclosure methods (such	V		(II) 1. The company already has an English website set up. Please visit https://www.yuantafutures.com.tw/EN .	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
<p>as, establishing an English website, designating a responsible person for collecting and disclosing information of the Company, substantiating the spokesman system, placing the juristic person seminar program on the Company's website, etc.)?</p> <p>(III) Has the Company announced and declared its financial report within 2 months after the end of the fiscal year, and announced and declared the quarterly financial report of Q1, Q2, and Q3 and the monthly business report before the deadline?</p>	V		<p>2. The Company's material information is announced in both Chinese and English at the Market Observation Post System (MOPS), so that investors can keep abreast of the latest information.</p> <p>3. The Company has established the spokesman and acting spokesman system as required. Inquiry can be made by visiting the "About Us > Investors" Zone of the official website or at MOPS of TWSE.</p> <p>(III)</p> <p>1. The company has the 2024 consolidated (standalone) financial report announced and filed within two months (February 26, 2025) after the end of the fiscal year.</p> <p>2. The 2024Q1, 2024Q2, and 2024Q3 financial statements had been announced and filed on May 8, 2024, August 21, 2024, and November 7, 2024, respectively, before the prescribed deadlines.</p> <p>3. The monthly operation status has been announced and filed within the prescribed deadline lawfully.</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
VIII.Are there any other important information (including but not limited to the interests of employees, employee care, investor relations, supplier relations, the rights of stakeholders, the advanced study of directors and supervisors, the implementation of risk management policies and risk measurement standards, the execution of customer policy, the purchase of liability insurance for the Company’s directors) that are helpful in understanding the corporate governance operation of the Company?	V		VIII. (I) Employees' rights and care to employees: 1. (1) The Company has stipulated the “Work Rules” (including work discipline, employment relations, salaries, working hours, break, holidays, leave, duty, overtime, promotion and rotation, performance evaluation, incentive and punishment, retirement, occupational hazard, injury, and compensation and pensions, welfare, health and safety, and employee communication and cooperation) to discipline employee behavior. The “Code of Ethical Conduct” refers to ethical conduct standards, team spirit and integrity, equal job opportunity and prohibiting discrimination, health and safety of the working environment, respect for privacy and prohibiting the spread of rumors, the obligation of confidentiality, the proper production and preservation of paperwork, properly protecting the Company’s assets, prohibiting insider trading, prohibiting any illegal gains by taking advantage of the job position, prohibiting conflicts of interest, preventing conflict of interest, fair trade and treatment, gifts, prohibiting bribery or illegal gains, obligation of reporting transaction authenticity, respect for the intellectual property rights of others, prohibition of engaging in any political activities, prohibition of influencing others to participate in any political activities, compliance of law and regulations, encourage reporting of illegal activities, punishment and remedy procedures, exemptions from complying with the procedures, disclosure, and implementation. In addition, there are more disciplinary rules stipulated, such as, “Guidelines for Sexual Harassment Prevention,	There is no difference detected.

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>Grievance, and Discipline at Work Place” and “Employee Grievance” detailing various grievance channels and operating procedures to encourage and protect the informers who report any illegal and unethical act. Except for the “Code of Ethical Conduct” is placed on the Company’s internal and external website, the others are placed on the Company’s internal Website to be actually implemented for protecting the interests of employees.</p> <p>(2) In order to implement proper practices in handling material insider information, and maintaining secrecy throughout the process to avoid misleading investors' decisions which might otherwise compromise The Company's reputations or cause extreme share price movements, the Board of Directs had agreed to implement a new set of “Material Insider Information Procedures” during the meeting held in January 2010. Managers and employees had already been informed regarding these new rules, and the details of which are available on the corporate website and Intranet to ensure proper handling of material insider information. (3) In terms of the working environment and employee safety, the company has implemented strict access control measures to provide employees with a safe and comprehensive workplace. The passages, floors, stairs or ventilation, lighting, illumination, fire prevention, disaster prevention, and equipment at the workplace that is related to the safety and health of employees are inspected and maintained regularly every year; also, fire emergency response drills are conducted. In addition, disaster compensation and related insurance are disclosed in the company’s</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>“Working Rules” and posted on the company’s internal website.</p> <p>2. In addition to implementing the five employee health plans stipulated in the regulations and group insurance, the company offers employee shareholding trusts, health checkups, health seminars, health promotion activities and courses, and various resources; also, introduces the “Employee Assistance Program (EAP)” to substantiate employee care and consideration with an overall solution proposed to prevent and handle personal, work, and family problems that may affect employees’ work and emotions.</p> <p>3. The Company has established the Employee Welfare Committee. This Committee is responsible for the fringe benefits of the employees and hold meetings at any time as needed. In addition, the committee also holds labor-management coordination meetings quarterly.</p> <p>4. The Company has the “Guidelines for Sexual Harassment Prevention, Grievance, and Discipline at Work Place”, “Employee Grievance” and “Regulations Governing Implementation” of report system stipulated to prescribe various grievance channels and operating procedures in order to encourage and protect the informers who report any illegal and unethical act; also, setup telephone hotline and e-mail to handle grievance and suggestions filed by the employees.</p> <p>5. The Company calls for business meetings and management meeting regularly. All functional departments will call for cross-function meetings as dictated by business needs for coordination and communications among the departments.</p> <p>(II) Investor relations, supplier relations, and stakeholders' interests:</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>6. The investor matters are currently handled by the Company's Investor Relation contact person, spokesman, deputy spokesman, and Stock Affair Personnel. On the corporate website, we have also disclosed information of grievance email (auditcomm.fut@yuanta.com), the customer service email (futures@yuanta.com), the reporting hotline (02-25460373), and the toll-free customer service helpline (0800-333-338) for shareholders and investors to make suggestions and enquire over any doubts. There is a Q&A zone for the shareholder in the "Investors" zone of the official website of the Company for fortifying the protection of the rights and privileges of the shareholders.</p> <p>7. The Company has set the "Corporate Governance Best-Practice Principle," "Rules Governing Trades with the Stakeholders," "Rules Governing the Blanket Authorization for Transaction Other Than Credit Transaction with the Stakeholders," "Transactions with Parties Governed by Self-Disciplinary Rules," "Code of Ethical Conduct," and "Regulations Governing Implementation of report system" also, complied with the "Procedures for Ethical Management and Guidelines for Conduct" of Yuanta Financial Holdings to have the relevant interests regulated.</p> <p>8. The Company has Investor relation contact person, Spokesperson and Deputy Spokesperson to establish communication with its stakeholders. In addition, The Company's Manager, Finance and Accounting Department, Customer Service / Trading Department etc may also contact stakeholders to address specific issues. All legal disputes are handled by the Legal Compliance Department.</p> <p>9. Special columns on topics of the treasury, shareholders, and the operation of</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies																
	Yes	No	Summary description																	
			<p>the Board and internal control of the Company were set up in the “About Us” zone of the Company website for the reference of the investors and stakeholders.</p> <p>10. The Company has dealt with suppliers pursuant to the “Ethical Management Best-Practice Principles” and “Procedures for Ethical Management and Guidelines for Conduct” of Yuantan Holdings. The legality of the trade counterparty should be taken into consideration and whether there is any unethical act recorded. Try to avoid dealing with anyone with any unethical act committed; also, conduct all commercial activities with a fair and transparent practice.</p> <p>(III)Directors’ on-going education: Information regarding Directors’ on-going education in the fields of corporate governance, finance, business, commerce, accounting, legal, AML/CTF courses or fair treatment to customers subjects have already been disclosed on the “Corporate Governance Section of the Market Observation Post System” (http://mops.twse.com.tw/index.htm).</p> <p>Continuing education of the directors in 2024:</p> <table><tr><th rowspan="2">Title</th><th rowspan="2">Name</th><th colspan="2">Training date</th><th rowspan="2">Organizer</th><th rowspan="2">Course name</th><th rowspan="2">Training hours</th></tr><tr><th>Start</th><th>End</th></tr><tr><td>Chairman</td><td>Tien-Fu Lin</td><td>2024/03/14</td><td>2024/03/14</td><td>Securities and Futures Development Foundation</td><td>Trend of corporate governance and corporate sustainable development.</td><td>3</td></tr></table>	Title	Name	Training date		Organizer	Course name	Training hours	Start	End	Chairman	Tien-Fu Lin	2024/03/14	2024/03/14	Securities and Futures Development Foundation	Trend of corporate governance and corporate sustainable development.	3	
Title	Name	Training date				Organizer	Course name				Training hours									
		Start	End																	
Chairman	Tien-Fu Lin	2024/03/14	2024/03/14	Securities and Futures Development Foundation	Trend of corporate governance and corporate sustainable development.	3														

Assessment items	Actual governance									Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description							
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
					2024/09/09	2024/09/09	Taipei Foundation Of Finance	Tax-Related Money Laundering Risk Regulations – Eight Major Money Laundering Risk Patterns by Country	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trend of information security threats and crisis management	3	
			Vice Chairman	Pin-Cheng Chen	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	
					2024/05/10	2024/05/10	Corporate Governance Association in Taiwan	Introduction to Nomination and Compensation Committees Under U.S. Law: Case Analysis	3	
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/05/28	2024/05/28	Corporate Governance	The New Era of Artificial Intelligence:	3	

Assessment items	Actual governance									Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description							
							Association in Taiwan	How ChatGPT Chatbots Are Transforming Industry Trends		
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3	
			Director	Kuo-Tsun Hsu	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3	
			Director	Mei-Ling Kuo	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	

Assessment items	Actual governance									Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description							
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3	
			Director	Yung-Chu Su	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3	

Assessment items	Actual governance									Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description							
			Director	Chien-Hua Wu	2024/09/05	2024/09/05	Taiwan Securities Association	ESG “Pursuing Long-term Value Growth, Understanding Low-carbon Transition Trends”	3	
					2024/09/05	2024/09/05	Taiwan Securities Association	Corporate Governance “Applications and Future Trends of Generative AI”	3	
					2024/10/15	2024/10/15	Taiwan Academy of Banking and Finance (TABF)	Corporate Governance Lecture- Discussing the principle of friendly service and financial exploitation based on the principle of fair treatment	3	
					2024/10/25	2024/10/25	Corporate Governance Association in Taiwan	Trends in Anti-Money Laundering and Counter-Terrorist Financing Management in the Financial Industry	3	
			Independent Director	Yu-Chun Wu	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	

Assessment items	Actual governance									Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description							
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3	
			Independent Director	Hui-Erh Yuan	2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	
					2024/06/07	2024/06/07	Taipei Foundation Of Finance	Financial Friendly Service Guidelines	3	
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3	
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3	
					2024/10/25	2024/10/25	Corporate Governance Association in Taiwan	Trends in Anti-Money Laundering and Counter-Terrorist Financing Management in the Financial Industry	3	
			Independent Director	An-Pin Chen	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider	3	

Assessment items	Actual governance								Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies			
	Yes	No	Summary description									
								trading				
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3			
					2024/09/05	2024/09/05	Taiwan Securities Association	Trend of information security threats and crisis management	3			
					2024/10/17	2024/10/17	Taiwan Securities Association	Trends of sustainable financial development and disclosures of natural-related financials.	3			
			Former Director	Wen-Ching Chiu	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading	3			
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3			
			Former Director	Wei-Chen Chang	2024/04/18	2024/04/18	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading	3			
					2024/05/16	2024/05/16	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3			
			(IV) Risk management policies and risk assessment standards:									
			1. The risk management of the Company is pursued in accordance with the “Risk									

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>Management Policy” of the financial holding parent and the requirements of “Risk Management Best-Practice Principles For Futures Commission Merchants” of Taiwan Futures Exchange. The company has formulated the risk management policies and risk governing rules, which have been resolved and approved by the board of directors.</p> <p>2. The company’s risk management policy is the supreme guideline with the company-wide operating risks included, which are “financial risks,” “operational risks,” “legal and compliance risks,” and “climate change risks.” “Financial Risk” includes market risk, credit risk, market liquidity risk, capital liquidity risk, asset and liability coordination risk, block exposure risk, and operating risk; “Operational Risk” includes information security risk, human resources risk, emerging risk, ethical management risks, reputation risks, and strategic risks; “Legal and Compliance Risks” include legal compliance risks, legal risks, and money laundering and terrorism financing risks; “Climate Change Risks” include investment climate change risks and self-operational climate change risks. In terms of risk management system, appropriate risk management mechanisms should be formulated respectively in accordance with this policy, the attributes of risks, and the degree of impact on the company’s operational stability and capital security.</p> <p>3. The company’s risk management procedures include risk identification, risk measurement, risk monitoring, and risk management report.</p> <p>4. The company has disclosed the risk management policy in the “Market Information” > “Risk Control” of the official website to clearly stipulate the company’s risk management scope, main risk management authorities and</p>	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>responsibilities, risk management procedures, and information disclosure.</p> <p>5. The company regularly reports risk management operations to the Audit Committee and the Board of Directors, including</p> <ol style="list-style-type: none"> The Risk Management Department reports the implementation of risk management of the company and its subsidiaries to the Audit Committee on a monthly basis. The Department of Risk Management reports the risk management implementation of the company and the subsidiaries to the board of directors on a quarterly basis. The operation of risk management has been disclosed in the “Market Information” > “Risk Control” of the official website. <p>(V) Implementation of customer policies:</p> <ol style="list-style-type: none"> The Company has established regulations such as “Personal Data Protection Policy” and “Personal Data Management Measures,” for the proper use and protection of customers’ personal data within the scope of the laws and regulations. The duty of confidentiality of customer data shall be fulfilled in order to maintain customer privacy and personal information. The Company has established “Customer Dispute Handling Measures” and “Implementation Measures of Grievance System.” Issues related to transaction disputes and litigation handling operations have been established in the internal control system, and a toll-free customer service hotline (0800-333-338), customer service mailbox (futures@yuanta.com) and grievance filing mailbox (auditcomm.fut@yuanta.com) have been set up. The Customer Service Trading Department collaborated with auditors and 	

Assessment items	Actual governance			Deviation and causes of deviation from the Corporate Governance Best-Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			regulatory compliance personnel, and are responsible for handling issues related to customer rights and complaints. (VI) Circumstances in which the Company purchases liability insurance policies for directors: The Company continues to purchase liability insurance policies for directors, independent directors and managers to pass on the Company's operational risks and help establish a sound corporate governance system.	
<p>IX. Please describe the improvement performed according to the corporate governance evaluation results published by the Corporate Governance Center of Taiwan Stock Exchange in recent years, and propose the matters with priority for improvement and the respective measures.</p> <p>The Company performed well in the "Corporate Governance Evaluation" held by Taiwan Stock Exchange Corporation, and ranked among the top 5% of TPEX listed companies in the 10th "Corporate Governance Evaluation." The Company was cited by Taiwan Stock Exchange Corporation. This was the 10th consecutive year that the Company won the citation. The award granted to the Company indicates recognizing the Company's due diligence operation, the commitment to protect the best interests of shareholders, and the pursuit of a sustainable development of enterprise. Regarding the unscored assessment indicators in the 10th Corporate Governance Assessment, which is the 3.20 "Whether the company has been invited (voluntarily) to hold at least two investor conferences within a 3-month period between the first and second investor conference in the same year?" the company had held two investor conferences in 2024 (April 9, 2024 and September 13, 2024, respectively).</p>				

(IV) The operation of the Remuneration Committee:

1. Profiles of the members of the Remuneration Committee

Date of information: January 31, 2025

<div> <div>Qualification</div> <div>Identity (Note 1) Name</div> </div>	Professional qualification and experience (Note 2)	Compliance of independence (Note 3)	Number of other public companies where the members are also the members of the remuneration committee of these companies.
Independent Director (Convener)	Hui-Erh Yuan	<p>Ms. Hui-Erh Yuan has been a certified public accountant for more than 30 years. She served as a partner accountant of PwC Taiwan, the Chairman of PricewaterhouseCoopers' Corporate Finance & Recovery Group, and an Executive of the CPA ASSOCIATIONS R.O.C. (TAIWAN). She meets the requirement of professional qualification as stipulated in Article 5 of the "Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange;" furthermore, she does not meet the stipulations stated in Article 30 of the Company Act.</p> <p>Ms. Hui-Erh Yuan holds a master's degree in accounting from the University of Missouri and a master's degree in business administration from Southern Illinois University.</p>	<p>During the two years before being elected or during the term of office, Independent Director Hui-Erh Yuan did not have any of the following:</p> <p>An employee of the Company or any of its affiliates; a natural-person shareholder who holds shares, together with those held by the person's spouse, minor children, or held by the person under any other's name, in an aggregate amount of 1% or more of the total number of issued shares of the Company or ranking in the Top 10 in shareholding; a spouse, relative within the second degree of kinship, or lineal relative within the third degree of kinship, of a managerial officer of the Company or any of its affiliates or the Directors, Supervisors, the principal and the principal's spouse, minors of the affiliates, or held by the person under any other's name in an aggregate amount of 1% or more of the total number of issued shares of the Company or ranking in the Top 10</p>

			<p>in shareholding; a Director, Supervisor, or employee of a corporate shareholder that directly holds 5% or more of the total number of issued shares of the Company, or that ranks in the top-5 in shareholding, or that designates its representative to serve as a Director or Supervisor of the Company under Article 27, Paragraph 1 or 2 of the Company Act; the Chairperson, President, Director, Supervisor, or employee of other company that controls a majority of the Company's Director seats or voting shares and those of any other company are controlled by the same person; or person holding an equivalent position of the Company and a person in any of those positions at another company or institution are the same person or are spouses; a Director (Executive), Supervisor (Supervisor), or employee of other companies or institutions; a Director (Executive), Supervisor (Supervisor), officer, or shareholder holding 5% or more of the shares, of a specified company or institution that has a financial or business relationship with the Company. A professional individual who provides commercial, legal, financial, accounting, or related services to the Company or any</p>	
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			<p>affiliate of the Company within the last 2 years.</p> <p>Ms. Hui-Erh Yuan, independent auditor, concurrently serves as an independent director of Yuanta Life Insurance Co., Ltd., a subsidiary of the same parent company, but complies with the requirement of independence as stipulated in Article 6 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange.”</p>	
Independent Director	Yu-Chun Wu	<p>Mr. Yu-Chun Wu was the director of the Securities and Futures Bureau of the Financial Supervisory Commission and the President of TPEx for more than 10 years with ample experience accumulated in securities, futures, and financial supervisory matters; also, he had once served as the Independent Director of Chun Zu Machinery Industry, Independent Director of Taiwan Mask Corp., etc. He meets the professional qualification requirements stated in Article 5 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange;” furthermore, he does not meet the stipulations stated in Article 30 of the Company Act. Mr. Yu-Chun Wu graduated from the College of Management of National Taiwan University.</p>	<p>During the two years before being elected or during the term of office, Director Yu-Chun Wu did not have any of the following:</p> <p>An employee of the Company or any of its affiliates; a natural-person shareholder who holds shares, together with those held by the person’s spouse, minor children, or held by the person under any other’s name, in an aggregate amount of 1% or more of the total number of issued shares of the Company or ranking in the Top 10 in shareholding; a spouse, relative within the second degree of kinship, or lineal relative within the third degree of kinship, of a managerial officer of the Company or any of</p>	2

			<p>its affiliates or the directors, supervisors, the principal and the principal's spouse, minors of the affiliates, or held by the person under any other's name in an aggregate amount of 1% or more of the total number of issued shares of the Company or ranking in the Top 10 in shareholding; a director, supervisor, or employee of a corporate shareholder that directly holds 5% or more of the total number of issued shares of the Company, or that ranks in the top-5 in shareholding, or that designates its representative to serve as a director or supervisor of the Company under Article 27, Paragraph 1 or 2 of the Company Act; the chairperson, general manager, or person holding an equivalent position of the Company and a person in any of those positions at another company or institution are the same person or are spouses; a directors (councils), supervisors (supervisors), or employees of other companies or institutions; a professional individual who provides commercial, legal, financial, accounting or related services to the Company or any affiliate of the Company within the last 2 years. Mr. Yu-Chun Wu, independent auditor, who concurrently serves</p>	
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			as an Independent Director of Yuanta Securities Co., Ltd., a subsidiary of the same parent company, but complies with Article 6, Paragraph 2 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange;” therefore, he meets the requirement of independence as stipulated in Article 6 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange.”	
Independent Director	An-Pin Chen	Mr. An-Pin Chen served as Emeritus Professor of the Department of Information Management and Finance of National Chiao Tung University, Director of Innovation Research Center of National Chiao Tung University, Associate Dean of the College of Management, National Chiao Tung University, Chairperson of the Department of Information Management and Finance, National Chiao Tung University, and EMBA Chief Executive Officer of National Chiao Tung University, Director of the Institute of Information Management of National Chiao Tung University, adjunct associate professor of the Department of Finance of National Taiwan University, etc., he possesses information professional capabilities, meets	During the two years before being elected or during the term of office, Independent Director An-Pin Chen did not have any of the following: An employee of the Company or any of its affiliates; a natural-person shareholder who holds shares, together with those held by the person’s spouse, minor children, or held by the person under any other’s name, in an aggregate amount of 1% or more of the total number of issued shares of the Company or ranking in the Top 10 in shareholding; a spouse,	1

		<p>the professional qualification requirements stated in Article 5 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange;” furthermore, he does not fall in any of the stipulations stated in Article 30 of the Company Act.</p> <p>Mr. An-Pin Chen receives a Ph.D. degree in Industrial Systems Engineering from the University of Southern California.</p>	<p>relative within the second degree of kinship, or lineal relative within the third degree of kinship, of a managerial officer of the Company or any of its affiliates or the directors, supervisors, the principal and the principal’s spouse, minors of the affiliates, or held by the person under any other’s name in an aggregate amount of 1% or more of the total number of issued shares of the Company or ranking in the Top 10 in shareholding; a director, supervisor, or employee of a corporate shareholder that directly holds 5% or more of the total number of issued shares of the Company, or that ranks in the top-5 in shareholding, or that designates its representative to serve as a director or supervisor of the Company under Article 27, Paragraph 1 or 2 of the Company Act; the chairperson, general manager, or person holding an equivalent position of the Company and a person in any of those positions at another company or institution are the same person or are spouses; a directors (councils), supervisors (supervisors), or employees of other companies or institutions; a professional individual who provides commercial, legal, financial, accounting or</p>	
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			related services to the Company or any affiliate of the Company within the last 2 years. Independent Director, An-Pin Chen, who concurrently serves as an Independent Director of Yuanta Securities Co., Ltd., a subsidiary of the same parent company, but complies with Article 6, Paragraph 2 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange;” therefore, he meets the requirement of independence as stipulated in Article 6 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange.”	
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Note 1: Please indicate the relevant seniority, professional qualification, experience, and independence of each Remuneration Committee member in the form in details. Please refer to Page 7 for the relevant information of the directors and independent directors in details.

Note 2: Professional qualification and experience: Describe the professional qualification and experience of each individual Remuneration Committee member.

Note 3: Compliance with the requirement of independence: Please state the independence of Remuneration Committee members, including but not limited to whether they, their spouse, or relatives within the second degree of kinship serve as directors, supervisors, or employees of the Company or its affiliates; the number of Company’s shares and shareholdings held by the Remuneration Committee members, their spouses, and relative in the second degree of kinship (or in the name of others); whether they are directors, supervisors, or employees of other companies that have a specific relationship with the Company (please refer to Article 6, Paragraph 1, Subparagraphs 5~8 of the “Regulations Governing the Appointment and Exercise of Powers by the Remuneration Committee of a Company Whose Stock is Listed on the Taiwan Stock Exchange or the Taipei Exchange”), and whether they provide commercial, legal, financial, accounting or related services to the Company or any affiliate of the Company within the last 2 years.

2. The duties of the Remuneration Committee

- (1) On a regular basis meanwhile, we reassessed the Company's policies in performance evaluation and payroll policies, system, criteria and structure for directors and managerial officers.
- (2) Amidst evaluation on a regular basis, we duly work out the salaries and remuneration for the Company's directors and managerial officers.
- (3) The Committee shall perform the abovementioned duties based on the following principles:
 - A. The performance evaluation of directors and managing officers and their remuneration should be determined by referring to the payment standard of the industry; also, by considering the reasonableness of its correlation with personal performance, company performance, and future risks.
 - B. No act intended to guide a director or a managerial officer into a deal in excess of the risk tolerance in the attempt to strive for higher pay remuneration.
 - C. The specificity of the industry and the nature of the Company's business shall be considered when determining the proportion of profit sharing for short-term performance and the changes in the payment time of part of the salary and remuneration of directors and executives.

3. Information on the operation of the Remuneration Committee

- (1) The Remuneration Committee of the Company is consisted of 3 persons.
- (2) The tenure of the 11th Committee Members: From July 5, 2021 to May 26, 2024. The Remuneration Committee had three meetings (A) held in the most recent year (2024).
- (3) he tenure of the 12th Committee Members: From May 27, 2024 to May 26, 2027. The Remuneration Committee had five meetings (A) held in the most recent year (2024).

Member attendances:

Title	Name	Actual attendance (B)	Proxy Attendance	Percentage of actual attendance (%) (B/A) (Note)	Remarks
Independent Director	Hui-Erh Yuan	8	0	100	The 11th Independent Directors and the convener should attend 3 meetings (A) The 12th Independent Directors were reelected and took office on May 27, 2024 with 5 meetings to attend (A) The convener was elected on May 27, 2024
Independent Director	Yu-Chun Wu	8	0	100	The 11th Independent Director s with 3 meetings to attend (A). The 12th Independent Directors were reelected and took office on May 27, 2024 with 5 meetings to attend (A)
Independent Director	An-Pin Chen	8	0	100	The alternative member for the 11th term of office was elected on March 8, 2023

					<p>The independent director was elected in the shareholders meeting on May 24, 2023 with 3 meetings to attend (A)</p> <p>The 12th Independent Directors were reelected and took office on May 27, 2024 with 5 meetings to attend (A)</p>
<p>Other remarks:</p> <p>I. The Board may not accept the recommendations of the Remuneration Committee, or revise the recommendations, specify the date of the Board meeting, the term, the content of the motion, the resolution of the Board, and the response of the Board towards the opinions of the Remuneration Committee (e.g., the remuneration package passed by the Board is superior to the recommendation of the Remuneration Committee, specify the difference and the reasons): none.</p> <p>II. If any of the members of the Remuneration Committee hold adverse opinion or qualified opinions with record or in written declaration against the resolutions of the committee, specify the date and the session of the committee meeting, the content of the motion, the opinions of all members and the response to the opinions of the members: none.</p> <p>III. Reasons for discussions and resolutions of the Remuneration Committee and the Company's handling of employee suggestions:</p> <p>(I) The 20th Remuneration Committee meeting of 11th convened on January 31, 2024.</p> <p>◎ Self-evaluation results of the board and functional committee in 2023.</p> <p>◎ The proposal for the Company's distribution of performance bonus to the managerial officers.</p> <p>The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.</p> <p>Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: The issue was duly resolved by all present directors plenary in the 37th Meeting of the 11th board of directors convened on January 31, 2024.</p> <p>◎ It is to resolve the group performance bonus of the chairman, vice chairman, president, and other senior executives of the company.</p> <p>The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.</p> <p>Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: In the 37th meeting of the 11th board of directors convened on January 31, 2024, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.</p> <p>(II) The 21st Remuneration Committee meeting of 11th convened on February 27, 2024.</p> <p>◎ Presenting the 2023 Employees' Remuneration Distribution.</p> <p>The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.</p> <p>Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: In the 38th meeting of the 11th board of directors convened on February 27, 2024, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.</p> <p>(III) The 22nd Remuneration Committee meeting of 11th convened on May 14, 2024.</p> <p>◎ Amidst evaluation on a regular basis, we duly work out the salaries and remuneration for the Company's managerial officers.</p> <p>The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.</p> <p>Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: In the 42nd meeting of the 11th board of directors convened on May 14, 2024, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.</p> <p>◎ The promotion of the Company's 2024 managerial officers.</p>					

- The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
- Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: The issue was duly resolved by all present directors plenarily in the 42nd Meeting of the 11th board of directors convened on May 14, 2024.
- (IV) The 1st Remuneration Committee meeting of 12th convened on May 27, 2024.
- ⊙ Proposal to elect the Remuneration Committee of 12th convener.
Remuneration Committee Resolution: All attending committee members unanimously elected Ms. Hui-Erh Yuan as the convener of the Company's 12th Remuneration Committee.
- (V) The 2nd Remuneration Committee meeting of 12th convened on June 19, 2024.
- ⊙ On a regular basis meanwhile, we reassessed the Company's policies in performance evaluation and payroll policies, system, criteria and structure for directors and managerial officers.
The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: The issue was duly resolved by all present directors plenarily in the 3rd Meeting of the 12th board of directors convened on June 26, 2024.
 - ⊙ Amidst evaluation on a regular basis, we duly work out the salaries and remuneration for the Company's directors.
 - ⊙ Presenting the 2023 Manager and Employees' Remuneration Distribution.
The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: In the 3rd meeting of the 12th board of directors convened on June 26, 2024, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.
- (VI) The 3rd Remuneration Committee meeting of 12th convened on July 31, 2024.
- ⊙ The proposal for the performance bonus of the Company's Chairman, Vice Chairman, President, Executive VP, and other senior executives is submitted for review and discussion.
The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: In the 4th meeting of the 12th board of directors convened on July 31, 2024, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.
 - ⊙ The proposal for the Company's distribution of performance bonus to the managerial officers.
The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: The issue was duly resolved by all present directors plenarily in the 4th Meeting of the 12th board of directors convened on July 31, 2024.
- (VII) The 4th Remuneration Committee meeting of 12th convened on November 27, 2024.
- ⊙ Amendment for part of the Company's "Performance evaluation rules of the Board of Directors and functional committee."
The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee: The issue was duly resolved by all present directors plenarily in the 8th Meeting of the 12th board of directors convened on November 27, 2024.
- (VIII) The 5th Remuneration Committee meeting of 12th convened on December 18, 2024.
- ⊙ It is for matters related to the stipulation of the Company's "Rules governing cash capital increase and employee stock subscription in 2024."
The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.
Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee:

In the 9th meeting of the 12th board of directors convened on December 18, 2024, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.

(IX) The 6th Remuneration Committee meeting of 12th convened on January 21, 2025.

◎ Self-evaluation results of the board and functional committee in 2024.

◎ The proposal for the Company's distribution of performance bonus to the managerial officers.

The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee:

The issue was duly resolved by all present directors plenarily in the 11th Meeting of the 12th board of directors convened on January 21, 2025.

◎ The proposal for the performance bonus of the Company's Chairman, Vice Chairman, President, Executive VP, and other senior executives is submitted for review and discussion.

The resolution reached by the Remuneration Committee: Approved with the consent of the board directors.

Acts to be taken by the Company in response to the opinions heard in the Remuneration Committee:

In the 12th meeting of the 11th board of directors convened on January 21, 2025, all present directors granted the issue with a pass except those in interested involvement who withdrew from the event.

Note 1: If specific member of the Remuneration Committee resigned before the end of the fiscal year, specify the date of departure in the field of Remarks, the attendance rate to committee meetings (%) basing on the actual attendance to committee meetings during his or her term of office in proportion to the total number of committee meetings held in the same period.

Note 2: There is the election of new committee members before the end of the fiscal year, specify the names of the old and the new committee members in the field of Remarks as old member, new member, or renewal of new term by old member, and the date of the election. The actual attendance rate to committee meetings (%) basing on the actual attendance to committee meetings during his or her term of office in proportion to the total number of committee meetings held in the same period.

(V) The promotion of sustainable development and Variation with the Sustainable Development Best Practice Principles for TWSE/TPEX Listed Companies, and the reason for the variation.

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
I. Has the company established a governance structure to promote sustainable development, and set up a full-time (part-time) unit to promote sustainable development, which is handled by the senior management authorized by the board of directors, and the actual supervision of the board of directors?	V		<p>I.</p> <p>1. Yuanta Futures adheres to the sustainability promotion strategy and core philosophy of Yuanta Financial Holdings Group, formulates Yuanta Futures’ “Sustainable Development Best-Practice” and “Sustainable Development Policy and Management Rules,” and complies with the “Sustainable Development Best-Practice Principles” and “Sustainable Development Policy and Management Rules” of Yuanta Financial Holdings to establish the company’s sustainable development promotion structure. The company has established a sustainable development promotion group since the year of 2014 with the President designated as the convener and the relevant management matters handled by the nine departments within, including the secretary office of the board of directors, the Audit Department, the Legal Compliance Department, the Management Department, the Risk Management Department, the Customer Transaction Department, the Corporate Planning Department, the Digital Finance Department, and the Sales Department; also, the Corporate Planning Department is responsible for the overall planning and promotion of sustainable development. The</p>	There is no difference detected.

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>Corporate Planning Department as the designated unit for the company's sustainable development will report on the implementation results of various projects at the regular meetings, and presents proposals related to sustainable development to the board of directors for resolution in order to manage and substantiate the company's sustainable management policy effectively. The company prepares a sustainable report every year to disclose the company's sustainable development performance transparently.</p> <p>2. The company reports the specific achievements and promotion of the sustainable development to the board of directors on a regular basis (at least once a year) that allows the board directors to review the implementation completed in the current year, and conduct strategic reviews and propose suggestions for optimization in accordance with the impact of the industrial environment in the current year. The specific achievements and promotion of the company's 2023 sustainable development was reported in the 4th board meeting of the 12th officer term on July 31, 2024.</p> <p>3. The main work plans and responsibilities of the company's sustainable development promotion group are as follows:</p> <p>(1) Formulate annual sustainable development direction and goals.</p> <p>(2) Establish strategies for the implementation of each plan, and coordinate various departments to implement</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>sustainable development-related activities and projects.</p> <p>(3) Follow up on the implementation of sustainable development projects and ethical corporate management.</p> <p>(4) Identify issues and material subjects that are the concerns of the stakeholders, and invite all stakeholders to participate in the promotion of relevant sustainable management.</p> <p>(5) Participate in the functional group formed by the “Corporate Sustainability Office” of Yuanta Financial Holdings, covering the issues of corporate governance, sustainable finance, customer care, employee care, environmental sustainability, social participation, etc.</p> <p>(6) Report the proposals related to sustainable development promotion to the board of directors with the sustainable report prepared.</p> <p>The company’s implementation of sustainable development is fully disclosed in the “Sustainable Development” section of the company’s official website at the following URL: https://www.yuantafutures.com.tw/esg/esg_01.</p>	
II. Has the Company assessed the risks pertinent to the environment, society, and issues of corporate governance deriving from corporate management under the principle of materiality to map out related risk management policy or strategy?	V		<p>II.</p> <p>1. The data disclosure includes the Company’s sustainable development performance at the main sites from January 2024 to December 2024. The risk assessment boundary is mainly based on the company, covering the offices in Taiwan, mainland China, and Hong Kong.</p>	There is no difference detected.

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies								
	Yes	No	Summary description									
			<div>2. The Company values the opinions of the stakeholders, actively communicates with stakeholders through various channels, understands and identifies issues of their concern, analyzes stakeholders’ perspectives on the environment, society, and corporate governance; also, examines the impact of various issues on the Company’s business operations. The Company conducts relevant risk assessments on the materiality principle for environmental, social and corporate governance issues, and formulates relevant risk management policies or strategies based on the assessed risks:</div> <table><tr><th>Major issues</th><th>Risk assessment items</th><th>Risk management policy or strategy</th></tr><tr><td rowspan="2">Environment</td><td>Renewable energy</td><td>The Company’s various energy-saving and water-saving measures, through the promotion of environmental protection measures such as e-billing and resource recovering and reuse, and the use of low energy consumption and green energy products in the procurement of office supplies and equipment, are committed to reducing the impact of operations on the environment. In addition, a labor work environment measurement report is issued by Yu Shin Safety and Health Management Consulting Co., Ltd. every year.</td></tr><tr><td>Greenhouse gas, water, and waste management</td><td>The Company introduced the ISO 14064-1 greenhouse gas inventory system in 2017, and passed the verification by the international certification organization BSI. The company</td></tr></table>	Major issues	Risk assessment items	Risk management policy or strategy	Environment	Renewable energy	The Company’s various energy-saving and water-saving measures, through the promotion of environmental protection measures such as e-billing and resource recovering and reuse, and the use of low energy consumption and green energy products in the procurement of office supplies and equipment, are committed to reducing the impact of operations on the environment. In addition, a labor work environment measurement report is issued by Yu Shin Safety and Health Management Consulting Co., Ltd. every year.	Greenhouse gas, water, and waste management	The Company introduced the ISO 14064-1 greenhouse gas inventory system in 2017, and passed the verification by the international certification organization BSI. The company	
Major issues	Risk assessment items	Risk management policy or strategy										
Environment	Renewable energy	The Company’s various energy-saving and water-saving measures, through the promotion of environmental protection measures such as e-billing and resource recovering and reuse, and the use of low energy consumption and green energy products in the procurement of office supplies and equipment, are committed to reducing the impact of operations on the environment. In addition, a labor work environment measurement report is issued by Yu Shin Safety and Health Management Consulting Co., Ltd. every year.										
	Greenhouse gas, water, and waste management	The Company introduced the ISO 14064-1 greenhouse gas inventory system in 2017, and passed the verification by the international certification organization BSI. The company										

Promotional items	Execution				Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies	
	Yes	No	Summary description			
					will continue to count the amount of greenhouse gas emissions annually, and control greenhouse gas emissions by reviewing data over the years. The goal is set to reduce carbon emissions by 4% every year compared with the base year in order to ease the impact of the company’s operations on the environment.	
				Environmental governance	The company has incorporated climate change risks into the risk management policies and has further reviewed and evaluated the financial impact to the company in order to enhance the company’s management of climate change risks continuously.	
			Society	Human rights	The Company has proposed the working guidelines as required by law, posted the guidelines at the intranet of the Company, calls for labor-management meetings regularly, and employs the handicapped and the aboriginal people as employees for the respect of the basic human right of the worker internationally recognized.	
				Supplier management policy	In order to understand the suppliers’ ethical management status, the Company, in accordance with the “Supplier Sustainable Procurement Clauset” of its affiliated group Yuanta Financial Holdings, requests vendors to provide the “Supplier Sustainable Procurement Clause and Integrity Commitment Clauses” and business transaction information and check the website of the Judicial Yuan whether they have	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies		
	Yes	No	Summary description			
				previous records of taking bribes and providing illegal political donations. Vendors are asked to follow relevant regulations on issues such as environmental protection, safety or health, and labor human rights, and work together with the Company to improve corporate social responsibility. According to Article 20 Paragraph 2 of the “Procedures for Ethical Management and Guidelines for Conduct,” when one of the parties has conducted business activities involving an unethical act, the other party may have the contract terminated or rescinded at any time.		
			Corporate governance	Law Compliance		In order to prevent violations of anti-money laundering and countering terrorism financing regulations, leakage or improper use of personal information, theft of customer transaction information, etc., which may cause major financial losses, damage to the Company’s reputation and penalties by the competent authority, the Company strengthens the regulatory compliance management, including identification, measurement and monitoring money laundering and terrorism financing risks; strengthening the control of external e-mails; and establishing an internal control system to implement the self-evaluation internal control of each department.
			The complete content is disclosed in the “Corporate Social Responsibility” section on the company’s official website, the URL is as follows:			

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			https://www.yuantafutures.com.tw/csr_01 .	
III. Environmental Issues				
(I) Does the Company have an appropriate environmental management system established in accordance with its industrial character?	V		III. (I) 1. In 2016, Yuanta Financial Holdings Group successfully set up an ISO 14001 Environment Management System. Through the teamwork of the entire Group, the entire Company tries hard to conserve power and water consumption to minimize its impact on the environment. The Company tries hard to promote electronic account bills and resource recycling as well as such environmental protection efforts. In procurement of office articles and supplies, the Company aims at low consumption and green energy oriented goods. On an annual basis, the Safety & Health Management Consultation Company issues testing and monitoring reports to verify the Company's performance in labor operating environment. 2. Yuanta Futures has successively introduced ISO 14064-1 Greenhouse Gas Inventory, ISO 45001 Occupational Safety and Health Management, ISO 20400 Sustainable Procurement Guide, ISO 14046 Water Footprint Inventory, and other verification standards since 2017. Also, it has contracted SGS and BSI (The British Standards Institution) to handle data inspections in order to maintain the reliability and accuracy of all data.	There is no difference detected.
(II) Is the company committed to improving energy efficiency and using recycled materials with	V		(II) 1. The business and office areas have been fully equipped with	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
<p>low impact on the environment?</p> <p>(III) Has the Company assessed the potential risk or opportunity deriving from climate change and its effect on the Company at present and in the future, and mapped out the response to climate-related issues?</p>	V		<p>low-energy equipment such as VRV variable frequency multi-connected air-conditioning systems, LED energy-saving lamps, and inkjet energy-saving multi-function office machines since the relocation of the head office to the new building in June 2021. Additionally, an iEN smart energy-saving system has been installed to monitor the energy consumption and usage of various heavy electrical equipment in order to optimize energy efficiency.</p> <p>2. Yuanta Futures is concerned about the heavy paper consumption and information equipment power consumption throughout the trading process. Therefore, in order to reduce the impact on the environment, the Company uses Program for the Endorsement of FSC and Forest Certification (PEFC) as the printing paper and all Energy Star information equipment.</p> <p>(III) In supporting the policy of the Group, the Company takes the following measures in response to the potential risks and opportunities of the enterprises deriving from climate change at present and in the future.</p> <p>1. Establish a Task Force on Climate-Related Financial Disclosure (TCFD) to study the “Climate-related Financial Disclosure Recommendation” issued by the International Financial Stability Board (FSB) that requires enterprises to provide stakeholders with relevant and reliable financial measurement information, and to develop and adapt</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(IV) Has the Company kept statistics on the greenhouse gas emission volume, water consumption volume, and total weight of wastes over the last 2 years, and mapped out the policies for managing the reduction of carbon, greenhouse gas emission, water consumption, and the generation of wastes?	V		<p>responsive strategies and adjustment measures through the identified climate change related risks and opportunities.</p> <p>2. The detailed information of the projects stated in the preceding paragraph is disclosed on pages 149–158 of the company's annual report – the climate-related information of the TWSE/TPEX List Companies.</p> <p>3. In the conduct of industry risk assessment, the effect of climate change on the particular industry is included. The industry risk rating result is positively correlated with the credit and large amount exposure of the Company on the particular industry. As such, the Company included the potential risk of climate change into the assessment that yields the effect of guiding the company in the financial utilization exposure direction.</p> <p>(IV)</p> <p>1. Exactly in coordination with the Group's policies, the Company duly set up ISO 14001 Environment Management System Criteria as well oriented to the financial industry. Starting from 2017, the Company brought ISO 14064-1 Greenhouse Gas Monitoring System which had been officially verified by the International Verification Organization British Standards Institution (BSI). In the aspect of environmental management, the Company continues to operate as below:</p> <p>(1) Exactly pursuant to the Yuanta Group's policies, outcomes in the environmental assessment and decisions</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>resolved in managerial review, the Company duly works out or update its environmental policies.</p> <p>(2) The Company duly enacted managerial specifications governing interior environments with air conditioning temperature inside offices which exactly satisfy the requirements of the Autonomous Act of Taipei City in Guidance over Energy Saving & Carbon Reduction for Industries & Commerce.</p> <p>(3) Every year, the Company reassesses the performance and outcome in water and power consumption to thoroughly implement the policies to conserve water, save energy & reduce carbon and minimize greenhouse gases.</p> <p>(4) Smoking is strictly prohibited in the office and it is limited to the designated outdoor area only in accordance with the governing laws and regulations. In addition, carry out the service of disinfection, rodent control, and insect, pest, and vector mosquito removal.</p> <p>(5) The Management Committee of the Yuanta Building is the unit solely assuming the responsibility to take charge of environments. The overall maintenance & upkeep of the environment is enumerated below:</p> <p>a. Here at Yuanta amidst financial services, the key sources for greenhouse gas discharge power, water consumption and fuel for transportations. The Company has tried hard to monitor the discharge of</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>greenhouse gas. Starting from 2017, the Company officially outsourced outside institution to monitor and verify greenhouse gas discharge.</p> <p>b. Toward the management of greenhouse gas discharge, the Company holds a strategy to promote environmental protection to implemented thoroughly energy saving & carbon reduction:</p> <p>(A) The Company implements resource recycling and launched green procurement.</p> <p>(B) The Company encourages everyone to take the stairs instead of elevator between two floors since it serves the purpose of exercising more and saving energy-consumption. The elevators are programmed for odd- and even-numbered floors separately to save the energy consumption of docking and opening and closing doors.</p> <p>(C) For entire Yuanta office premises, the average room temperature is set never below 26 degrees C.</p> <p>(D) At sunshine spots, we installed sun shade curtains to minimize solar radiation.</p> <p>(E) Promote unplugged OA equipment that will not be used for a long period of time; also, turn off light on the way out of office.</p> <p>(F) The multi-functional office machines are programmed to automatically enter standby</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>power-saving mode.</p> <p>(G) Adopt energy-saving sensor-control faucets comprehensively to save water.</p> <p>(H) Promote video conferencing, save energy consumption, and reduce carbon emissions resulted from commuting.</p> <p>(I) Board meeting materials are presented in a digital format using tablet computers, and most internal and external correspondence has been converted to electronic documents with online approval and transmission to reduce the use of paper and toner.</p> <p>(J) Business cards, stationery, and courier service application forms are replaced with OA digital electronic applications to reduce paper usage.</p> <p>4. The company strives to promote environmental sustainability. The pioneering work of green power transfer at all offices in Taiwan was completed in 2023.</p> <p>5. Also, the Company is committed to cooperating with the financial holding's environmental sustainability policy. The Company had received the "Leadership – Class A" rating from the International Carbon Disclosure Project (CDP) in 2023, which shows how the Group's efforts have been fully recognized by international professional organizations.</p> <p>6. The Company introduced the ISO 14064-1, the greenhouse gas inspection system in 2017, and was accredited by BSI. In</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>2024, the volume of direct emission of greenhouse gas was 45.8034 metric tons CO2e/year and the indirect remission of greenhouse gas was 555.451 metric tons CO2e/year. The Company intends to count the greenhouse gas emissions every year and apply such statistics to control greenhouse gas emissions in the future.</p> <p>7. The company has implemented sustainable management practices including climate change, energy saving, carbon reduction, and green environmental protection. The Taichung Branch has adopted 100% green power since February 2022, making it the first business office in the futures industry to do so. The company has also partnered in 2023, achieving the goal of using green power at all offices and becoming the futures company with the broadest green power deployment to protect the earth and promote environmental sustainability.</p> <p>8. The Company, in addition to cooperating with the government's energy conservation and carbon reduction policies and promoting the aforementioned measures, complies with the "Regulations Governing Energy Consumers' Conservation Target and Implementation Plan" of the Ministry of Economic Affairs to save more than 1% power consumption annually in 2015 ~ 2020; also, the 5-year average saving in power consumption is more than 1%.</p> <p>9. The Company had formulated the "Environmental Policy" in 2016 to realize environmental protection, environmental</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies								
	Yes	No	Summary description									
			<p>management, and energy conservation. In response to international energy shortages, climate change, etc., the Company had formulated the “Energy and Climate Change Management Policy” in 2017 to actively respond to the trend of energy conservation and carbon reduction. The Company had also formulated energy-saving goals and plans, and incorporated sustainable operations into the business management and operations.</p> <p>10. The Company has supported the environmental goals set by the Group and strived to achieve various environmental sustainability goals with the specific quantitative indicators determined as follows:</p> <table><tr><th>Environmental goal</th><th>Short-term goal</th><th>Mid-term goal</th><th>Long-term goal</th></tr><tr><td>Scope I and II carbon reduction targets (2017 is the base year)</td><td>1. Reduce carbon emissions per unit of revenue by 4% in 2021 compared to the base year. 2. Reduce energy consumption</td><td>1. Reduce carbon emissions per unit of revenue by 6% in 2023 compared to the base year. 2. Reduce energy consumption</td><td>1. Reduce carbon emissions per unit of revenue by 8% in 2025 compared to the base year. 2. Reduce energy consumption</td></tr></table>	Environmental goal	Short-term goal	Mid-term goal	Long-term goal	Scope I and II carbon reduction targets (2017 is the base year)	1. Reduce carbon emissions per unit of revenue by 4% in 2021 compared to the base year. 2. Reduce energy consumption	1. Reduce carbon emissions per unit of revenue by 6% in 2023 compared to the base year. 2. Reduce energy consumption	1. Reduce carbon emissions per unit of revenue by 8% in 2025 compared to the base year. 2. Reduce energy consumption	
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Promotional items	Execution				Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies		
	Yes	No	Summary description				
				by 4% in 2021 compared to the base year.	by 5% in 2023 compared to the base year.	by 7% in 2025 compared to the base year.	
			Waste reduction goal (2019 is the base year)	Reduce the volume by 1% per capita in 2021 compared to the base year.	Reduce the volume by 2% per capita in 2023 compared to the base year.	Reduce the volume by 3% per capita in 2025 compared to the base year.	
			Reduce water consumption (2019 is the base year)	Reduce water consumption by 1% per square meter in 2021 compared to the base year.	Reduce water consumption by 2.5% per square meter in 2023 compared to the base year.	Reduce water consumption by 4% per square meter in 2025 compared to the base year.	
			Respond to renewable energy use	1. 100% green electricity for each operating site in 2021 2. Increase the use of green electricity by 2% annually.	1. There will be at least two business offices with green power in use by 2023.	2025 Electricity utilization rate in operating bases in Taiwan	
			11. The company’s environmental data in recent years are as				

Promotional items	Execution				Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies																					
	Yes	No	Summary description																							
			<div>follows:</div> <table><tr><td>Item</td><td>2022</td><td>2023</td><td>2024</td></tr><tr><td>Greenhouse gas emissions (metric tons) (Scope 1+2+3)</td><td>669.32</td><td>530.1853</td><td>601.254</td></tr><tr><td>Power consumption (kWh)</td><td>1,168,760</td><td>1,207,325</td><td>903,673</td></tr><tr><td>Total waste (metric tons)</td><td>14</td><td>13.8526</td><td>14.1324</td></tr><tr><td>Water consumption (liters)</td><td>3,682,000</td><td>4,145,000</td><td>4,165,000</td></tr></table>			Item	2022	2023	2024	Greenhouse gas emissions (metric tons) (Scope 1+2+3)	669.32	530.1853	601.254	Power consumption (kWh)	1,168,760	1,207,325	903,673	Total waste (metric tons)	14	13.8526	14.1324	Water consumption (liters)	3,682,000	4,145,000	4,165,000	
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IV. Social Issues (I) Does the Company have the relevant management policies and procedures stipulated in accordance with the relevant laws and regulations and international conventions on human rights?	V		IV. (I) 1. The company recognizes and supports the spirit and basic principle of protecting human rights announced in the “Universal Declaration of Human Rights,” the “United Nations Global Compact,” and the “International Labor Conventions.” It bases the aforementioned spirit and basic principle and takes into account the human rights issues closely related on it to the company’s operations; also, refers to the “Human Rights Policy of Yuanta Financial Holdings” (hereinafter referred to as the “Human Rights Policy”) to regulate the protection of human rights in the workplace,			There is no difference detected.																				

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(II) Has the Company established and pursued reasonable welfare policies for the employees (including remuneration, holidays, and other benefits), and reflected the performance or result of operation on the remunerations to the employees?	V		<p>provide a healthy and safe workplace, advocate human rights policies, etc., in order to realize the responsibility of respecting and protecting human rights. In order to substantiate the “Human Rights Policy,” the company identifies risk and formulates corresponding management measures for human rights issues, regularly evaluates the effectiveness of implementation and adjusts management measures based on the assessment results in order to control and mitigate risks, and refine the company’s human right protection in various issues, which will then be disclosed on the company’s “Human Rights Policy” and “Human Rights Risk Assessment and Management” sections on the company’s website at https://www.yuantafutures.com.tw/csr_07</p> <p>2. The Company has work rules reported lawfully and disclosed on the Company’s internal website, held labor-management meetings regularly, actively recruited handicaps and aboriginal people to show the respect for internationally recognized principles of basic labor rights.</p> <p>(II) The Company provides a fair, reasonable, and competitive salary system. The male employees accounted for 52% and female employees accounted for 48% in 2024; also, there were more than 40% mid-level and high-level supervisors were female. The Company provides annual promotion and salary raise to</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(III) Does the Company provide employees with a safe and healthy work environment, and provide safety and health education to employees regularly?	V		<p>outstanding employees according to the employee performance management rules; also, appropriates performance bonus according to the Company's annual operating results, as well as the employee's performance evaluation and job performance. The Company provides employee with welfares, including three festivals (Chinese New Year, Dragon Boat Festival, and August Moon Festival) gift money, employee shareholding trust subsidies, birthday gift money, marriage subsidies, maternity subsidies, hospitalization and medical subsidies, funeral subsidies, emergency assistance subsidies, employee assistance programs (EAPs), employee children's education scholarships, group activities, and diversified welfare system. The Company is a happy enterprise that values the importance of a healthy and friendly workplace, provides various convenient measures, and offers employees with comprehensive care and protection.</p> <p>(III)</p> <p>1. The company introduced the ISO 45001:2018 occupational safety and health management system in 2021 to conduct comprehensive occupational safety and health management, and to formulate an occupational safety and health management manual and occupational safety and health management plan which has been by the British Standards Institution (BSI), a third-party certification service, continuously every year. According to the safety and health work rules proposed, the company reported zero (0)</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>occupational accident in 2024, which is disclosed on the company's internal website. The company provides employees with occupational accident compensation and related insurance benefits during the working hours and off time.</p> <p>2. The occupational safety and health education and training arranged in 2024 are as follows:</p> <p>(1) Occupational safety and health education and training for new recruits: 44 person-times</p> <p>(2) 3-year occupational safety and health education and training for internal employees: 808 person-times (Once every three years)</p> <p>(3) External occupational safety and health education and training: 8 person-times</p> <p>3. In addition to inspecting and maintaining the firefighting system and disaster prevention equipment regularly, the superintendents of the building where the head office is located implements 24-hour access control and security control strictly to provide a safe and perfect workplace for the company's employees. The company regularly arranges health checkups for the colleagues that is superior to the legal requirements; also, occupational medical doctors are contracted to provide on-site health consultation services specially and lawfully, including a nurse presents to regularly provide health seminars, health promotion courses, health</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>information propaganda, and referrals in order to establish multi-faceted healthcare for employees' physical and mental health, as well as their social life. In response to pandemic or contagious diseases, protective supplies such as masks and alcohol-based sanitizers have been stockpiled. For those with disease concerns or related issues, case-by-case telephone care follow-ups have been implemented. Additionally, medical experts are invited to the Company to conduct one-on-one individual health consultation clinics, properly caring for the physical and mental health of employees after infection.</p> <p>4. Healthy workplace:</p> <p>(1) Organizing the “Dragon Fitness” muscle gain and fat loss competition: Encouraging employees to lose weight, reduce body fat, and increase muscle mass. This establishes advanced dietary and exercise concepts for colleagues, helping them develop good eating and exercise habits, reduce weight and waist circumference, improve body composition, thereby preventing chronic diseases, practicing healthy living, implementing a healthy and happy workplace, and maintaining sustainable business operations.</p> <p>(2) Implementing Work–Life Balance Program: To establish a friendly workplace environment and achieve physical and mental balance, we focus on three main directions:</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>“Employee Stress Relief,” “Family-Friendly Policies,” and “Assistance for Middle-aged and Senior Employees with Retirement Preparation and Adjustment.” These initiatives allow employees to work with peace of mind and efficiency, enhancing enterprise competitiveness and productivity. We have submitted an application for the “Work–Life Balance Subsidy Program” to the Ministry of Labor, actively promoting work–life balance initiatives, and have received related funding from the Ministry of Labor.</p> <p>(3) Promote the protection of middle-aged and elderly workers: The company appreciates the importance of employees and has the “Adaptable Work Plan for the Middle-aged and Elderly People” stipulated to cooperate with the government in encouraging the employment of middle-aged and elderly workers and improving the utilization of human resources. The company has also implemented an employee assistance plan to enhance occupational safety and health management measures, to prevent occupational disasters from occurring, and to take care of middle-aged and elderly colleagues.</p> <p>(4) Focus on Maternal Health: The Company provides “Yuan Mama Trendy Baby Gift” small presents to pregnant and postpartum employees, addressing the needs of female employees during breastfeeding and infant care periods.</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(IV) Does the Company have an effective career capacity development training program established for the employees?	V		<p>Both pregnant and postpartum employees receive one-on-one health consultations from physicians at the Company premises. The Company has established breastfeeding rooms, which received the “Excellent Breastfeeding Room – Superior” certification from the Taipei City Government Department of Health in 2023.</p> <p>(5) In 2024, the headquarters obtained the “Health Promotion Mark” from the Health Promotion Administration, while the Kaohsiung and Tainan branches received the “Health Initiation Mark,” and the Company was awarded the “CHR Healthy Corporate Citizen” digital badge in the small giant category. The Company continues to participate in the Occupational Safety and Health Administration’s “National Workplace Safety and Health Week Series of Activities” annually.</p> <p>5. There were 0 fire incidents reported in 2024. Emergency response drills were carried out in conjunction with the activity held for the building on 5/9 and 10/15, respectively; also, awareness lectures on fire prevention, disaster prevention, and earthquake response were arranged to enhance colleagues’ ability to respond to disasters.</p> <p>(IV) The company based on the development strategy and operational objectives “Innovation and foresight, sustainable wealth” and combined the Group’s “Stabilizing the Core and</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>Driving Growth” to develop comprehensive strategies and the company’s sustainable innovation thinking in 2024. The Company, for the purpose of stimulating employee’s potentials and nurturing talents, has the “Guidelines for Employee Education and Training” regulated to train employees establishing effective occupational capacity. Based on the three key training and development focuses for 2024 – Campus Cultivation and Industry–Academia Cooperation, Futures Professional Talent Development, and Succession Team Communication and Leadership Development, the details are as follows:</p> <ol style="list-style-type: none"> 1. Implementation of campus cultivation and industry–university cooperation: Taking into account the company’s organizational operations and employer’s branding, Yuanta Futures arranged campus cultivation with a focus on three directions in 2024, namely the “International broker and joint recruitment planning” that the company voluntarily applied to join, and the “Campus Financial Promotion and Intern Recruitment Plan” arranged by cooperating with schools, and the “From Campus to Workplace – Create Future Activities with Futures” arranged with the Chinese National Futures Association jointly. Recruit talents to help them become international brokers. Go to schools to recruit and to promote employer’s brand. A total of 15 campus 	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>expositions and 4 briefing sessions (19 activities in total) were held with 735 resumes collected. The company engages in industry–academia cooperations continuously and actively. A total of 33 students were successfully recruited to join the company’s intern program, which helped solidify the company’s employer brand starting with the students in schools.</p> <p>2. Cultivation of futures talents: Promote the training of money laundering prevention, legal compliance, risk management and internal audit and internal control, financial consumer protection, fair treatment, intellectual property, ESG, and other related training continuously. A total of 5,448.5 hours of training were provided to 6,246 participants, accounted for 29% of the total training hours. Personal data protection and information security related training was with a total of 1,853.83 hours provided to 1,289 participants, accounted for 9.87% of the total training hours. In addition, the company had based on the operational development strategy to cultivate new recruits and financial professionals, and to propagandize corporate social responsibility, ethical management, and other organizational cultural values with a total of 2,681.5 hours provided to 2,511 participants, accounted for 14.27% of the total training hours.</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>3. Implementation status of cultivation of successors' communication and leadership: The company plans to reshape the management mentality and learn new management skills in order to enhance the functional productivity of the new generation. Therefore, for newly promoted business managers, we provide three major directions of job competency, enhancing their sense of identification, mindset, and skills, enabling them to quickly master their job duties, mitigate risks, and achieve goals, helping managers lead with greater confidence and drive team members to reach performance targets.</p> <p>4. Implementation status of cultivation of successors: The company selects candidates as the successors of the management based on their professional qualifications, work performance, development potential, corporate core value inclination, and personal development willingness. The company arranges to have the deputy supervisors participated in important meetings regularly and served as the substitute of the main managerial officers for a diversified development in order to understand the company's overall development strategy in-depth, cross-company communication and coordination mechanism, decision-making and thinking, policy implementation operations, and other management practices; also, enhance the level of thinking and execution</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(V) Has the Company followed relevant regulations and international standards, and formulated consumer protection or client interest related policies and complaint procedures for customer health and safety in products and services provided, customer privacy, marketing, and labeling?	V		<p>that the management should have simultaneously. Therefore, the “successor training” is incorporated as an important indicator of supervisor performance assessment. The company regularly measures the development achievements and succession maturity of each vice supervisor during the interim and annual performance assessment.</p> <p>(V) The Company is a futures commission merchant and has acted to protect the interests of traders in accordance with the “Guidelines for Promotional Materials and Advertisement Performed by Members of Chinese National Futures Association” and the relevant futures commission merchant laws and regulations. For the personal information protection of customers, the Company has truly implemented customer data confidentiality measures to protect customer privacy and enhance the security of personal data in accordance with the “Customer Information Protection Policy of Yuanta Financial Holdings Co., Ltd. and Subsidiaries,” “Privacy Protection Statement of Yuanta Financial Holdings Co., Ltd. and Subsidiaries” and the “Personal Data Protection Policy,” “Rules Governing Personal Data Management,” and other internal regulations of Yuanta Futures. Arrange financial courses occasionally, and provide information related to instruments and services on the website in order to help customers recognize the instruments and their personal rights and interests. Customers are</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
(VI) Has the Company established the supplier management policy to demand suppliers observe applicable rules and regulations governing environmental protection, occupational safety	V		<p>able to obtain sufficient information through various channels. The Company has the “Treating Clients Fairly Policy” and “Treating Clients Fairly Strategy” formulated to have the rights and interests of financial consumers fully protected. The Treating Clients Fairly Committee meeting is convened on a quarterly basis with the relevant discussions and resolutions reported to the board of directors so to eliminate the information gap with customers and to follow up and substantiate business development continuously. The disputes over the transactions conducted with customers will be handled in accordance with the “Rules Governing Disputes with Clients” and “Enforcement Rules Governing Customer Complaint Process” of Yuanta Futures. Construct satisfactory customer complaint channels to handle customer complaints, and grasp the process of the complaint filed and the reply to the appellants. Yuanta Futures has obtained the service verification of “ISO 10002:2018 Customer Complaint Management System” every year since the year of 2021 in order to further improve the service quality. Yuanta Futures is the first futures merchant in Taiwan to qualify for this verification with a more comprehensive customer complaint procedure established.</p> <p>(VI) The Company operates in accordance with the “Yuanta Financial Holdings Group Sustainable Procurement Guidelines for Suppliers,” which is commonly applicable across the group, to</p>	

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
and health, or labor rights, and the state of implementation?			handle relevant regulations prior to engaging with suppliers. To understand the ethical business practices of contracting parties, sustainability procurement terms and integrity commitment clauses are incorporated into contracts, followed by subsequent checks on the Judicial Yuan website for records of bribery, illegal political contributions, and other such violations. Request manufacturers to sign a supplier's safety and health commitment letter, undertaking work hazard notification form, work safety commitment letter, and convening a joint operation agreement organization in accordance with the Occupational Safety and Health Act. Further, the Company requires suppliers to comply with applicable rules and regulations governing environmental protection, safety and health, and human rights of laborers for the joint effort in upgrading corporate social responsibility. According to Article 20 Paragraph 2 of the "Procedures for Ethical Management and Guidelines for Conduct," when one of the parties has conducted business activities involving an unethical act, the other party may have the contract terminated or rescinded at any time.	
V. Has the Company consulted the standard or directions commonly used worldwide in compiling the sustainability responsibility report for the disclosure of non-financial information on the Company? Is the aforementioned report subject to the validation or guarantee by a	V		V. 1. The company has the implementation of sustainable management disclosed in the annual report. The non-financial information reports have been issued regularly every year since the year of 2015. The "Yuanta Futures 2023 Sustainability Report" was published in August 2024 on the	There is no difference detected.

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
third-party accreditor?			<p>“Sustainable Development” section of the company’s website and the Market Observation Post System. The said report covers the company’s 2023 economic, social, corporate governance, and environmental performance; also, the company’s management policies and actions on material subjects are disclosed in detail.</p> <p>2. The company’s sustainability report is prepared in compliance with the “core” options of the Global Reporting Initiative (GRI) and the “Taipei Exchange Rules Governing the Preparation and Filing of Sustainability Reports by TPEx Listed Companies.”</p> <p>3. Report review and verification: The company’s 2023 Sustainability Report has been certified by the British Standards Institution Taiwan Branch in accordance with the AA1000v3 assurance standard and Global Reporting Initiative (GRI). This report has been verified of complying with the “core” options of the GRI standard and the moderate guarantee of AA1000v3Type1 PwC Taiwan is entrusted to carry out the “Limited Assurance” in accordance with the Taiwan Standards on Assurance Engagements (TWSAE) No. 1 “Non-historical financial Information Audit or Review Assurance,” also, the accountant’s limited assurance report and a summary of assurance items are attached to the end of the report.</p>	
VI. Where the Company may have establish its own ethical management best-practice principles in accordance with the “Sustainable Development				

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
Best Practice Principles for TWSE/TPEx Listed Companies”, and shall elaborate the practice of sustainable development and the variations from the aforementioned regulation: Yuanta Futures had formulated “Sustainable Development Best Practice Principles” and “Sustainable Development Policies and Management Rules” in accordance with “Sustainable Development Best Practice Principles for TWSE/TPEx Listed Companies”. Currently there is no significant difference in operations.				
VII. Other important information to help understand the promotion of sustainable development: (I) Social care: 1. Donated to the “Yuanta Foundation,” and participated in various cultural, educational and social welfare activities, covering six aspects “Volunteer input. Public welfare platform,,” “Assistance to disadvantaged assistance. Child Care,” “Study and cultivation assistance. Youth Self-reliance,” “Inclusive finance. Innovation and development,” “Medical care. Elderly care” and “Community service. Environmental protection” to promote corporate social responsibility. 2. In 2024, the Company donated NT\$375,000 to “Taiwan Financial Services Roundtable Co. Ltd.” as fund for public interests for financial services. That was recognized as a very significant event for the corporate social responsibility (CSR) of financial institutions. 3. The Company donated NT\$1.5 million to the Ministry of Health and Welfare disaster relief fund in 2024 to assist Hualien disaster areas and victims with disaster relief, emergency medical care, shelter placement, and reconstruction projects, contributing to the rebuilding efforts in the disaster area. 4. The Company participated in the “Yuanta 188 Sustainability Relay Project” by organizing “Zhishan Ecological Tour” and “Exploring Taipei’s Ancient Civilization” ecological series activities at Taipei Zhishan Cultural and Ecological Green Park. Over one hundred employees and their families took part, learning about the importance of biodiversity while enjoying educational family time. The spirit of sustainability is passed down through generations, contributing to environmentally sustainable development. 5. In response to the INRAA’s calling of stop burning rice straw for environmental protection in the “Taiwan Good Air and Better Field” program, the company pledged 20 hectares of farmland, which can help reduce 180 metric tons of carbon emissions and help farmers substantiate the sustainable cycle of rice straw to fields, so that it can be decomposed into soil organic fertilizer on site after harvest. 6. The Company hopes to contribute to Taiwan’s ecological environment. Since 2020, we have continuously supported the “Tamsui River Covenant” initiated by Commonwealth Magazine: doing one thing for the Tamsui River. In 2024, we expanded our commitment by signing				

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
			<p>the nationwide “Watershed Covenant.” Executives and employees from the headquarters and Kaohsiung branch, along with their families, enthusiastically participated, encouraging employees to take practical environmental action. We also invited numerous suppliers to join our “Ocean Sustainability Love Letter, Less Plastic is Better Than More Plastic” beach cleanup activity. We collected 1,157 kilograms of marine waste, contributing to society and the planet while providing an opportunity for all staff to rediscover natural ecosystems and recognize the importance of ecological conservation and environmental ethics.</p> <p>7. To implement the concept of ESG sustainable development, the Company understands the importance of maintaining biodiversity, taking action to protect wildlife, and focusing on issues related to animal conservation and habitat loss. Simultaneously practicing employee care and concern, improving employee physical and mental health, and embodying the corporate spirit of exercise, the Company participated in the “National Geographic Wild Animal Run” organized by National Geographic magazine and its agent “Big Stone International Culture Co., Ltd.” A portion of the event proceeds was donated to support the “Animal Adoption Program” of the Taipei Zoo, along with inviting “Wildlife Conservation Groups” to conduct educational promotion, sharing information about wildlife rescue and shelter, endangered wildlife conservation breeding, and biological research. This also achieved the effect of getting close to nature and strengthening physical fitness.</p> <p>8. As the first institution to receive the “Dementia-Friendly Financial Institution” certification, the Company addresses the upcoming challenges of an aging society by expanding practical actions within communities. “Community Care Service Centers” are the best venues for dementia prevention. The Company gathered employees and suppliers to participate in dementia elder care and volunteer training activities organized by the Catholic Foundation of Alzheimer’s Disease and Related Dementia. In 2024, we conducted financial fraud prevention education at the Nangang Community Dementia Care Center and assisted elderly individuals with dementia in making handmade Christmas cards.</p> <p>9. The Company organizes diverse charitable activities every quarter. In addition to encouraging employees to actively participate, we also invite suppliers to join (such as initiating collection of daily necessities and cash donations for East Africa, organizing and participating in the group’s blood donation activities, and serving as caring volunteers at the “1919 Food Bank” to help pack and deliver supplies to disadvantaged families), gathering collective strength to do good and help the disadvantaged.</p> <p>10. The Company actively participates in public welfare activities.</p> <p>11. The company has signed industry–university cooperation contracts with a number of colleges and universities to provide students with the opportunities of internship and workplace experience.</p>	
(II) Energy conservation:				

Promotional items	Execution			Deviation and causes of deviation from the Sustainable Development Best Practice Principles for TSEC/GTSM Listed Companies
	Yes	No	Summary description	
1. Promoting electronic billing activities, digitization of general affairs procurement forms (stationery, business cards, express delivery), and presenting board meeting materials via tablet computers to reduce paper usage. 2. Promote the environmental protection policy of power-saving, water-saving, and energy conservation; also, disclose annual carbon emissions on MOPS. 3. Efforts toward resource recycling and reuse.				

(VI) Climate related information of listed TWSE/TEPx Listed Companies

1. Implementation of climate-related information

Item	Execution
<p>I. Describe the supervision and governance of the board of directors and management over the climate-related risks and opportunities.</p>	<p>I.</p> <ol style="list-style-type: none"> 1. The board of directors is the highest governance unit for climate-related issues of the company and is responsible for supervising and managing climate-related risks and opportunities, as well as promoting the company's overall climate strategy and policy. The company's board of directors has taken into account the climate issues for corporate governance and business strategies, and has supported the Group to jointly combat climate change, implement the action plans to mitigate and adapt climate risks; also, has incorporated sustainable performance and reward mechanisms into the annual performance assessment of each unit in order to have the climate risk management blended into the organizational culture. The company strives to ensure a stable operation through the occasional discussion of climate risk issues, and the assessment and continuous monitoring of the implementation of various risk management mechanisms. 2. The Audit Committee of the company is composed of all independent directors with a monthly meeting convened regularly. Additional meetings are held as needed. The main responsibilities are to supervise the substantiation and implementation of the climate-related risk management system, review the annual risk limits and monitor indicator thresholds, ensure that risk management is compatible with the company's policies, operating strategies, short-term objectives, and long-term development, and propagandize and communicate important risk management matters to help the company achieve its objectives and business strategies. 3. The company has organized a sustainable development promotion group with the President designated as the convener. The Corporate Planning Department is responsible for organizing and promoting the company's sustainable development; also, supervising the implementation of each unit, and reporting the implementation of sustainable development to the board of directors every year. 4. The company's climate governance-related management units include the Risk Management Department, the Administration Office, and the Corporate Planning Department to be responsible for internal operations and the implementation of energy and climate objectives; also, reporting to the Audit Committee and the Board of Directors on their respective responsibilities in order to control the implementation progress and effectiveness. The company, for the sake of establishing a sound climate governance structure, has complied with the climate risk management mechanism of Yuanta

Item	Execution
	<p>Financial Holdings to systematically plan the Group's climate change operational objectives. The Risk Management Department of the company had participated in Yuanta Financial Holdings' Task Force on Climate-Related Financial Disclosures (TCFD) and chaired by the Chief Risk Control Officer of Yuanta Financial Holdings to facilitate the Group's comprehensive management of climate-related issues and impacts, to identify climate-related risks and opportunities, to evaluate, analyze and monitor, and formulate adaptative strategies and indicators.</p>
<p>II. Describe how the identified climate risks and opportunities affect the business, strategy, and finances (short-term, mid-term, and long-term) of the enterprise.</p>	<p>II. The company bases business characteristics on its identification to identify the climate risks and opportunities every year. The relevant considerations include the classification of climate risks and opportunities recommended by TCFD, impact path, impact time and geographical scope, impact on value chain position, and financial impact. The company has countermeasures and strategies formulated for the following seven risks and six opportunities identified in 2024 (in line with the operating scope of the company) according to the length of time and the scale of the impact, respectively.</p> <ol style="list-style-type: none"> 1. The seven risks are summarized as follows: <ol style="list-style-type: none"> (1) Carbon Reduction Policy and Regulatory Response Costs-investment <ol style="list-style-type: none"> A. Financial impact: Additional carbon-reduction cost may incur to the invested company due to stricter regulations or lack of transformation technology, causing profit drop, stock price drop, or credit risk increase to customers, thus resulting in a reduction in the company's assets. B. Countermeasures: Observe the trend of international carbon tax and carbon-related laws and regulations continuously, and enhance negotiation and cooperation with the invested company with high-carbon-emitting. (2) Cost of response to carbon reduction policies and regulations – proprietary operations <ol style="list-style-type: none"> A. Financial impact: Using renewable energy as a carbon reduction measure to meet the goal and comply with domestic policies and regulations may incur additional costs and cause the company's operating costs to go up. B. Countermeasures: Observe and participate in the renewable energy market continuously, and actively improve the energy efficiency of operating bases and reduce the consumption of non-renewable energy. (3) Industrial green energy and environmental protection transformation cost <ol style="list-style-type: none"> A. Financial impact: The invested company may need to spend additional expenses due to the transformation, or a decrease in revenue and a decrease in the company's assets due to a delay

Item	Execution
	<p>in the transformation.</p> <p>B. Countermeasures: Observe the market demand for low-carbon transformation continuously, and assist the invested company in low-carbon transformation.</p> <p>(4) The investment in highly polluting industries has impacted the company's reputation.</p> <p>A. Financial impact: The invested company suffers negative publicity thus affecting the company's reputation, causing investors to withdraw their capital and affect the company's stock price.</p> <p>B. Countermeasures: Enhance the review of, control over, and negotiation and cooperation with the invested company with high-pollution, and actively become a sustainable financial institution and establish a positive social image through independent initiatives or engaging in international actions.</p> <p>(5) The invested company's business operation is disrupted by extreme weather.</p> <p>A. Financial impact: The invested company suffers property loss or operation interruption due to extreme weather, causing the reduction of the company's assets.</p> <p>B. Countermeasures: Enhance due diligence investigation on invested companies, and understand the resilience of business partners against extreme weather.</p> <p>(6) Flooding causes damage and loss to the operation base and collateral.</p> <p>A. Financial impact: Flooding resulting from extreme weather had led to business interruption of the company's operating bases or a price drop of the company's property thus affecting the company's profit or loss and the decrease of income or assets.</p> <p>B. Countermeasures: Take the factor of flooding into consideration for the operation of the operating bases and proprietary property investment.</p> <p>(7) Rising sea levels cause loss of operating base and collateral.</p> <p>A. Financial impact: The climate change causes a rising sea level, resulting in a business interruption of the subsidiary's operating bases or the price drop of the proprietary properties, thus affecting the company's profits and losses.</p> <p>B. Countermeasures: Operating bases and proprietary property investments will be handled with the factors causing sea level to rise due to climate change taken into consideration.</p> <p>2. The six opportunities are summarized as follows:</p> <p>(1) The attempts of the operating stations in improving energy efficiency</p> <p>A. Financial impact: Improve energy efficiency and reduce operating costs by adopting green</p>

Item	Execution
	<p>buildings, using renewable energy, switching to energy-saving equipment, and introducing energy management systems.</p> <p>B. Cooperate with the Group's policy of introducing ISO 50001 energy management system, acquiring renewable energy certificates, directly purchasing renewable energy (green power transfer), obtaining green office buildings certificates, and actively switching to energy-saving lamps and water-saving equipment.</p> <p>(2) Green Procurement and Supplier Management</p> <p>A. Financial impact: Support enterprises with low-carbon and sustainable instrument through green procurement and supplier management in order to reduce operating costs.</p> <p>B. Countermeasures: Yuanta Financial Holdings Group has formulated the "Sustainable Procurement Declaration," "Ethical Corporate Management Best-Practice Principles," "Procedures for Ethical Management and Guidelines for Conduct," "Guidelines for Sustainable Procurement for Suppliers," and "Directions for Supplier Management." Also, continue to regulate suppliers in the contract signed in accordance with the "Statement of Ethical Conduct Commitment" and "Supplier Sustainable Procurement Clause." The "Green Procurement Clauses" is included in the procurement regulations. The company cooperates with the Group's policy to incorporate the aforementioned contracts into the procurement process comprehensively.</p> <p>(3) Develop and promote low-carbon products and services.</p> <p>A. Financial impact: Promote low-carbon products and services to meet investor needs and to increase operating income.</p> <p>B. Countermeasures: Introduce the concept of sustainability to existing financial products, promote sustainable financial products with investors jointly, expand the scale of sustainable products, meet customer investment needs, and introduce funds into sustainable and green energy enterprises.</p> <p>(4) Discuss and agree the concept of sustainable and green consumption with customers.</p> <p>A. Financial impact: Make good use of financial products and service platforms, discuss and agree with customers on the concept of sustainable and green consumption in a diversified manner, and increase operating income.</p> <p>B. Countermeasures: Encourage customers to respond to energy conservation and carbon reduction or to make green investments through multiple channels, such as the official</p>

Item	Execution
	<p>website and APP. Discuss and agree with the investing juridical person verbally or in a meeting to implement ESG actions actively.</p> <p>(5) Sustainable financial market</p> <p>A. Financial impact: Formulate relevant action plans and specifications through credit and investment, actively direct funds to flow into sustainable enterprises, and increase operating income.</p> <p>B. Countermeasures: Initiate investments in accordance with the “Sustainable Finance Standards” and “Environmental and Social Risk Management System by Industry” formulated by Yuanta Financial Holdings Group. The investing units have also formulated relevant specification and indicators to introduce ESG concepts into the investment process.</p> <p>(6) Natural Disaster Crisis Management and Alarm Measures</p> <p>A. Financial impact: Formulate and ensure the effectiveness of adaptative measures, provide stable services for all businesses, enhance customer trust, and reduce operating losses.</p> <p>B. Countermeasures: The company is equipped with uninterruptible power supply equipment, backup servers, remote backup, and other mechanisms, regularly conducts disaster contingency plan to ensure the normal operation of equipment and mechanisms in an emergencies.</p>
<p>III. Describe the financial impact of extreme climate events and transformational action.</p>	<p>III. Please refer to Paragraph II in the preceding paragraph for the financial impact of extreme climate (extreme climate causes the interruption of the operations of invested company, or causes flooding or rising sea levels that result in the loss of operating bases and collateral) and transformations (costs resulting from responding to the carbon reduction policies and regulations, costs resulting from industrial green power and environmental protection transformation, and investment in highly polluting industries causing an impact on the company’s goodwill).</p> <p>The company will continue to reduce the impact of climate risk factors on the value of financial instruments through the diversified investment portfolio. In addition, the company will base on the scenario analysis results to re-delineate self-risk tolerance and asset risk pricing. Formulates climate valuation at risk (VaR) monitoring indicators according to the estimated loss value of the investment portfolio in order to prevent value loss caused by extreme climate risks.</p> <p>In order to properly manage the risks associated with extreme weather events and the transformation to a low-carbon economy, the risk of climate change has been incorporated into operational decision-making in order to identify and manage risks. Also, the company observes the crisis of global</p>

Item	Execution
	warming and resource depletion, and fully responds to the trend of energy conservation and carbon reduction with adequate mitigation and adaptation plans implemented.
IV. Describe how climate risk identification, assessment, and management processes are incorporated into the overall risk management system.	<p>IV. The company has set up three lines of defense for risk management with the organization, responsibilities, and functions of each defense line clearly defined to ensure the effective operation of the risk management mechanism. The assessment and management of transformation risks or physical risks included in climate change risks are integrated with the existing risk management frameworks, including qualitative and quantitative analysis.</p> <p>The company's climate risk management process is mainly divided into four steps, from risk identification, measurement, monitoring, to reporting, and the responsible units and management actions of each step are described as follows:</p> <ol style="list-style-type: none"> 1. Risk identification <ol style="list-style-type: none"> (1) The company conducts climate risk identification according to its business characteristics every year. (2) Refer to the climate risk reports of international organizations. 2. Risk measurement <ol style="list-style-type: none"> (1) The company bases business characteristics on it to evaluate the impact and influence of various risks. (2) The scope of measurement includes impact path, impact time and geographical scope, impact value chain position, and financial impact. (3) Enhance quantitative management of climate risk in accordance with the climate valuation at risk (VaR) measurement model established by the Risk Management Department of Yuanta Financial Holdings. 3. Risk control <ol style="list-style-type: none"> (1) Incorporate the environmental and social risk factors of each industry into the industry risk level assessment mechanism. (2) The climate risk quantitative indicators and limits are formulated every year in accordance with the company's "Rules Governing Investment Climate Change Risk" in order to monitor the use of climate change risk monitoring indicators regularly and to ensure that they meet the requirements of authorization. 4. Risk report

Item	Execution
	<ul style="list-style-type: none"> (1) Develop responsive strategies for various risks and submit them to the Audit Committee and the Board of Directors for deliberation and resolution. (2) The company reports the application of various risk indicators or limits to the Audit Committee and the Board of Directors regularly. (3) The company reports the climate risk-related information to the Audit Committee and the Board of Directors occasionally.
<p>V. If scenario analysis is applied to evaluate the resilience against climate change risks, the scenarios, parameters, assumptions, analysis factors, and major financial impacts should be described in detail.</p>	<p>V. The current risk evaluation of each industry is based on the standards of Yuanta Financial Holdings, referring to the industry risk evaluation, economic situation analysis, and other reports issued by well-known domestic and foreign institutions. The environmental and social risk factors of each industry are included in the risk level consideration of each industry, including the impact of emerging environmental or social factors on industry trends, climate transformation risk costs, industry entry barriers, etc. The climate risk quantification model is continuously refined, including other risk factors affected by climate risk in the evaluation scope, such as credit risk factors, market liquidity risk factors, and other risk factors.</p> <p>The company analyzes climate-related financial impacts at different time and under different scenarios from the aspect of “Top Down” (scenario analysis of the overall investment position) and “Bottom Up” (scenario analysis of individual firm).</p> <p>1. Scenario analysis of the overall investment position (Top Down)</p> <ul style="list-style-type: none"> (1) Object of assessment: The company’s not-held-for-trade investment position. (2) Assessment method: Climate Valuation at Risk (VaR) Method. (3) Assessment of climate scenarios: The four “climate scenarios” (SSP1-RCP2.6, SSP2-RCP4.5, SSP3-RCP7.0, SSP5-RCP8.5) in IPCC “The Sixth Assessment Report, AR6.” (4) Assessment results: The company’s investment positions are mainly maintained in Taiwan, and the ratio of the investment in industries with high greenhouse gas emissions to the overall investment position is insignificant. Further analysis results indicate that although the company’s equity investment objects are industries with high greenhouse gas emissions, they are not more affected by climate changes than other industries. <p>2. Scenario analysis of individual firm (Bottom Up)</p> <ul style="list-style-type: none"> (1) Transformation Risk Scenario Analysis: Quantitative assessment of equity investment positions impacted by carbon fees <ul style="list-style-type: none"> A. Objects of assessment: Issuing companies of the equity investment positions in high climate

Item	Execution
	<p>risk industries in Taiwan and abroad that are held by the company.</p> <p>B. Assessment method: Stock price valuation model.</p> <p>C. Assessment of climate scenarios: Incorporate the asset positions of the six major industries in the equity investment position into the stock price valuation model to calculate the expected loss amount affected by the carbon fee under the two scenarios (1.5°C/<2°C).</p> <p>D. Assessment results: Among the company's equity investment positions, only the iron and steel and plastic industries belong to the aforementioned six major industries with risk exposure, and there are more significant changes in the degree of impact as time goes by. Of which, the change in the impact of 1.5°C scenario is more significant than that in the <2°C scenario. According to the further analysis, the asset scale of iron and steel is relatively small, and the industrial impact ratio (the ratio of the expected loss amount of the industry divided by the asset scale of the industry) in the 1.5°C scenario and the time scale of 2050 does not exceed 0.2%; therefore, the impact of climate change is relatively insignificant.</p> <p>(2) Physical Risk Scenario Analysis: Quantitative assessment of the impact of flooding on all business offices nationwide in Taiwan.</p> <p>A. Object of assessment: All business offices of the company located nationwide in Taiwan.</p> <p>B. Assessment method: Disaster risk model.</p> <p>C. Assessment results: The company has only one office in Taiwan located in the high flood risk area by the end of this century, mainly in central and southern Taiwan.</p>
<p>VI. Describe the transformation plan, if any, in response to managing climate-related risks, and the indicators and objectives used to identify and manage physical risks and transformational risks.</p>	<p>VI. The company has programmed the short-term/mid-term/long-term/SBT objectives for low-carbon operation management indicators and objectives based on greenhouse gas reduction emissions (Scope 1 and Scope 2) and the renewable energy usage ratio. The achievement of the objectives is described as follows:</p> <p>1. Greenhouse gas emissions (Scope 1 and Scope 2)</p> <p>(1) The Group's overall carbon intensity in 2021 had been reduced by 32% compared to that of 2017 in complying with Yuanta Financial Holdings' overall policies, which indicating a fulfillment of the mid-term and long-term objectives ahead of schedule.</p> <p>(2) Scope 2 emissions dropped dramatically in 2021, mainly due to the relocation of the head office to a new building with better energy efficiency of equipment in use. The company will continue to monitor the emission situation.</p> <p>2. Use of renewable energy: Taichung branch office used 100% green power through the renewable</p>

Item	Execution
	energy power purchase agreement (PPA) in 2021, achieved the mid-term objective ahead of schedule.
VII. If internal carbon pricing is used as a planning tool, the pricing basis should be detailed.	VII. The boundary of Yuanta Group's internal carbon price mechanism is mainly based on Scope 1 and Scope 2 greenhouse gas emissions. The company adopts the shadow price ⑩ model to assist each subsidiary in assessing the benefits of energy-saving and carbon-reduction projects, and has it linked to ISO 50001 energy management system to realize synergy. Incorporate the input and output of each energy-saving improvement action plan into the carbon price parameter for calculation in order to have the carbon reduction benefit quantified and priced. Progress from a pure economic consideration (input costs of equipment, manpower, etc.) to environmental impact consideration; furthermore, comprehensively calculate the return on investment or cost-effectiveness of the action plan, and combine the internal carbon price with the carbon reduction objectives of each unit to review the annual carbon reduction performance of each unit. The incorporation of the carbon price factor into daily operations will help promote the implementation of more energy-saving and carbon-reduction projects, and make related purchasing decisions more sustainable.
VIII. If climate-related objectives are formulated, the related activities, scope of greenhouse gas emissions, planning schedule, annual progress, and other information should be detailed. If renewable energy credits (RECs) are used to achieve relevant objectives, it is necessary to explain the source and quantity of carbon reduction credits or the quantity of renewable energy credits (RECs).	VIII. Activities and scopes of greenhouse gas emissions: 1. Direct greenhouse gas emissions: Including three types of emissions: Mobile combustion sources (such as gasoline official vehicles), stationary combustion sources (diesel emergency generators), and fugitive emission sources (such as CO2 fire extinguishers, septic tanks, and equipment using HFCs refrigerants). 2. Indirect greenhouse gas emissions: A. Indirect greenhouse gas emissions caused by imported energy: such as imported power (purchased power) B. Indirect greenhouse gas emissions caused by transportation: Such as upstream/downstream transportation and distribution of goods, employee commuting, customer/visitor transportation, and employee business travel. C. Indirect greenhouse gas emissions arising from the products used by the company: The use of financial instruments, such as purchased power, fuel, office materials, and capital instruments; the use of services, such as outsourced waste disposal. D. Indirect greenhouse gas emissions arising from the use of the company's products: The use of the company's lease assets, use of financial business network platforms, and investment.

Item	Execution
	<p>3. Renewable Energy Use: The Company's renewable energy is all solar power generated, with green power wheeling initiated at all operational locations in Taiwan in December 2023; the amount of green power wheeling for 2024:570,399.</p> <p>4. Please refer to page 131 of the annual report for the greenhouse gas-related objectives planning schedule in detail.</p>
IX. Greenhouse gas inventory and assurance	IX. Please refer to Table 2 below for the greenhouse gas inventory and assurance.

2. Greenhouse gas inventory and assurance

Scope I	Year	Total Emission Volume (metric tons CO ₂ e)	Intensity (Metric tons of CO ₂ e/NT\$1 million)	Assurance Agency	Description of assurance situation
Yuanta Futures Co., Ltd.	2024	45.8034	0.116	SGS Taiwan Ltd.	The Company's 2024 greenhouse gas inventory and scope of assurance: Operating bases in Taiwan (including SYF Information Co., LTD.).
	2023	31.0136	0.017	SGS Taiwan Ltd.	The Company's 2023 greenhouse gas inventory and scope of assurance: Operating bases in Taiwan (including SYF Information Co., LTD.).
Scope II	Year	Total Emission Volume (metric tons CO ₂ e)	Intensity (Metric tons of CO ₂ e/NT\$1 million)	Assurance Agency	Description of assurance situation
Yuanta Futures Co., Ltd.	2024	446.4145	0.1133	SGS Taiwan Ltd.	The Company's 2024 greenhouse gas inventory and scope of assurance: Operating bases in Taiwan (including SYF Information Co., LTD.).

	2023	499.1717	0.2694	SGS Taiwan Ltd.	The Company's 2023 greenhouse gas inventory and scope of assurance: Operating bases in Taiwan (including SYF Information Co., LTD.).
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Greenhouse gas inventory information: Describe the emission volume (metric tons CO₂e), intensity (metric tons CO₂e/NT\$1 million) and data coverage of greenhouse gases in the last two years.

3. Greenhouse gas reduction goals, strategies, and specific action plans

The company complies with the environmental management policy of Yuanta Financial Holdings Group and adheres to the vision of “becoming an international sustainability benchmark enterprise and promoting a better future for generations to come actively.” The company has been focusing on climate change issues for a long time. Yuanta Financial Holdings signed the “Science Based Targets Initiative (SBTi)” in 2019 and Yuanta Financial Holdings is the first comprehensive financial company in Taiwan going for such initiative; also, it had a carbon reduction target set by following the SBT methodology in 2022 and it was reviewed and passed the SBT with the year of 2020 set as the base year. The absolute emissions in 2030 shall be reduced by 42% compared to that of 2020; also, the 2050 Net-Zero Emissions Commitment (SBTi Net-Zero) was officially signed in 2023 with the Net-Zero Emission Declaration and Directions for Climate Finance Operations proposed in response to the 2050 Net-Zero Emissions Target of Taiwan and the United Nations. The company initiates the carbon reduction-related strategies from the four major aspects including low-carbon operations, sustainable finance, low-carbon supply chain, and sustainable initiatives. The company introduces internal carbon pricing and internalizes external carbon reduction costs. The Group's newly constructed building is with the green building label obtained, renewable energy (the company's total green power usage reached 277,000 kWh in 2023) is purchased, high-energy-consuming equipment is retired, LED energy-saving lamps are installed, smart energy consumption monitoring is implemented, air-conditioning systems are upgraded, etc. The company's power consumption in business operations is mostly outsourced. The energy-saving plans are substantiated through systematic management structures and processes, so as to effectively reduce energy consumption and minimize environmental impact. The company follows Yuanta Financial Holdings' “Environment, Energy, and Climate Change Management Policy” to improve building energy consumption and reduce greenhouse gas emissions continuously. All 10 proprietary buildings nationwide of the Group have passed ISO 50001 energy management system verification. Greenhouse gas reduction base year and its data, reduction targets, strategies, specific action plans, and achievement of reduction targets.

(VII) The Practice of Ethical Corporate Management and Related Policies and Variation from the Ethical Corporate Management Best Practice Principles for TWSE/TPEX-listed Companies:

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
<p>I. Business Integrity Policy and action plans</p> <p>(I) Has the Company specified its policy and method for the implementation of ethical corporate management approved by the board of directors in its internal rules and regulations and external documents, and have the Board and the management of the Company promised to pursue the policy of ethical corporate management?</p>	Y		<p>I.</p> <p>(I)</p> <p>1. According to Article 1 of the “Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies” all TWSE/GTSM-Listed companies shall establish their principles for ethical management in accordance with the aforementioned rules and shall be applicable to their subsidiaries, organizations or groups that the companies have directly or indirectly donated more than 50% of their funds accumulatively, and institutions or group enterprises or business organizations that the companies have actual power of influence. As such, the Company has complied with the “Yuanta Financial Holding Company Limited Best-Practice Principles in ethical management”, and “Operation Procedure and Code of Conduct in ethical management”.</p> <p>2. Yuanta Financial Holdings Corporation coordinates with the policy of the Financial Supervisory Commission and the “Procedures for Ethical Management and Guidelines for Conduct” and “Sample Template for Procedures for Ethical Management and Guidelines for Conduct” published by Taiwan Stock Exchange. The board of directors passed and instituted the “Yuanta Financial Holding Ethical Corporate Management Best Practice Principles” and the “Yuanta Financial</p>	There is no difference detected.

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
(II) Has the Company developed the mechanisms	V		<p>Holding Ethical Corporate Management Procedure and Code of Conduct” on October 25, 2011 and December 27, 2011, respectively. In response to the TWSE’s amendments of the “Procedures for Ethical Management and Guidelines for Conduct,” the Company amended its in-house “Yuanta Financial Holdings Procedures for Ethical Management and Guidelines for Conduct” on February 13, 2020, which has been approved by the board for implementation on September 23, 2020.</p> <p>3. To facilitate the procedure, the Company has designated a dedicated unit to be in charge of implementing relevant operations and reporting to the board of directors on a regular basis. The Companies also abided by the operational philosophies of honesty, transparency and responsibility, base policies on the principle of good faith and establish good corporate governance, risk control and management mechanism to create an operational environment for sustainable development.</p> <p>4. The Company has the Ethical Management Committee organized to establish a business culture of ethical management and to substantiate ethical management; also, has the “Rules Governing the Establishment of Ethical Management Committee” setup in accordance with the “Ethical Corporate Management Best Practice Principles for TWSE/GTSM Listed Companies” of Taiwan Stock Exchange; also, complies with the “Ethical Management Best-Practice Principles” and “Procedures for Ethical Management and Guidelines for Conduct” of Yuanta Financial Holdings.</p>	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
for the assessment of integrity risk with routine analysis and assessment on business activities exposed to higher integrity risk in the operation based on which the Company planned for the prevention of unethical practices? The content shall cover at least the preventive measures contained in Paragraph 2 in Article 7 of the “Ethical Corporate Management Best Practice Principles for TWSE/TPEX-listed Companies.”			<ol style="list-style-type: none"> 1. The acts of fraud and fraudulent interest, committing or accepting bribes, providing illegal campaign contributions, improper charitable donations or sponsorships and un-reasonable gifts, and hospitality or other improper benefits are prohibited explicitly in the “Ethical Corporate Management Best Practice Principles for Yuanta Financial Holdings.” The “Procedures for Ethical Corporate Management and Guidelines for Conduct” are regulated. In addition, the disciplinary action and complaint system for any violation of corporate management is stipulated. The job title and name of the violator, date of violation committed, the content of the violation committed, and the handling of the said violation are disclosed on the website in a timely manner. Since April 1, 2020, the Company has implemented risk assessment measures against unethical conduct, analyzed and assessed on a regular basis business activities within its business scope which are at a higher risk of being involved in unethical conduct, and prepared audit plans and other operations in accordance with the “Ethical Corporate Management Best-Practice Principles” of Yuanta Financial Holdings. 2. The company formulated the “Directions for Potential Risk Assessment of Unethical Conduct of Yuanta Futures Co., Ltd.” on October 25, 2021 to substantiate the unethical conduct risk assessment mechanism. The company bases the aforementioned “Directions” on it to perform at least one unethical conduct potential risk assessment operation annually. The “2024 Unethical Conduct Risk Assessment Operation” was completed in 2023. A total of 12 inspection criteria are 	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
(III) Has the Company established plans for the prevention of unethical practices, and has it specified the operation procedures, code of conduct, and punishment for violation, and the system of complaints in the plans and properly implemented these plans with routine review and revision?	V		<p>respectively assessed according to the business nature of each unit, regarding the degree of influence, possibility of occurrence, control effectiveness, and implementation and improvement measures or plans. According to the risk distribution map compiled of the risk results assessed by each unit of the company voluntarily, the overall potential risk of the company in 2023 is “low,” and each unit had a corresponding response and control mechanism to each potential risk event.</p> <p>(III) In mapping out the plans for the prevention of breach of integrity, what measures have the Company adopted to prevent the offering and acceptance of bribes, the offering of illegal political contribution in the area of business activities vulnerable to the breach of integrity. In addition, all procurements are handled in accordance with the “Procedures for Ethical Management and Guidelines for Conduct” of Yuanta Financial Holdings.</p>	
II. Proper enforcement of Ethical Management (I) Does the company have the integrity of the trade counterparty assessed and with the code of integrity expressed in the contract signed?	V		II. (I) For understanding the state of operation of the contracting parties in business better, the Company shall include the clause of ethical management in the agreements, and shall request respective suppliers to provide the declaration of ethical management and information on business transactions for reference. In addition, the Company shall also check the legal status of these parties at the website of the court to confirm if there is a history of receiving bribes and/or the offering of illegal political contribution.	There is no difference detected.
(II) Has the Company established a designated	V		(II)	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
<p>body directly under the Board for administering ethical corporate management with routine report to the Board (at least once a year) on the pursuit of the ethical corporate management policy and the plans for the prevention of unethical practices, and the supervision of the implementation of these policies?</p> <p>(III) Has the Company established the policy for the avoidance of the conflict of interest and provided appropriate channels for reflection, and pursued the policy properly?</p>	V		<p>1. In accordance with the “Procedures for Ethical Management and Guidelines for Conduct” of the affiliated group Yuanta Financial Holdings and the Company’s “Measures for Establishment of Ethics Committee,” the Company officially established the “Ethics Committee” in August 2015. The committee has one chairperson and several committee members who are the department heads of the Legal Compliance Department, Risk Management Department, Corporate Planning Department, Management Department and others. The committee holds meeting at least once a year to assist the board and management to audit and evaluate whether the preventive measures established by the ethics management are working effectively. The committee regularly evaluates the compliance of the business process and produces reports to further enhance the sound management of the Company’s ethics management.</p> <p>2. The company has presented the 2023 corporate governance operation and performance of ethical corporate management to the 39th board meeting of the 11th office term on March 7, 2024; also, the relevant information will be disclosed on the official website and annual report after the deliberation and resolution of the board of directors.</p> <p>(III)</p> <p>1. The Company formulated the “Codes of Ethics” to establish that when the company’s directors or managers take advantage of their positions and authorities to involve themselves or their spouse, parents, children, or relatives within the second degree of kinship, and the affiliated enterprise at which a director, supervisor, or managerial</p>	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
(IV) Has the Company established an effective accounting system and internal control system for the proper pursuit of ethical corporate management? Has the internal audit function designed a relevant audit plan on the basis of the assessment result of integrity risk for the prevention of unethical practices and compliance of related rules and regulations, or commissioned certified public accountants to conduct audits on unethical practices?	V		<p>officer works in business interactions with the company, they shall declare initially the information, and comply with a legitimate and appropriate means to handle or avoid the conflict of interest. The company established a sound management mechanism and implemented in the internal control and external business activities to enhance the effect of the ethical corporate management.</p> <p>2. The company has formulated relevant regulations such as “Audit Committee Charter,” “Rules of Procedure for Board of Directors Meetings” and “Code of Ethical Conduct” etc. For the recusal of relevant corporate personnel (including directors) due to conflicts of interest, prohibition against disclosure of confidential information, Prohibition against insider trading, and Non-disclosure agreement, they shall be handled under relevant regulations.</p> <p>(IV)</p> <p>1. The Company has established its accounting system in accordance with the Company Act, Futures Trading Act, Regulations Governing the Compilation of Financial Statements by Futures Commission Merchants, Statement of Financial Accounting Standard, and IFRS recognized by the Financial Supervisory Commission as the guide for all functional units in accounting. In addition, the Company also commissioned PwC Taiwan to conduct audit (review) on the financial statements.</p> <p>2. Under the code of ethical corporate management, the Company has established effective an internal control system with timely amendment in accordance with applicable laws and internal</p>	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
(V) Has the Company organized corporate management internal and external education and training programs on a regular basis?	V		<p>management needs so that all functional units can follow and avoid unethical practices of their staff. Additionally, while the corporate personnel involving any dishonest behavior, except that the Internal Audit Department shall be instructed to conduct the audit, and the dedicated unit submitted to the board of directors a report on the unethical conduct, actions taken, and subsequent reviews and corrective measures. In the event other persons are suspected of engaging in unethical conduct to the Company and involving illegal affairs, the Internal Audit Department shall submit relevant audit results to the Legal Compliance Department in order for the Legal Compliance Department to assist the Company in reporting the relevant facts to the inspection unit.</p> <p>3. The Internal Audit function of the Company conducts audits on the internal control system and the accounting system in accordance with the annual audit plan for assurance of compliance, and compiles all the audit findings into reports to present to the Auditing Committee and the Board. There was not any violation against ethical management found in the 2024 internal audit.</p> <p>(V) The company regularly arranges “Ethical Management and Legal Compliance Promotion” training courses every year, which is a mandatory course to all employees with a passing grade in the test required (a total of 409 employees participated in the training in 2024, and each employee received at least 30 minutes of education and training with all of them receiving a passing grade in the test) to ensure that employees have a correct understanding and basic</p>	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
			judgment ability on the governing laws and ethical conduct. The “Corporate Social Responsibility Education and Training” course has been added since the year of 2017 to fulfill corporate social responsibility, including legal compliance and ethical corporate management. In addition, the external training programs are handled in accordance with the “Guidelines for Employee Education and Training.”	
III. The operations of the Company’s Report System			III.	
(I) Does the Company have a specific report and reward system stipulated, a convenient report channel established and a responsible staff designated to handle the individual being reported?	V		(I) We have set up reporting channels including the hotline, helpline, email address, and mail address on the corporate website. In addition, we have established the “Report System” section on the corporate website to encourage healthy operations and develop an integral and transparent corporate culture. We keep the whistleblower and the report strictly confidential. After the acceptance of the Legal Compliance Department, the report is referred to the Audit Department for investigation. In addition, the corporate management and employee performance evaluation and human resources policy are combined to establish a clear and effective disciplinary and appeal system.	There is no difference detected.
(II) Has the Company established the standard operation procedures for the investigation of complaints as reported, follow-up actions after the investigation, and related mechanisms for confidentiality?	V		(II) The Company established the “Regulations Governing Whistle Blowing” in September 2018 for the development of integrity and transparent corporate culture, which has been passed by the Board. It is explicitly stated in the regulations that if the Company discovers or it is reported from whistle blowers any unethical practices of Company staff, the investigation unit will proceed to investigate in	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
			<p>accordance with related principles and procedures, including the request for assistance from different departments, notifying the accused or related parties for explanation and defense, and request the others who have experience for assistance. The findings from the investigation will be compiled into a report in writing, and submitted to the senior officers, President, and the review board for review and to the Board, depending on the identity, the position of the accused and the rule of gate approval. If a case is confirmed in the investigation, we will take immediate actions to inhibit the occurrence, prevent it from recurrence, or take emergency response with respect to other related laws and regulations and the Company's regulations. For serious offences or damage, shall report the subsequent actions and improvement measures to the Audit Committee. We will also claim from the respondent by law, where necessary, to maintain the goodwill and rights and interest of the Company. The respondent may express his/her opinions and file a grievance. After a report is confirmed, we will order related units to submit a written review report, and the investigation unit shall follow up the improvement until completion to eliminate the recurrence of the same offences, in order to enforce ethical management. The clause of confidentiality is explicitly stated in the "Regulations Governing Whistle Blowing," "Ethical Corporate Management Best Practice Principles," "Ethical Corporate Management Procedure and Code of Conduct," and the declaration of confidentiality by those involved in handling the complaints</p>	

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
(III) Has the Company taken proper measures to protect the whistle-blowers from suffering any consequence of reporting an incident?	V		<p>(including the person responsible for receiving complaint e-mails), including the identity and examples presented by the whistle blowers, and no disclosure of any information that could lead to the identification of related parties.</p> <p>(III) Apart from specifying the measures to protect the whistleblower against improper treatments after reporting in the “Regulations for Implementation of the Whistleblowing System”, the “Code of Ethics and Conduct”, and “Ethical Management SOP”, and the “Ethical Corporate Management Best Practice Principles”, we also post them on the “Reporting System” section on our corporate website. In terms of the implementation of the system, in addition to regular or irregular review of the acceptance of grievance filing cases, the case handling unit regularly reports to the board on the implementation of the system every six months. In addition to the email box for grievance filing reviewed by the case handling unit, the Audit Committee members adopting the principle of independence exam the emails in a timely manner to understand the status of cases reported, supervise and guide the overall operation of the reporting system, and ensure the effective operation of the reporting practice.</p>	
IV. Enhanced information disclosure Does the Company have the contents of corporate management and its implementation disclosed on the website and MOPS?	V		<p>IV. (I) We update information in relation to ethical management on the corporate website from time to time, including the “Code of Ethics and Conduct and Other Regulations”. We also disclose information regarding the status and effectiveness of implementation of our “Ethical Corporate Management Best Practice Principles”.</p>	There is no difference detected.

Assessment items	Actual governance			Variation from the Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies and the reasons
	Yes	No	Summary description	
			(II) The Management Department of the Company shall load relevant information to the intranet of the Company at any time as needed. Currently, the department has announced the “Particulars for Procurement Management” and “Directions for Supplier Management”, which covers ethical management and related operation procedure.	
<p>V. Where the Company may have establish its own ethical management best-practice principles in accordance with the “Ethical Corporate Management Best Practice Principles for TWSE/GTSM-Listed Companies”, and shall elaborate the practice of ethical management and the variations from the aforementioned regulation: The Company has complied with the “Yuanta Financial Holding Company Business Integrity Best-Practice Principles” and “Yuanta Financial Holding Company Business Integrity Operation Procedure and the Code of Conduct” in operation. There is no significant variation for the time being.</p>				
<p>VI. Other vital information that helps to understand the practice of ethical management of the Company (e.g., the review and revision of the best-practice principles of the Company in ethical management) The Company has established the “Supplier Management Essentials” to effectively manage suppliers, improve procurement quality and jointly advocate for corporate social responsibility with suppliers. The Company also requires suppliers to comply with the provisions of the ethics management clauses and the “Procedures for Ethical Management and Guidelines for Conduct” established by Yuanta Financial Holdings to ensure product and service quality and effectively control and reduce operating costs. For understanding the state of ethical management of the prospective contracting parties, the Company shall announce its determination of ethical management, and specify ethical management into the agreements. In addition, the Company shall request respective suppliers to provide the declaration of ethical management and information on business transactions for reference. In addition, the Company shall also check the legal status of these parties at the website of the Judicial Yuan to confirm if there is a history of receiving bribes and/or the offering of illegal political contribution.</p>				

Note: Summarize the status of operations, either “Yes” or “No”, in the description column.

(VIII) Other information which facilitates understanding towards corporate governance: none.

(IX) The implementation of internal control system

1. Statement of Internal Control: Has been announced and reported in accordance with regulations on the “Corporate Governance” section of the Market Observation Post System (<https://mops.twse.com.tw/mops/#/web/t06sg20> code 6023 for inquiry).
2. If the internal control policy was reviewed by an external auditor, the report of such a review must be disclosed: none.

(X) Major resolutions of the General Meeting of shareholders and the Board in the most recent year to the date this report was printed.

1. Important resolutions and the implementation of the 2024 general shareholder meeting on May 27, 2024

Subject	Resolution	Execution
Acknowledging the Company's 2023 Business Report and Financial Statements. (The proposal was submitted by the Board of Directors)	The proposal was accepted by the voting results.	Announced in accordance with the resolution of shareholders regular meetings and reported to the competent authority for review.
Acknowledging the Company's 2023 Earnings Distribution. (The proposal was submitted by the Board of Directors)	The proposal was accepted by the voting results.	The distribution was completed in accordance with the resolution reached in the general shareholders' meeting. Cash dividends for an amount of NT\$1,449,881,440 were distributed completely on July 9, 2024.
Partial amendments to the Regulations Governing the Acquisition or Disposal of Assets. (The proposal was submitted by the Board of Directors)	The proposal was approved by the voting results.	Announcement of resolution by Shareholders Meeting in regular session on record, proceed in accordance with the procedure after amendment.
Please proceed with the election of the Company's directors (including independent directors) for the 12th term. (The proposal was submitted by the board of directors.)	The list of the elected directors: Yuanta Financial Holdings Co., Ltd. Representative: Tien-Fu Lin Yuanta Financial Holdings Co., Ltd. Representative: Pin-Cheng Chen Yuanta Financial Holdings Co., Ltd. Representative: Kuo-Tsun Hsu Yuanta Financial Holdings Co., Ltd. Representative: Mei-Ling Kuo Yuanta Financial Holding Co., Ltd. Representative: Chien-Hua Wu Yuanta Financial Holding Co., Ltd.	The directors who had been elected at the regular shareholders' meeting on May 27, 2024 took office thereafter. The change registration was approved by the Ministry of Economic Affairs on June 13, 2024 and announced on the Company's website.

	Representative: Yung-Chu Su The list of the elected independent directors: Yu-Chun Wu Hui-Erh Yuan An-Pin Chen	
Proposal for lifting competition restrictions on the Company's newly elected directors. (The proposal was submitted by the Board of Directors)	The directors on the list of the non-compete clause lifted are as follows: 1. Yuanta Financial Holdings Co., Ltd. Representative: Tien-Fu Lin 2. Yuanta Financial Holdings Co., Ltd. Representative: Pin-Cheng Chen 3. Yuanta Financial Holding Co., Ltd. Representative: Chien-Hua Wu 4. Yuanta Financial Holding Co., Ltd. Representative: Yung-Chu Su 5. Yu-Chun Wu 6. An-Pin Chen	It was published in accordance with the resolutions reached in the general shareholder meeting on May 27, 2024.

2. Major resolutions of the Board of Directors meeting (dated 2024 to January 31, 2015)

Major resolutions of the 37th Meeting of the 11th Board of Directors on January 31, 2024

- (1) Approval of the Self-evaluation results of the board and functional committee in 2023.
- (2) Passed the independence, audit quality index evaluation, appointment, and remuneration matter of the company's 2024 independent auditors.
- (3) Passed the implementation of principle of fair treatment of customers in Q4 2023.
- (4) Passed amendment to the provisions of the Company's "Implementation Measures of Grievance System."
- (5) Approval of an amendment for part of the Company's Rules Governing Trades with the Stakeholders.

Major resolutions of the 38th Meeting of the 11th Board of Directors on February 27, 2024

- (1) Approval of the Company's consolidated and individual financial statements for the year 2023.
- (2) Approval of the 2023 Employees' bonus remuneration.
- (3) Approval of the Company's earnings distribution in 2023.
- (4) Approval of the revision of the Internal Control System and the Enforcement Rules of Internal Audit of the Company.
- (5) Approval of the Company's 2023 "Anti-Money Laundering and the Combating the Financing of Terrorism & Declaration of Internal Control Policies".
- (6) Approval of the Company's 2023 "Declaration of Internal Control Policies".

Major resolutions of the 39th Meeting of the 11th Board of Directors on March 7, 2024

- (1) Passed the date, place, agenda, accepting shareholder's proposal, and related matters of the 2024 general shareholder meeting.
- (2) Approval of the election of the 12th Directors (including independent directors) of the Company.
- (3) Approval of the Company's business report in 2023.
- (4) Passed the formulation of the Company's sustainability development policy and management rules.
- (5) Passed the Company's 2024 concrete sustainability development implementation plan.

Major resolutions of the 40th Meeting of the 11th Board of Directors on April 10, 2024

- (1) Passed the director (including independent directors) candidate list for the Company's 12th term of office.
- (2) Passed the lifting of the non-compete clause against the company's newly elected

directors.

- (3) Passed the implementation of principle of fair treatment of customers in 2023.

Major resolutions of the 41st Meeting of the 11th Board of Directors on May 8, 2024

- (1) Passed the implementation of principle of fair treatment of customers in Q1 2024.
- (2) Approval of the revision of part of the clauses contained in the “Board Meeting Procedure”.
- (3) Approval of an amendment for part of the Company’s “Organizational Code of the Audit Committee”.

Major resolutions of the 1st Meeting of the 12th Board of Directors on May 27, 2024

- (1) Passed the election of the Chairman.
- (2) Approval of the election of the vice chairman.
- (3) Passed the Company’s 12th Remuneration Committee member list.
- (4) Removal of the limitation on concurrent directorships of the Company’s directors.

Major resolutions of the 2nd Meeting of the 12th Board of Directors on June 5, 2024

- (1) Duly resolved the issue of the Company’s base date to distribute cash dividend and remuneration to employees in 2023.

Major resolutions of the 3rd Meeting of the 12th Board of Directors on June 26, 2024

- (1) Approval of the revision of the Internal Control System and the Enforcement Rules of Internal Audit of the Company.
- (2) Approval of an amendment for part of the Company’s “Fair Treatment of Customer Policy”.
- (3) Approval of the 2023 Managers and Employees’ Remuneration Distribution.

Major resolutions of the 4th Meeting of the 12th Board of Directors on July 31, 2024

- (1) Approval of the report on the Company’s implementation of the sustainability development in 2023.
- (2) Passed the implementation of principle of fair treatment of customers in Q2 2024.
- (3) Approved the amendments to some articles of the company’s “Directions for the Implementation of Continuing Education for Directors.”
- (4) Removal of the limitation on concurrent directorships of the Company’s directors.

Major resolutions of the 5th Meeting of the 12th Board of Directors on August 21, 2024

- (1) Approval of the Company’s consolidated and individual financial statements for the first half of the year in 2024.
- (2) Approval of the revision of the Internal Control System and the Enforcement Rules of Internal Audit of the Company.

Major resolutions of the 6th Meeting of the 12th Board of Directors on September 25, 2024

- (1) Approval of the revision of the “Internal Control System” of the Company.
- (2) Approval of an amendment for part of the Company’s “Fair Treatment of Customer Policy”.

Major resolutions of the 7th Meeting of the 12th Board of Directors on November 7, 2024

- (1) Passed the implementation of principle of fair treatment of customers in Q3 2024.
- (2) Approval of the revision of the Internal Control System and the Enforcement Rules of Internal Audit of the Company.

Major resolutions of the 8th Meeting of the 11th Board of Directors on November 27, 2024

- (1) Approval of an amendment for part of the Company’s “Performance evaluation rules of the Board of Directors and functional committee.”
- (2) Approval of the revision of the Internal Control System and the Enforcement Rules of Internal Audit of the Company.
- (3) Passed amendment for part the Company’s “Implementation Measures of Grievance System.”
- (4) Approval of an amendment for part of the Company’s Organizational Code.

Major resolutions of the 9th Meeting of the 12th Board of Directors on December 18, 2024

- (1) Passed the motion of raising cash capital through offering new shares.

Major resolutions of the 10th Meeting of the 12th Board of Directors on December 23, 2024

- (1) Approval of the revision of the Internal Control System and the Enforcement Rules of Internal Audit of the Company.
- (2) Approval of an amendment for part of the Company’s “Table of Gate Approval” and Table of Gate Approval”.

Major resolutions of the 11th Meeting of the 12th Board of Directors on January 21, 2025

- (1) Approval of the Self-evaluation results of the board and functional committee in 2024.
- (2) Passed the independence, audit quality index evaluation, appointment, and remuneration matter of the company's 2025 independent auditors.
- (3) Passed the implementation of principle of fair treatment of customers in Q4 2024.
- (4) Passed the proposal of stakeholders planning to participate in the public offering of ordinary shares through cash capital increase and the related matters in 2024.

(XI) Documented opinions or declarations made by Directors or Supervisors against Board of Directors resolutions in the most recent year, up until the publishing date of this annual report: none.

IV. Independent auditor's fees

- (I) The payments made to the independent auditors and the CPA firm, the audit fee and non-audit fee of the affiliated companies, and the content of non-audit service: Unit: NTD thousand

Accountant firm	Name of CPA	CPA auditing period	Audit remuneration	Non-audit remuneration	Total	Remarks
PwC Taiwan	Chiao-Sen Lo	2024 (2024/01/01~2024/12/31)	1,840	4,617	6,457	Non-audit fees were primarily for services related to profit-seeking enterprise income tax audit certification, review of salary information for full-time employees not in managerial positions, assurance services for the English sustainability report, transfer pricing report services, information security management system services, personal data management system implementation and verification consulting services, computer system information security assessment consulting services, optimization of regulations regarding matters requiring attention when outsourcing, and personal data protection management system consulting services.
	Hsiu-Ling Li					

- (II) If the CPA firm performing audit services is replaced with less audit fee paid comparing to the year before, the audit fee before and after such replacement shall be disclosed: Not applicable
- (III) If the audit remuneration was reduced by more than 10% from the previous year, the amount, percentage, and reasons for the reduction must be disclosed: none.

V. Change of CPA: None.

VI. Any of The Company's Chairman, President, or managers involved in financial or accounting affairs being employed by the accounting firm or any of its affiliated company within the recent year; disclose their names, job titles, and the periods during which they were employed by the auditor's firm or any of its affiliated company: none

VII. Shareholding transfers and share collateralization within the latest year, up till the publication date of this annual report, initiated by directors, managers and shareholders with more than 10% ownership interest

- (I) Equity changes, transfers, and pledges of directors, managerial officers, and major shareholders

Unit: shares

Title	Name	2024		Up till January 31, 2025	
		Increase (decrease) in shares held	Increase (decrease) in shares collateralized	Increase (decrease) in shares held	Increase (decrease) in shares collateralized
Major shareholder	Yuanta Financial Holding Co., Ltd.	192,167,005	0	0	0
Chairman	Tien-Fu Lin	86,856	0	86,856	0
Vice Chairman	Pin-Cheng Chen	0	0	0	0
Director	Kuo-Tsun Hsu	0	0	0	0
Director	Mei-Ling Kuo	0	0	0	0
Director	Wei-Chen Chang (Discharged on 2024/5/27)	0	0	0	0
Director	Wen-Ching Chiu (Discharged on 2024/5/27)	0	0	0	0
Director	Chien-Hua Wu (newly appointed on 2024/5/27)	0	0	0	0
Director	Yung-Chu Su (newly appointed on 2024/5/27)	0	0	0	0
Independent Director	Yu-Chun Wu	0	0	0	0
Independent Director	Hui-Erh Yuan	0	0	0	0
Independent Director	An-Pin Chen	0	0	0	0
President	Kuo-Tsun Hsu	0	0	0	0
Executive Vice President	Ching-Jen Chen	0	0	0	0
Senior Vice President	Li-Hua Yang (newly appointed on 2024/5/1)	0	0	0	0
Senior Vice President	Chia-Ling Tsai	0	0	0	0
Senior Vice President	Min-Fang Wu (Discharged on 2024/07/01)	38000	0	-	-
Senior Vice President	Chien-Wan Lai	27,000	0	27,000	0
Senior Vice President (Financial Supervisor)	Liang-Hui Yuan	0	0	0	0
Vice President	Ching-Yi Chang	9,000	0	9,000	0
Vice President	Chun-Hao Chang	20,000	0	20,000	0
Vice President	Feng-An Liu	0	0	0	0
Vice President	Yu-Hung Chen	26,024	0	26,024	0
Vice President	Shu-Hui Shih	0	0	0	0
Vice President	Wei-Ching Chien (Discharged on 2024/07/01)	0	0	0	0
Vice President	Hsin-Hsien Li	0	0	0	0
Vice President	Ming-Wen Tsou	0	0	0	0
Vice President	Shih-Ming Lin (newly appointed on 2024/07/01)	0	0	0	0
Senior Assistant	Hui-Ching Lu	16,000	0	16,000	0

Title	Name	2024		Up till January 31, 2025	
		Increase (decrease) in shares held	Increase (decrease) in shares collateralized	Increase (decrease) in shares held	Increase (decrease) in shares collateralized
Vice President (Accounting Supervisor)					
Senior Assistant Vice President	Shu-Fen Kung (Discharged on 2024/12/1)	0	0	0	0
Senior Assistant Vice President	Kuo-Liang Wang (Discharged on 2024/12/1)	0	0	0	0
Assistant Vice President	Tung-Chin Li	2,000	0	2,000	0
Assistant Vice President	Li-Li Lin	0	0	0	0
Assistant Vice President	Chia-Hui Hu	44,841	0	44,841	0
Assistant Vice President	Hui Chin (newly appointed on 2024/07/01)	0	0	0	0
Senior Manager	Yu-Chen Lin	0	0	0	0
Senior Manager	Yu-ting Wu	0	0	0	0
Senior Manager	Yi-Chung Hsu (Discharged on 2024/12/16)	21,896	0	-	-
Branch Manager	Sheng-Wei Wu	12,896	0	12,896	0
Branch Manager	Tsung-Hsiang Chen	0	0	0	0
Branch Manager	Chen-Ling Hsu	0	0	0	0
Branch Manager	Keng-Shuo Ho	0	0	0	0

Note 1: The Company has phased out the seats of supervisors since May 23, 2012 and related information was disclosed to the date the supervisors were resigned (discharged).

Note 2: If the counterparty for equity transfer or equity pledge is a related party, please fill out the form referred to below.

(II) Transfer of shareholding: None.

Name	Reason for transfer	Transaction date	Counterparty	Counterparty's relationship with The Company, Directors, Supervisors, and shareholders with more than 10% ownership interest	Shares	Transaction price
Not a counterparty	-	-	-	-	-	-

(III) Shares collateralized: None.

Name	Reason for change in collateralized shares	Date of change	Counterparty	Counterparty's relationship with The Company, Directors, Supervisors, and shareholders with more than 10% ownership interest	Shares	Shareholding percentage	Percentage placed as collateral	Amount secured (redeemed)
Not a counterparty	-	-	-	-	-	-	-	-

VIII. Relationships among The Company's top ten shareholders including spouses, second degree relatives or closer

Date of information: June 25, 2024

Name	Shares Held In Own Name		Shareholdings of spouse and underage children		Shares held in the names of others		Among the top 10 shareholders, there are related parties, spouse to each other, and kindred within the 2nd tier, and the name and relationship, if applicable.		Remarks
	Shares (Thousand Shares)	Shareholding percentage	Shares (Thousand Shares)	Shareholding percentage	Shares (Thousand Shares)	Shareholding percentage	Name	Relationship	
Yuanta Financial Holding Co., Ltd. Representative: Ting-Chien Shen	192,167	66.27%	0	0%	0	0%	None	None	None
	0	0%	0	0%	0	0%	None	None	None
Cathay Life Insurance Co. Ltd. Representative: Ming-Ho Hsiung	23,997	8.28%	0	0%	0	0%	None	None	None
	0	0%	0	0%	0	0%	None	None	None
ROSENTHAL COLLINS GROUP LTD Representative: Yi-Chen Chung	17,710	6.11%	0	0%	0	0%	None	None	None
	0	0%	0	0%	0	0%	None	None	None
Nan Shan Life Insurance Co. Ltd. Representative: Chung-Yao Yin	2,266	0.78%	0	0%	0	0%	None	None	None
	0	0%	0	0%	0	0%	None	None	None
TransGlobe Life Insurance Inc Representative: Wen-Hui Lin	1,650	0.57%	0	0%	0	0%	None	None	None
	0	0%	0	0%	0	0%	None	None	None
Sunsino International Developmant Associate Inc. Representative: Chia-Ho Wang	1,133	0.39%	0	0%	0	0%	None	None	None
	0	0%	0	0%	0	0%	None	None	None
Darry Investment Limited Representative: Kang-Wei Ho	1,062	0.37%	0	0%	0	0%	None	None	None
	242	0.08%	0	0%	0	0%	None	None	None
Chieh-Erh Lin	865	0.3%	0	0%	0	0%	None	None	None
Wu-Hsiang Hsu	810	0.28%	0	0%	0	0%	None	None	None
Ran Ran Investment Co., Ltd. Representative: Yung-Chih Lin	804	0.28%	0	0%	0	0%	None	None	None
	186	0.06%	0	0%	0	0%	None	None	None

Note 1: Illustrate the top-ten shareholders. The name of the corporate shareholders and the name of its representative should be illustrated separately.

Note 2: The calculation of shareholding ratio refers to the shareholding ratio calculated in accordance with the shareholding of the shareholders, spouse, minor children, and in the name of others.

Note 3: The shareholders listed in the previous disclosure include corporate bodies and natural persons. Their relationships should be disclosed in accordance with the provisions in the Regulations Governing the Preparation of Financial Reports by Securities Issuers.

IX. Investments jointly held by The Company, The Company's directors, managers, and enterprises directly or indirectly controlled by The Company. Calculate shareholding in aggregate of the above parties:

Date of information: January 31, 2025

Unit: thousand shares

Invested businesses	Invested by The Company		Held by directors, managers, and directly or indirectly controlled enterprises		Aggregate investment	
	Shares	Shareholding percentage	Shares	Shareholding percentage	Shares	Shareholding percentage
Yuanta Futures (HK) Co., Limited	34,000	100%	-	-	34,000	100%
SYF Information Co., Ltd. (in liquidation) [Note 2]	-	100%	-	-	-	100%
Yuanta Global (Singapore) Company [Note 1]	5,000	100%			5,000	100%

Note 1: Yuanta Global (Singapore) Ltd., a subsidiary established by Yuanta Futures Co., Ltd. on November 23, 2022, received a Capital Markets Services License issued by the Monetary Authority of Singapore on January 23, 2025, and is currently applying for membership with the Singapore Exchange.

Note 2: SYF Information Co., Ltd. was resolved to be dissolved by the Board of Directors on June 26, 2024, with the dissolution date set for July 31, 2024. The subsequent dissolution and liquidation procedures are currently in progress.

Three. Funding Status

I. Capital and outstanding shares

(I) Share category

January 31, 2025; unit: shares

Share category	Authorized capital			Remarks
	Outstanding shares	Unissued shares	Total	
Registered ordinary shares	289,976,288	60,023,712	350,000,000	-

(II) Share capital composition

Unit: thousand shares; NTD thousand

Year / month	Issue price	Authorized capital		Paid-up capital		Remarks		
		Shares	Amount	Shares	Amount	Source of capital	Paid in properties other than cash	Others
1997.04	10	20,000	200,000	20,000	200,000	Initial share capital NT\$200,000 thousand	-	Note 1
1998.02	10	50,000	500,000	50,000	500,000	Cash issue totaling NT\$300,000 thousand dollars	-	Note 2
1998.05	10	60,000	600,000	60,000	600,000	Cash issue totaling NT\$100,000 thousand dollars	-	Note 3
1999.07	10	61,500	615,000	61,500	615,000	Cash issue totaling NT\$15,000 thousand dollars	-	Note 4
2000.08	10	63,000	630,000	63,000	630,000	Cash issue totaling NT\$15,000 thousand dollars	-	Note 5
2003.09	10	109,580	1,095,800	109,580	1,095,800	Cash issue for merger NT\$465,800 thousand	Issued new shares for the merger with Refco Taiwan Co., Ltd.	Note 6
2003.11	10	64,500	645,000	64,500	645,000	Capital reduction totaling NT\$450,800 thousand dollars	None	Note 7
2005.07	10	90,000	900,000	72,240	722,400	Capitalization of retained earnings totaling NT\$77,400 thousand dollars	None	Note 8
2006.07	10	90,000	900,000	80,186	801,864	Capitalization of retained earnings totaling NT\$79,464 thousand dollars	None	Note 9
2007.07	10	200,000	2,000,000	95,101	951,011	Capitalization of retained earnings totaling NT\$149,147 thousand dollars	None	Note 10
2007.07	10	200,000	2,000,000	97,483	974,826	Employees' stock bonus totaling NT\$23,815 thousand dollars	None	Note 10
2007.10	10	200,000	2,000,000	109,673	1,096,726	Cash issue totaling NT\$121,900	None	Note 11

						thousand dollars		
2008.07	10	200,000	2,000,000	128,536	1,285,363	Capitalization of retained earnings totaling NT\$188,637 thousand dollars	None	Note 12
2008.07	10	200,000	2,000,000	131,276	1,312,763	Employees' stock bonus totaling NT\$27,400 thousand dollars	None	Note 12
2012.01	10	250,000	2,500,000	232,276	2,322,763	Cash issue for merger NT\$1,010,000 thousand	Merger of Yuanta Futures for the issuance of new shares	Note 13
2020.01	10	250,000	2,500,000	249,976	2,499,763	Cash issue totaling NT\$177,000 thousand dollars	None	Note 14
2020.09	10	350,000	3,500,000	289,976	2,899,763	Cash issue totaling NT\$400,000 thousand dollars	None	Note 15

Note 1: Approved under Notice (86) Tai-Tsai-Cheng-(5)-47814 dated 1997.04.09.

Note 2: Approved under Notice (86) Tai-Tsai-Cheng-(5)-88889 dated 1997.12.08.

Note 3: Approved under Notice (87) Tai-Tsai-Cheng-(7)-28749 dated 1998.04.16.

Note 4: Approved under Notice (88) Tai-Tsai-Cheng-(7)-54910 dated 1999.06.11.

Note 5: Approved under Notice (89) Tai-Tsai-Cheng-(7)-59655 dated 2000.07.12.

Note 6: Approved under Notice Tai-Tsai-Cheng-7-Zi No. 0920137311 dated 2003.08.18.

Note 7: Approved under Notice Tai-Tsai-Cheng-7-Zi No. 0920154137 dated 2003.11.14.

Note 8: Approved under Notice Jin-Guan-Zheng-7-Zi No. 0940128511 dated 2005.07.19.

Note 9: Approved under Notice Jin-Guan-Zheng-7-Zi No. 0950129316 dated 2006.07.28.

Note 10: Approved under Notice Jin-Guan-Zheng-7-Zi No. 0960038332 dated 2007.07.18.

Note 11: Approved under Notice Jin-Guan-Zheng-7-Zi No. 0960057731 dated 2007.10.17.

Note 12: Approved under Notice Jin-Guan-Zheng-7-Zi No. 第 0970032354 dated 2008.06.30.

Note 13: Approved under Notice Jin-Guan-Cheng-Chi-1000064718 dated 2012.01.16.

Note 14: Approved under Notice Jin-Guan-Cheng-Chi-1080341263 dated 2020.01.16.

Note 15: Approved under Notice Jin-Guan-Cheng-Chi-1090357569 dated 2020.09.17.

(III) List of major shareholders

Base date: June 25, 2024

Name of major shareholder	Shareholding Number of shares held (shares)	Shareholding percentage (%)
Yuanta Financial Holding Co., Ltd.	192,167,005	66.27%
Cathay Life Insurance Co. Ltd.	23,997,789	8.28%
ROSENTHAL COLLINS GROUP LTD	17,710,721	6.11%
Nan Shan Life Insurance Co. Ltd.	2,266,000	0.78%
TransGlobe Life Insurance Inc	1,650,406	0.57%
Sunsino International Developmant Associate Inc.	1,133,693	0.39%
Darry Investment Limited	1,062,000	0.37%
Chieh-Erh Lin	865,081	0.30%
Wu-Hsiang Hsu	810,000	0.28%
Ran Ran Investment Co., Ltd.	804,122	0.28%

(IV) The company's dividend policies and execution

1. Dividend policies stated in The Company's Articles of Incorporation

The Company optimizes its dividend policy to ensure long-term financial stability while satisfying the needs for future growth, and thereby maximizing shareholders' interests. Detailed rules are as follows:

1. The annual dividend to be distributed should be an amount not less than 50% of the earnings available for distribution.
2. The Company may decide the weight of dividends issued in cash and in shares based on its business operations and capital requirements projected for the next year. However, cash dividends must not be lower than 30% of all dividends issued.

2. Dividend distribution proposed for the this shareholders' meeting

The company's 2024 earnings distribution proposal was resolved by the board of directors on April 2, 2025, of which, the cash dividends for shareholders amounted to NT\$1,535,886,183 (NT\$4.8 per share). The said proposal is scheduled to be submitted to the shareholders' meeting for resolution on May 21, 2025. The board of directors will be authorized thereafter to determine the ex-dividend date, the payment distribution date, and other relevant matters.

(V) Impacts on business performance and earnings per share if the stock dividend proposal is approved during the shareholders' meeting: no stock dividend proposal has been raised for the shareholders meeting, thus not applicable.

(VI) Employee compensation and remuneration to directors

1. Proportion or range of employees compensation and Directors' remuneration specified in the Articles of Incorporation

It is so stated in Article 29, Paragraph 1–3 of the company's Articles of Incorporation: "The company's annual final accounts, if any, should be first applied to pay taxes and make up for the losses of previous years, and then appropriate legal reserve for an amount equivalent to 10% of the earnings lawfully, as well as 20% special reserve, in addition, appropriate or reverse special reserve, then add the balance amount thereafter to the unappropriated earnings of the previous years for dividend distribution to shareholders, which is a decision to be resolved by the board of directors and approved by the shareholders meeting accordingly. The appropriation of the legal reserve and special earnings referred to in the preceding paragraph can be exempted when it is equivalent to the Company's paid-in capital. To incentivize employees and the management team, this Company shall appropriate one per-mille (0.1‰) to five per-cent (5%) of the balance from deducting the accumulated deficits from the profit of the year (e.g. income before tax deducting the income before deducting the compensation for employees). In addition, when distributing the compensation for employees in stock or in cash, the scope of recipients may cover employees of companies under the control of or affiliated to this Company fulfilling certain requirements. The said certain requirements shall be determined by the Board of Directors."

In addition, according to the amendment of the Articles of Association, the Company has no longer distributing remuneration to directors since the year of 2015.

2. The accounting treatment for the difference, if any, among the current estimated compensation to employees and remuneration to directors, the number of shares

applied for the calculation of stock dividend, the actual distribution amount, and the estimated amount: **There is no difference.**

3. Employees' and Directors' remuneration resolved by the Board of Directors
 - (1) BOD approved that the 2024 earnings will be distributed in cash. The 2024 compensation for employees amounts to NT\$4,048,360, while that of directors is zero.
 - (2) The proportion of amount equivalent to the stock distributed as compensation for employees in the earnings after tax in the individual or consolidated financial statement of the period and the total amount of compensation for employees: NA.

4. Employees' and Directors' remuneration made in the previous year

The proposal for the distribution of 2023 compensation for employees and directors was approved by BOD and reported to the meeting of shareholders. There is no difference between the exact amount of distribution and the proposed amount of distribution. The 2023 compensation for employees amounts to NT\$3,821,480, while that of directors is zero.

5. The Company's employee remuneration and director remuneration information is disclosed on the Market Observation Post System. Please visit the company's website directly at <https://mopsplus.twse.com.tw/mops/#/web/home> and click "dividend distribution" option at "Shareholders' Meeting and Division" section and then key in the query conditions (Company Code: 6023).

(VII) Shares repurchased by The Company: none.

II. Disclosure relating to corporate bonds

(I) Outstanding corporate bond and those in process:

Bond type		The 2021 first-time unsecured subordinate ordinary corporate bonds
Issue date		November 12, 2021
Face value		NT\$ 1 million
Place of issuance and trading (Note)		Not applicable
Issue price		The corporate bonds are issued at full face value on the issue date.
Total		NT\$ 1.5 billion
Interest rate		the fixed annual rate of 0.85%
Duration		7-year issuance that will expire on November 12, 2028.
Guarantee Institution		Not applicable
Trustee		Bank of SinoPac
Underwriter		Yuanta Securities Co., Ltd.
Certifying Lawyer		Yisheng United Law Firm
CPA		PwC Taiwan
Repayment Methods		<p>1. Interest calculation and payment: The interest of the corporate bonds is calculated and paid once a year at a simple rate according to the coupon rate from the date of issuance. The interest of the corporate bonds is paid to the dollar (rounded up) based on NT\$1 million per unit. If the principal and interest payment date of the corporate bonds falls on the closing day of the paying bank, the principal and interest will be paid on the business day following the closing date without additional interest incurred. No deferred interest will be paid additionally to those who have collected the principal and interest after the payment date.</p> <p>2. Principal repayment: The principal of the corporate bonds will be repaid in a lump sum on the due date.</p>
Unpaid principal		NT\$ 1.5 billion
Clause on redemption or earlier redemption		None
Restrictive clauses		None
Name of the credit rating agency, rating date, and rating results		None
Other equity attached	The amount of the bonds that have been converted into ordinary shares (either by exchange or purchase), GDRs or other securities	None
	Rules for issuing and conversion (either by exchange or purchase)	None
Rules for issuing, conversion, exchange or purchase, possible dilutions of equity from the issuing conditions, and the impacts on the rights of the existing shareholders		None
Custody Agency Name for the Exchange Target		None

Note: It is exempted from reporting since it is not an overseas corporate bond.

(II) Convertible corporate bond: None

(III) SWAP corporate bonds: None

(IV) General reporting of corporate bonds issuance: None

(V) Corporate bonds with option: None

III. Disclosure relating to preference shares: none.

IV. Disclosure relating to overseas depository receipts: none.

V. Employee stock warrants: none.

VI. The new shares from restricted employee stock option: none.

VII. Disclosure on new shares issued in exchange of other company shares:

(I) The following disclosures are applicable for any issuance of new shares in exchange of other company shares during the latest year, up till the publication date of this annual report: None.

(II) For any issuance of new shares in exchange of other company shares resolved by the board of directors during the latest year, up till the publication date of this annual report, describe the latest progress and the basic information of the acquired company (or the company from whom shares are exchanged in return). For new shares that are currently being issued in exchange of other company shares, the progress and impacts to shareholders' equity must be disclosed: None.

VIII. Progress on the use of funds:

(I) Outstanding securities previously offered or privately placed as of the quarter prior to the annual report printing date: None

(II) Security issuance completed within the last three years but with the plan benefits yet to emerge: None.

Four. Business performance

I. Content of business

Yuanta Futures Co., Ltd.

(I) Business scope

Yuanta Polaris Futures is a futures commission merchant specialized in brokerage, proprietary trading, consultation, and leverage transaction merchant; it offers various services including hedging, speculation, arbitrage etc. The following are The Company's principal business activities:

1. Principal business activities:

- (1) Futures brokerage.
- (2) Proprietary futures trading.
- (3) Futures consultation services.
- (4) Futures Clearing and Settlement, and Clearing and Settlement Service.
- (5) Proprietary securities trading.
- (6) Securities introducing agency.
- (7) Leverage Transaction Merchants.
- (8) Other business functions approved by the competent authority.

2. Business weightage

Unit: NTD thousand; %

Item \ Year	2023		2024	
	Operating revenues	Ratio (%)	Operating revenues	Ratio (%)
Brokerage revenue	3,251,367	94.62	3,774,411	94.04
Income from proprietary trade	175,167	5.10	231,377	5.77
Consultancy income	9,519	0.28	7,664	0.19
Total	3,436,053	100.00	4,013,452	100.00

Source: consolidated audited financial statements

3. The Company's current products (services)

- (1) Futures brokerage
 - ① Consigned trading of futures and options contracts over Taiwan Futures Exchange.
 - ② Consigned trading of U.S., Singaporean, Japanese, Hong Kong, and European futures and options.
- (2) Proprietary futures trading
 - ① Proprietary trading of domestic and offshore futures/options.
 - ① Market-making for futures and options to create liquidity.
- (3) Futures consultation
 - ① Provides analyses, opinions, or recommendations on futures trading, futures trust funds, the underlying, or any other instruments or investments approved by the competent authority.

- ② Makes futures related publications.
- ③ Organizes futures related seminars and campaigns.
- (4) Futures clearing and settlement, and clearing and settlement service.
To provide services such as clearing and settlement operations, and the performance guarantee of futures transactions, which are executed via Futures centralized futures exchange market.
- (5) Proprietary securities trading
 - ① Proprietary trading of securities listed on Taiwan Stock Exchange.
 - ② Proprietary trading of securities within business premise.
- (6) Futures introducing broker
 - ① Commissioned by securities firms to solicit investors into securities trading.
 - ② Accepts investors' account opening applications on behalf of securities firms.
 - ③ Accepts securities trade orders from investors and forwards them to securities firms for execution.
 - ④ Informs investors of settlement matters on behalf of securities firms.
- (7) Leverage Transaction Merchants.
The scope of leveraged margin trade contracts covers bonds, interest rate, equity, credit derivatives, assets swap, structured products and foreign currency surety, a total of 7 categories.
- 4. Planned developments for new products and services
 - (1) Continued optimization of digital platforms and process experiences:
For the purpose of perfecting customers' digital service experience, in addition to optimizing online service functions continuously and integrating various platform operations, the company plans to construct a "customer management digital platform" in 2025 to enhance digital marketing and to integrate social media platforms and media courses, business elite zone, and other types of information, to provide opportunities for potential customers to interact directly with the salespersons, to enhance the interaction with the digital users in depth, to allow users to experience multi-functional services across browsers and devices, and to bringing customers a higher quality service experience.
 - (2) Optimizing information infrastructure, enhancing information security protection capabilities and reducing operational risks:
In light of frequent network threat incidents and ongoing information security issues, the Company has actively deployed and expanded its data center facilities. In addition to the original cabinet area, the Banqiao computer room cabinets were expanded this year, while the planning and implementation of core system offline backups were completed to reduce operational risks and ensure uninterrupted financial services. Furthermore, to strengthen overall information security protection capabilities, the Company actively planned information security protection projects and optimization measures, improved information security management system procedures, and regularly conducted information security preparation and incident drills, effectively enhancing information security protection capacity.
 - (3) Continue to expand the scale of leverage transactions:

In 2024, the average monthly transaction amount of leveraged trading business in the entire market was NT\$156.4 billion, an increase of 1.0% over the previous year.. Recognizing the growth potential of the leveraged trading business, we completed a dedicated website and a new trading platform for leveraged trading that complies with regulatory requirements this year. Looking ahead to 2025, we will continue to expand our proprietary business team, develop distribution channels, increase active trading accounts, and create auxiliary tools for CFD program trading to meet customers' diverse trading needs. With our commitment to business compliance and rigorous risk control, we aim to protect customer interests, differentiate ourselves from competitors, promote CFD products, and strengthen the Company's diversified profit engines.

(4) Expansion of Asia-Pacific Regional Business:

In 2025, the Company will actively pursue the establishment of the Yuanta Global (Singapore) subsidiary, build a local business team, and expand opportunities for futures trading and clearing correspondent business. By connecting Taiwan, Hong Kong, and Singapore regions, we will develop potential customers in Southeast Asian countries and expand leveraged forex business and international commodity futures physical delivery services to create an international trading platform. Meanwhile, we will strengthen resource integration and business development synergies with the Group's operating locations in the Asia-Pacific region, increasing cooperation opportunities with international institutional investors, with the aim of expanding our overseas brokerage and B2B correspondent business to solidify our business deployment in the Asia-Pacific region.

(II) Industry overview

1. Current industry conditions

(1) Existing market participants

As of December 31, 2024, the futures brokerage participants numbered 67, with a total of 831 operating strongholds. Including 14 special full-time futures brokers (with 29 operating strongholds), 11 concurrent futures brokers (with 88 operating strongholds) and 42 futures introducing brokers (with 714 operating strongholds). In the area of proprietary trade, the Company has worked with 11 futures firms and 17 financial institutions running proprietary futures trade. In terms of leveraged traders, the Company became the first domestic leveraged trader in 2015 and there were only 5 leveraged traders in 2024. In the area of clearing and settlement, the Company has 18 general clearing members, 8 individual clearing members, and 8 clearing banks.

Among the above classifications, The Company is a specialized futures commission merchant, a specialized proprietary trader, an ordinary clearing member, a composit futures consultation firm, and leveraged traders. In addition, in terms of brokerage, the Company has a total of 21 future introducing brokers, including Yuanta Securities, King's Town Securitie, GMStock, Easytrade Securities, Yung Shin Securities, Boom Securities, Kuanz-ho Securities, Yingyi Securities, Antay Securities, Quan Thai Securities, Taichung Bank Securities, Sunny Securities, Chung Nourn Securities, Taiwan Cooperative Securities, Concord International Securities Co., Ltd., Grand Fortune Securities, Yung Chuan Securities, BankTaiwan Securities, Ta Chan Securities, Taiwan Business Bank and Chang Hwa Bank.

(2) Customer structure

In 2024, financial markets continued to be volatile, with geopolitical tensions persisting. Events including the U.S. presidential election, central banks' policy rate pivots, and the Chinese government's injection of liquidity to rescue markets occurred in rapid succession. Hedging and trading demands in futures markets increased, with global futures and options trading volume reaching a new high in 2024. As of October 2024, trading volume had reached 177.1 billion contracts, a 63.68% increase compared to 108.2 billion contracts during the same period last year. In 2024, Taiwan's capital market was active, with the TAIEX reaching new records. The futures market trading volume also hit new highs, with Taiwan's futures market trading volume totaling 395 million contracts, exceeding 300 million contracts for the fifth consecutive year, representing a 21.53% growth compared to 325 million contracts last year. Overall institutional investor participation increased by 0.84% to reach 52.73%. In 2024, the five major products in Taiwan's futures market were, in order: TAIEX options, mini TAIEX futures, single stock futures, TAIEX futures, and micro TAIEX futures. Mini TAIEX and micro TAIEX futures accounted for 45.28% of the market, while stock futures (including single stock futures and ETF futures) represented 33.79%. As the TAIEX index rose, the popularity of stock futures increased, growing 30.48% compared to the previous year. Mini TAIEX futures, driven by micro TAIEX futures, saw a 28.54% growth in trading volume, making them potential growth products in the futures market. Regarding futures account openings, individual investors reached 2.041 million accounts, growing 4.2%, while institutional investors reached 11,511 accounts, growing 3.0%, continuously injecting new trading momentum into the market.

2. Industry development

(1) Market participants' trends

Looking at the development of futures brokerage firms, 2024 was a notable year. Benefiting from increased market volatility and interest rates maintaining high levels, futures companies delivered impressive profit performance throughout 2024. The 14 specialized futures brokers reported pre-tax net profits of NT\$8.40 billion in 2024, a 25.21% year-over-year increase compared to NT\$6.71 billion in 2023. The main factor contributing to this growth was the rise in bank deposit rates, which increased interest income from both proprietary funds and customer margin deposits. The overall profit generation still relies on the futures merchants with the background of financial holding, demonstrating the phenomenon of "rich getting richer."

(2) Trend in customer structure

In the current client structure, the trading volume ratio between individual and institutional investors is approximately 1:1. In 2024, Taiwan's futures market's five major products were: TAIEX options, mini TAIEX futures, single stock futures, TAIEX futures, and micro TAIEX futures. On July 29, 2024, micro TAIEX futures were officially listed with contract specifications that aligned with market development trends, driving domestic futures trading volume to grow by 36.17%, while options trading increased by 9.77%, demonstrating the robust momentum in Taiwan's futures market. Additionally, after-hours trading consistently accounted for over 30% of total volume. Following the inclusion of TSMC single stock futures in after-hours trading in January 2024, Taiwan traders became more actively connected with international markets, with more aggressive participation during the after-hours trading session. In 2024, actively traded products were primarily mini and micro TAIEX futures, stock futures, and

TAIEX options. Mini and micro TAIEX futures accounted for 45.28% of trading volume, while stock futures (including single stock futures and ETF futures) represented 33.79%. As the Taiwan Stock Index rose, interest in stock futures increased, growing 30.48% compared to the previous year. Mini TAIEX futures, boosted by micro TAIEX futures, saw a 28.54% growth in trading volume, making them promising products in the futures market. Additionally, the Taiwan Futures Exchange introduced Taiwan Mid-Cap 100 Index futures and included more ETF futures products in after-hours trading this year, providing traders with diversified product options. In 2025, the exchange plans to include more single stock futures in after-hours trading and enhance the risk detection platform for traders, aiming to increase trading flexibility in Taiwan's futures market and help traders manage risk properly, thereby improving capital utilization efficiency. The importance of enterprise ESG related issues is valued globally in recent years. In addition to the financial supervision imposed by the Financial Supervisory Commission, the Securities and Futures Bureau has also formulated 3 major promotion frameworks, 10 strategies, and 27 specific measures for building up the sustainable development and operation of the futures industry, which includes instrument and policy mechanisms so to lead the industry to enhance sustainable development energy and improve the ESG ecosystem.

3. Association between upstream, midstream, and downstream industry participants

The primary function of a futures commission merchant is to supply derivative instruments into the market, whether the underlying assets are shares, foreign currencies, interest rates, agricultural commodities, precious metal, or energy. These instruments allow commodity suppliers or buyers to lock in their prices during volatile times, so that can transfer price risks within the futures market and run their businesses with more certainty. Therefore, the futures market is where hedgers, speculators, and arbitragers transact for their own causes, and to achieving free market economy. In futures market does not have upstream, mid-stream, or downstream connections as does manufacturing.

4. The development trends for each product

Instruments traded over the market in 2024 consisted mainly of domestic futures, domestic options, U.S., Japanese, Singaporean, Hong Kong, and European instruments. Domestic futures mainly consisted of index futures and individual stock futures, while trading for domestic options was mainly concentrated in options on index futures. U.S. instruments consisted mainly of stock index futures, energy futures, gold futures, foreign currency futures, interest rate futures and agricultural commodity future. The stock index futures are the main commodities traded at Japanese Futures Exchange. The main commodities in the Singapore stock market include China A50, India Index, and FTSE Taiwan Index Futures. Hong Kong instruments consisted mainly of Heng Seng, H Stock Index futures, MSCI Taiwan index. The main commodity in the European stock markets is DAX Index Futures. The figures below represent the trading volume statistics for major products in exchanges at home and abroad over the past five (10) years:

Year	Taiwan futures	Taiwan options	U.S.	Japan	Singapore	Hong Kong	Others	Total
2015	144,105,804	363,478,888	8,968,442	590,129	16,038,782	680,263	1,272,488	535,134,796
2016	146,204,918	337,152,194	11,220,396	775,522	18,642,407	982,455	1,613,234	516,591,126
2017	156,817,098	374,594,240	12,710,362	521,027	17,703,109	1,075,104	875,062	564,296,002
2018	225,462,486	390,704,666	15,355,474	756,310	24,912,780	1,388,343	394,663	658,974,722
2019	180,084,696	341,446,268	16,665,909	736,904	19,060,859	1,132,668	541,602	559,668,906
2020	278,303,754	404,482,938	23,519,677	962,898	12,938,542	1,136,462	759,038	722,103,309
2021	388,906,608	395,498,134	22,202,111	757,528	11,780,637	1,365,762	1,160,366	821,671,146
2022	366,624,586	402,312,408	32,458,318	889,920	11,888,618	1,743,311	1,785,316	817,702,477
2023	296,251,280	353,038,414	26,690,114	1,212,589	10,292,369	1,876,188	1,795,859	691,156,813
2024	403,407,048	387,535,834	26,117,432	3,101,207	11,107,647	2,024,488	1,864,211	835,157,867

Source: Chinese National Futures Association

5. Competition

The Company is a futures commission merchant. The profitability of the major competitors in 2024 is as follows:

Rank	Name of futures merchant	Cumulative pre-tax profit/loss	Cumulative pre-tax profit/loss EPS	Share capital
1	Yuanta	2,720,643,631	9.38	2,899,762,880
2	Capital	1,461,639,030	6.95	2,104,375,840
3	KGI	1,269,167,140	7.06	1,797,629,750
4	Sinopac	921,032,303	5.50	1,675,250,530
5	Fubon	529,840,540	2.04	2,600,000,000
6	President	514,600,317	7.80	660,000,000
7	Cathay	268,493,775	4.03	667,000,000
8	Masterlink	196,544,636	2.81	700,000,000
9	Concord	160,225,765	1.97	815,000,000
10	Waterland	119,044,662	1.05	1,134,650,000
11	Hua Nan	109,790,035	2.52	435,000,000
12	Mega	70,188,366	1.75	400,000,000
13	Da Chang	35,164,682	1.17	300,000,000
14	Taishin	25,657,790	0.31	818,000,000

Data source: Taiwan Futures Exchange; ranked in accordance with the cumulative net income before tax

(III) Technological research and development

1. Technological intensity and R&D

Yuanta Futures Research Department had carried forward the spirit of 2024 to 2023, in another word, optimized the diversity, immediacy, and depth of research reports continuously, actively promoted financial innovation, and maintained the audio and video resources and traffic of digital platforms continuously.

The company's research team is committed to fulfilling the needs of customers in Taiwan and overseas. In addition to regularly providing financial market information, overseas futures quotations, special research and prospective reports, the company also applies research and analysis expertise to help customers build up data models. In addition, the research team exercises professional advantages in business promotion, actively supporting physical and online seminars, constructing real-time message receiving channels, reminding instrument fluctuations, participating in the visits to industrial juridical persons of the business team, integrating professional analysts' opinions, instrument prospect reports, customized strategic modeling services, issuing analysis reports that are close to market demand, improving customer service, and establishing the professional value of Yuanta Futures.

In terms of digital platform promotion, the Research Department publishes professional research reports and real-time market analysis around the clock through the LINE groups with various business units, and launches special thematic research and market prompt reviews to enhance customer loyalty and to enjoy Yuanta Futures' most up-to-date and comprehensive research resource. Yuanta Futures researches YouTube channel. The professional analysts from the Research Department provide analysis and interpretation on various featured topics, and focuses on feature subject discussion (occasional features introduction) and quarterly navigation (introduction of each major commodity category on a quarterly basis) on video and audio update. Since the channel launched till present, there are more than 9,540 subscribers, 940 videos aired, and 3,205,095 viewers so far, demonstrating the remarkable achievements of the research team in combining research content and digital innovation.

In terms of R&D strategic trading, the characteristics of big data in the futures and options markets are utilized in 2024 continuously to provide quantitative research results, and the company uses the occurrence of commodity fluctuations to track commodity price changes and to comprehensively provide legal person demand reports and customized modeling, as well as subsequent data maintenance and update.

Looking ahead to 2025, due to organizational changes in the Company, the Research Department was transferred to Yuanta Securities Investment Consulting on December 16, 2024. We will continue to pursue research areas characterized by depth, breadth, timeliness, and active innovation, while continuously enhancing research content and digital development. The department will transmit its knowledge and experience to traders through various research reports, and continue to identify market opportunities and preferences, thereby strengthening the close connection between our professional research team and clients. This will enable investors to constantly receive international market information and the most professional research resources.

2. Academic/career backgrounds of the R&D personnel

In 2024, the Company's Research Department has a total of six research personnel, whose academic and career background is shown in the table below:

Item \ Year	Up till December 1, 2024	
	Head count	Percentage
Postgraduate study and above	5	83%
University	1	17%
Total	6	100%
4 years research experience and above	5	83%
4 years research experience and below	1	17%

In the future, the Company will continue to maintain a close association with Yuanta Securities Investment Consulting Co., Ltd. in terms of research resource utilization, substantively enhancing resources in relevant research areas and expanding the scope of research services for our clients.

3. Annual R&D expenses for the last 5 years

Unit: NTD thousand					
Item	2020	2021	2022	2023	2024
R&D Department expenses	23,519	25,776	19,725	23,025	20,177

The research expenses invested by the company's research unit had changed in 2024 due to personnel rotation, which was to respond to customer needs with flexibility and quality in resources allocation. Apart from the R&D Department, The Company has also allocated some staffs in the IT Department, who engage in research and developments within their own specialties to improve the overall performance or service quality. Most employees had attained Masters or Bachelor degrees in IT, and had many years of financial experience to assist their R&D efforts.

4. Successfully developed technologies or products

- (1) After the Information Department optimization and upgrade of the domestic core accounting system and hardware equipment was completed in 2021, and the overseas core accounting system upgrade conversion plan will be implemented continuously in 2025. Also, various front-end trading systems and backend accounting system will be completed in coordination with the launch of new products and new systems by Taiwan Futures Exchange and the development of night trading account risk information inquiry services. In addition, the company actively deployed and expanded the information center computer room and completed the Banqiao computer room expansion and off-site computer room construction projects in 2024 in order to ensure uninterrupted operations and provide traders with a quick trading environment.
- (2) In terms of information security, the publication of the latest version of the international information security management standard ISO 27001:2022 requires a transition from the original ISO 27001:2013 certification. This year, through the implementation of consulting services to assist in completing the transition according to the new version requirements, as well as conducting information security health checks and risk assessments, we aim to enhance our overall information security defense capabilities to protect the Company's and customers' information assets from cyber threats and security vulnerabilities.
- (3) In terms of digital finance, the company had continued to converge and optimize platform functions in order to provide customers with more comprehensive online services, and had introduced the OCR optical character identification function into the account opening process of futures and leverage trade in order to effectively improve the efficiency of customer account opening. In addition to optimizing customer service, we have simultaneously introduced emerging technologies such as "RPA (Robotic Process Automation)" and "Digital Reporting Systems" into internal operational processes, helping to enhance overall operational efficiency. Furthermore, in 2024, in response to rampant fraud, the futures division optimized its financial fraud prevention section to effectively conduct fraud prevention education for investors. The section details important information and relevant case images, and provides consultation hotlines to fulfill the Company's responsibilities in helping customers protect

their important assets. With active trading in 2024, the “Stock Futures at Yuanta Section” was specially created to help customers find stock futures products more quickly. This section provides information on the dynamics of stock futures, intraday momentum, and competitive advantages to help investors quickly obtain important real-time information. Yuanta will continue to enhance its digital financial services in the future, utilizing financial technology, big data analysis, and AI to conduct precise marketing through customer segmentation, thereby improving customer service satisfaction.

- (4) The Company’s continues to refine the research report, improve the readability and diversity of the report, and expand social media channel to provide traders with real-time research information in the form of community posts, video and audio. The company plans to have futures combined with industry trends, to customize project briefings for industrial legal persons, to provide strategic hedging and forward-looking analysis, etc., for corporate customer services in order to expand real economic services for industrial legal persons.
- (5) The company has introduced Taiwan Intellectual Property Management System (TIPS) since 2021, and had obtained TIPS Level-A certification from the Institute for Information Industry for four consecutive years in 2024. The company helps employees exercise innovation momentum under a sound system through the review and implementation of the intellectual property management system to create intellectual property value and business opportunities.
- (6) The company has implemented protection mechanisms from three aspects including information system, management system, and education and training in order to protect the security of personal information and privacy of customers. The company has introduced the BS 10012 Personal Information Management System (PIMS) international standard verification every year since 2021 to protect the rights and interests of customers with the established comprehensive personal information protection measures.

(IV) Long and short term business development plans

1. Short term development:

- (1) Focus on core brokerage business, accelerate customer development, and increase market share to drive growth: Secure development of niche support, continuously improve company financial structure, build the industry’s strongest order-taking capability, while investing in information infrastructure to establish an insurmountable moat; consolidate core brokerage business momentum, cultivate brokerage business and IB channels, implement customer relationship management and layered operations, actively increase institutional business market share, and create growth in both flow and existing business; enhance and strengthen risk and compliance awareness among representatives, implement risk management and fair customer treatment, strengthen market share and expand business scale.
- (2) Expand Asia-Pacific cross-border operations, synchronizing with the group’s overseas development: Yuanta Futures actively promotes international business, aiming to become a major futures broker in the Asian region, build a multinational trading platform, and strengthen integrated synergies with Yuanta Group’s overseas business. In 2024, Yuanta Global (Singapore) subsidiary has obtained in-principle approval from the Monetary Authority of Singapore, and is currently advancing various preparatory work for the Singapore subsidiary. In the future, it will combine the resources of the head office, Hong Kong, and Singapore to develop potential customers in Southeast Asian countries and expand overseas profit engines.

- (3) Enhance digital financial services, optimize customer trading experience: Continuously improve mobile trading APP platform functionality, integrate futures research report resources, providing customers with more comprehensive service content; and establish big data analysis platform, driving operational strategies through data analysis, managing customer segmentation and precision marketing, with the aim to build a trading platform centered on meeting customer needs.
- (4) Focus on leveraging business growth opportunities, constructing next-generation trading systems: Enhance leverage business team momentum, and promote diversified contracts for difference products, expanding both breadth and depth of the customer base, while simultaneously planning to build professional trading platforms, meeting traders' needs for flexible operations and hedging, creating diverse revenue sources for the company, while continuing to cooperate with major colleges and universities, through organizing simulated trading competitions and seminars, helping the company develop potential young customer groups.
- (5) Strengthen proprietary trading performance with diversified futures-spot strategies: Aiming for stable profits, enhance futures and spot strategy allocations and exposure control, while expanding fixed income revenue sources to optimize overall proprietary trading performance.
- (6) Implement sustainable development and capture green finance opportunities: Yuanta Futures integrates sustainability concepts into its operational strategy, with corporate governance, legal compliance, risk management, customer care, and fair treatment of customers as the foundation of its business. In the future, the Company will fully promote green operations and sustainable products, accelerate digital transformation projects, and seize green finance opportunities, with the goal of creating maximum value for employees, customers, and shareholders.

2. Long term development

- (1) Channel transformation and upgrade to increase revenues from multiple sources: The brokerage business team engages in organizational quality improvement. Through new commodities, new mindsets, and new profitability models, channel virtual and real integration teams will be created while striving for innovation optimization through new platforms and cross-departmental marketing.
- (2) Develop international markets and become a world-class futures merchant: Cooperate with the international deployment of Financial Holdings to actively develop overseas bases and customers in order to exercise synergy. Cultivation of the overseas business locations of the Company for emergence as global products trading platform, and the establishment of a full-range futures product line.
- (3) Strengthen risk control and protect customers' assets: Through the Company's accumulated risk management technology and expertise, financial technology commodities and services have been researched and developed to achieve close resource integration and be committed to developing new types of businesses.
- (4) Protect shareholders' rights and interests, pursue sustainable corporate development: Be committed to protecting shareholders' rights and interests upholding the principle of good faith management. Incorporate corporate social responsibility into the company management philosophy and service management model. Implement corporate sustainable management and goals through corporate governance, fair dealing, green finance, social participation, healthy workplace, and other principles.

Yuanta Futures (HK) Co., Limited

(I) Business scope

The business operation of the Company's Hong Kong subsidiary shall not exceed the business scope authorized by local authorities and the Company's business scope approved by the competent authorities in Taiwan. If it is necessary to have new type of business introduced in the future, an application will be filed separately to the domestic and foreign competent authorities.

1. Principal business activities:

- (1) Class I Operation - "Securities Trade."
- (2) Class II business (dealing in futures contracts).
- (3) Class IV Operation - "Consultation on Securities"
- (4) Class V (giving advices on futures contracts).
- (5) The 9th category "asset management" business.
- (6) Other business functions approved by the Hong Kong competent authority.

2. Business weightage

In HKD thousand; %				
Item \ Year	2023		2024	
	Operating revenues	Ratio (%)	Operating revenues	Ratio (%)
Brokerage revenue	21,011	36.44	27,128	43.16
Income from proprietary trade	129	0.22	149	0.24
Other income	36,513	63.33	35,572	56.60
Subtotal revenues	57,653	100.00	62,849	100.00

Source: audited financial statements

3. The Company's current products (services)

- (1) Securities Trade: Engagement in securities trade and related business under Class I business regulated by the Hong Kong Securities and Futures Commission.
- (2) Dealing in futures contracts: under the permission of Class II regulated activities of Securities and Futures Commission of Hong Kong to operate relevant business of futures, options, etc.
- (3) Giving advices on securities contracts: under the permission of Class IV regulated activities of Securities and Futures Commission of Hong Kong to operate relevant business of giving advices on securities, etc.
- (4) Giving advices on futures contracts: under the permission of Class V regulated activities of Securities and Futures Commission of Hong Kong to operate relevant business of giving advices on futures contracts, etc.
- (5) Asset management business: Operate asset management related business under the 9th category "asset management" monitored by the Hong Kong Securities and Futures Commission.
- (6) Other business will be approved first by the competent authority in Taiwan, and then reported to the relevant authorities in Hong Kong for the permission to

operate.

4. Optimize and improve customer service

Continue the training of futures talents and researches. First of all, enhance the quality of customer service and commit to train comprehensive futures talents; secondly, in terms of research and development, focus on the development of trading strategies and trading platform and simulate operation verification in order to provide quality services and a stable and fast trading platform.

5. Existing market participants

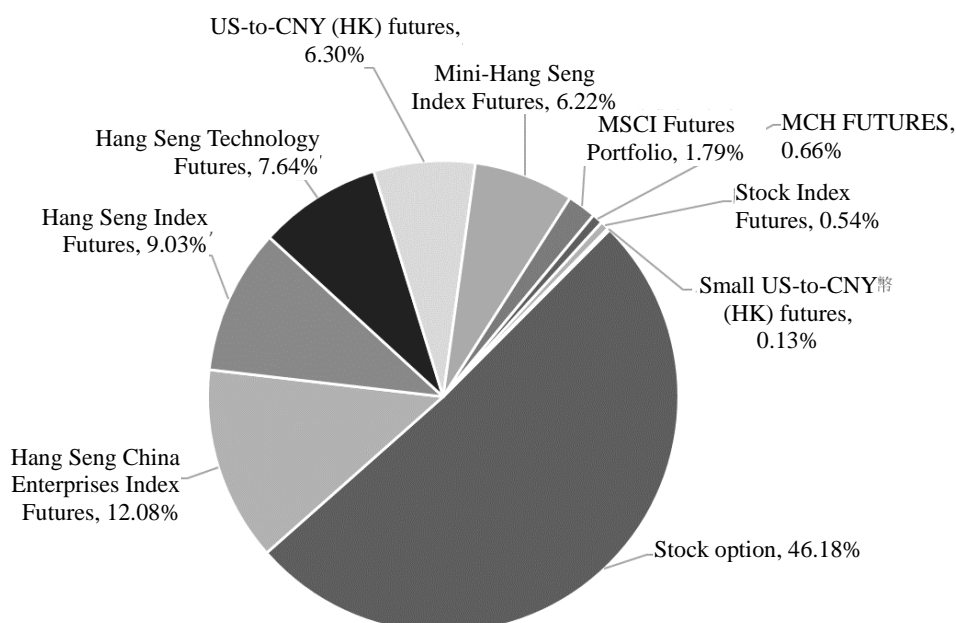
HKEx licensee / number of registers (Data as of December 31, 2024)

	The Stock Exchange of Hong Kong Limited Participants	Taiwan Futures Exchange Participants	The Stock Exchange/ Futures exchange Participants	Non-participant
Licensed institutional groups	519	81	73	2,632
Registration Authority	0	0	0	109
Licensed representative	11,198	288	5,203	18,737
Person in charge / Authorizer	1,936	94	637	7,052

*Exchange Participants are those authorized to trade or trade through the Exchange, and have obtained deals in accordance with “Securities and Futures Ordinance.”

Source: Securities and Futures Commission statistical data on market and industries.

6. HKEx futures and options ratio



7. HKEx average daily turnover Top-Ten ranking and ratio

Instrument	Proportion in transaction volume (%)	Turnover ranking	The average daily turnover
Stock option	46.18%	1	726,201
Hang Seng China Enterprises Index Futures	12.08%	2	189,991
Hang Seng Index Futures	9.03%	3	142,001
Hang Seng Technology Futures	7.64%	4	120,180
US-to-CNY (HK) futures	6.30%	5	99,109
Mini-Hang Seng Index Futures	6.22%	6	97,755
MSCI Futures Portfolio	1.79%	7	28,099
MCH FUTURES	0.66%	8	10,360
Stock Index Futures	0.54%	9	8,469
Small US-to-CNY (HK) futures	0.13%	10	2,120

Data source: Hong Kong Exchange's 2024 average daily trading volume statistics; trading volume unit: unit

(II) Technological research and development

Hong Kong is one of the most liberalized areas in the global finance, with many advantages such as the stably supervisory and regulatory structure, low tax, and zero exchange controls etc. to attract many financial institution and talented persons. The foundation of Hong Kong subsidiary not only promoted the international image of the corporate, but also acquired talents, information, platform, via financial environment in Hong Kong, and introduced new financial instruments, trading strategies, and risks management platform, which are contributive to the development of futures markets of clients, companies, and our country.

(III) Long and short term business development plans

1. The Hong Kong subsidiary is aimed for professional independent operation under the consideration of the overall planning, market change, and segmentation. The site and staff system will be built and constructed gradually in order to provide customers with quality service, to create higher profits, and to achieve maximum operational effect.
2. Receive a diversity of international information, provide diversified products, expand B2B business in Taiwan, Hong Kong, Korea, Vietnam and other regions.
3. Continue to launch physical delivery of institutions and intensify the differentiation in service business in the industry with further in-depth development of service for the institutional clients.
4. Build up the "Professional Dealer" brand in Asia-Pacific. It is expected to accumulate international practical experience and to enhance international competitiveness by actively participating in the brokerage-related business in Hong Kong futures market. Create a complete product and service line and develop more diversified and wide-range of professional business models in the futures brokerage and consultancy industry internationally.

SYF Information Co., Ltd. (in liquidation)

II. Market and sales overview

(I) Market analysis (with industry-specific key performance indicators)

1. Locations where products (services) are primarily sold (provided), and market share information

2024 market share between The Company and its main competitors:

Name of futures merchant	Taiwan futures	Taiwan options	Sub-total of overseas
Yuanta Futures	22.62%	18.14%	26.47%
KGI Futures	23.92%	16.40%	12.68%
Capital Futures	11.88%	5.50%	19.50%
Sinopac Futures	6.04%	5.86%	8.86%
Fubon Futures	4.32%	3.95%	8.31%
President Futures	3.65%	4.11%	5.81%
Concord Futures	2.36%	2.63%	4.63%
Cathay Futures	2.33%	1.38%	2.14%
Hua Nan Futures	2.15%	1.96%	1.68%
Masterlink Futures	2.13%	2.58%	2.65%
Taishin Futures	1.68%	1.31%	0.97%
IBF Futures	1.36%	1.81%	2.08%
Mega futures	1.28%	1.39%	0.72%
Da Chang Futures	0.80%	1.27%	1.14%

Source: Chinese National Futures Association

2. Future market supply/demand and growth potentials

In 2024, Taiwan's capital market was vibrant, with the weighted index rising by 5,104 points, reaching a historical high. Taiwan's stock market was driven by AI-related supply chains that boosted overall industrial activity, with large-cap stocks leading the rally. Under favorable industry prospects, market trading became active, which in turn fueled robust development in the futures market, providing traders with primary channels for hedging operations. The total trading volume for the year reached 395 million contracts, with a daily average volume of 1,634,180 contracts. Foreign investor participation accounted for 33.51%, an increase of 4.17% compared to 2023.

According to Taiwan Futures Exchange data, the five major products in Taiwan's futures market in 2024 were TAIEX options, mini TAIEX futures, single stock futures, TAIEX futures, and micro TAIEX futures. Among these, mini and micro products and single stock futures showed impressive growth. As the Taiwan Stock Index rose, interest in single stock futures increased, growing by 30.48% compared to the previous year. Mini TAIEX futures, boosted by micro TAIEX futures, saw a trading volume growth of 28.54%, indicating that smaller contract specifications are favored by traders. Small and micro-sized products will be the focus of the futures market. Additionally, night session trading consistently accounts for over 30% of the total volume. In January 2024, after TSMC stock futures were included in night session trading, this facilitated further integration between Taiwanese traders and international markets, with investors participating more actively during night trading sessions.

In 2024, the Taiwan Futures Exchange (TAIFEX) continued to innovate products and enrich the market in response to market changes and demands. In July, TAIFEX launched mini TAIEX futures, which reached a daily average volume exceeding 140,000 contracts from launch through year-end, making it TAIFEX's 5th most popular product. This also drove the daily average volume of TAIEX-related futures products (TAIEX, mini TAIEX, and micro TAIEX futures) to 610,000 contracts, representing growth of nearly 40% compared to the first half of the year. In December,

TAIFEX introduced Taiwan Mid-Cap 100 Index futures, providing traders with flexibility to adjust asset allocation between mid-cap and large-cap stocks, satisfying market needs for mid-cap stock investment and hedging. The Company continues to expand its night trading products and small ETF futures. In 2024, TSMC large and small futures, UMC futures, Yuanta US 20-year Treasury ETF futures, and Japan TOPIX futures were successively included in night trading. Night trading products have reached 30 items, satisfying traders' needs to respond to global political and economic situations for trading and hedging.

Looking ahead to 2025, the Taiwan Futures Exchange will continue to promote a diverse range of products, planning to launch weekly contracts for Friday-expiring TAIFEX options that settle every Friday, providing traders with an alternative to Wednesday-expiring contracts. Traders can respond to various market conditions and execute trading strategies more precisely. In addition, the Company is actively researching domestic stock price products with distinctive features, continuously expanding trading and hedging tool options to meet increasingly diverse market demands and consolidate Taiwan's futures market competitiveness.

3. Competitive advantage

Yuanta Futures adheres by the core value of "SMART," assisting customers in seizing global investment opportunities and performing proper risk control for customers. Providing high-quality industrial research, applying smart trading to strengthen customers' investment portfolios, and providing tailor-made options to meet customers' needs are Yuanta Futures' corporate missions. Yuanta Futures' market-leading competitive niches are as follows:

(1) The Best Futures Brand

Yuanta Futures is under Yuanta Financial Holding Co., Ltd., the largest futures dealer in Taiwan. It ranks number one in domestic and overseas futures and options market shares, profitability, and capital. It is the first futures dealer to have obtained leverage trading qualification in Taiwan. The company has engaged in steady management without bank loans and with a strong financial support. It has actively engaged in the development of various innovative businesses to provide foreign investors, corporate bodies, and individual customers with the safest investment environment.

(2) The Most Complete International Channels

Yuanta Futures provides the most complete channel services in Asian market,. In addition to the industry's leading interwoven service network made up of over 250 business bases, the company has cultivated Hong Kong and China markets over the years and have successively obtained INE overseas crude oil and Dalian Commodity Exchange's secondary agency of iron ore to provide investors with various cross-strait investment opportunities and customized services such as serving the real economy.

(3) Best Quality Customer Services

Yuanta Futures has membership in 16 exchanges around the world, the highest in the industry. It also has more than 20 years of 24/7 trading experience, providing professional international trading services without a time delay and completing commodity research reports. In order to provide complete options services, the industry's first composite information integration service APP has been set up. It includes research report information on the world's eight categories of futures and options. Smart Mall and Subscription Economy innovative services have been introduced to meet customers' various information service needs. To align with the

trend of smart automated trading, the Company also introduced the dynamic smart strategic management system to sort out the optimal strategy through artificial intelligence computation to create an exclusive futures option dealing room for the customers.

4. Opportunities

- (1) TFE will continue to launch new products and systems to make the product line of the domestic futures market complete and provide the traders a greater variety of choices for hedging.
- (2) The Company's options have innovation ability and the trading platform has integrated functions, and the brokerage market share is second to none in the long run, in other words, the Company has fully exercised the synergy of the Group's resources integration advantages.
- (3) We develop overseas future products through intelligent and digital channel transformation, offer 24-hour global services, and provide O2O service experience with social media platforms to improve service quality for customers.
- (4) With healthy financial structure, a viable system of risk management, and good practice in corporate governance, the Company strictly controls the clearing of transactions for proper control of risk.
- (5) The Company has a great variety of training programs for its personnel, which helped to upgrade the professional skills of the sales personnel and the back-end staff in compliance with applicable laws.
- (6) Incorporate the sustainable development of the enterprise into the Company's operating purpose and service management model so to substantiate the Company's sustainable development goals through ethical corporate management, customer service, green finance, social feedback, healthy workplace, etc., as well as the principle of treating clients fairly to safeguard customers' rights and interests.

5. Future opportunities, threats, and responsive strategies

- (1) The financial environment will continue to be rough. As such, the Company has mapped out the strategy for coping with the instability of profits from commission incomes and proprietary trade

Responsive strategies:

- ① Creating multiple income sources: adopt an international perspective in both trading strategy and product promotion to avoid local price competitions or concentrated revenue sources. The Company has sufficient relative advantage in international markets to secure its revenues.
- ② Dedication to high service quality: offering 24-7 trading services, IT platform upgrades and customization, professional market analysis and recommendations etc to highlight our differentiated services, and thereby building our brand image while securing customers' loyalty.
- ③ Broaden the horizon of the marketing strategy: given the advantage of the financial holdings, the Company will provide a wider array of products and services. By integrating the strategies of excellent future trading advisor team, and the interface of the outstanding IT platform, the Company will intensify strategic marketing activities, allows for more exposure to the media, higher visibility of the brand of the Company to the investors, and effectively enlarge the market size.

- (2) Futures margin trading is highly leveraged and is susceptible to settlement losses, which discourages investors' participation.

Responsive strategies:

- ① The high leverage involved in margin trading is investors' choice, not obligation. We can eliminate investors' doubts by communicating proper concepts on capital managements.
- ② Teach investors the “STOP” strategy to avoid major losses while earning sizable gains.

(II) Main product purpose and production process: not applicable.

(III) The supply of key raw materials: not applicable.

(IV) Name of trade partner representing more than 10% of total purchases (sales) in any of the last two years, and the amounts and percentages of purchases (sales). Describe the causes of any variation: not applicable.

III. The number of employees, average years of service, average age, and academic background in the last 2 years up till the publication date of this annual report

Yuanta Futures Co., Ltd.

Year		2023	2024	Up till January 31, 2025
Number of employees		396	396	399
Average age		40.46	40.99	41.03
Average years of service		10.53	10.85	10.90
Distributions by Education	Doctoral Degree	0.25%	0.25%	0.25%
	Master's Degree	23.48%	22.22%	22.31%
	Bachelor's Degree	72.73%	73.49%	73.18%
	High school	3.54%	4.04%	4.26%

Yuanta Futures (HK) Co., Limited

Year		2023	2024	Up till January 31, 2025
Number of employees		26	31	29
Average age		35.06	33.84	33.51
Average years of service		2.68	3.06	3.09
Distributions by Education	Doctoral Degree	0%	0%	0%
	Master's Degree	30.77%	38.71%	37.93%
	Bachelor's Degree	69.23%	61.29%	62.07%
	High school	0%	0%	0%

Yuanta Global (Singapore) Company

Year		2023	2024	Up till January 31, 2025
Number of employees		0	7	9
Average age		-	47.41	46.56
Average years of service		-	0.83	1.58
Distributions by Education	Master's Degree	-	14.29%	22.22%-
	Bachelor's Degree	-	71.42%	66.67%
	High school	-	14.29%-	11.11%

IV. Contribution to Environmental Protection

- (I) Companies that are required to apply for pollution treatment facilities or pollutive emission permits, or required to pay pollution treatment expenses, or required to assign dedicated environmental staffs, must detail their applications, payments, or any arrangements: **not applicable**.
- (II) List and equipment or investment relating to pollution prevention; describe their purposes and the likely benefits: not applicable.
- (III) Describe any improvements towards pollutions and disputes arising from which in the last 2 years, up till the publishing date of this annual report: **not applicable**.
- (IV) Describe any losses or penalties caused by pollutions (including compensations) in the last 2 years up till the publishing date of this annual report; disclose responsive strategies (including corrective measure) and the likely expenses (including losses, penalties, and compensations for not taking corrective actions; state the reasons if losses can not be estimated): **none**.
- (V) Describe the current pollution situation and how improving the situation may affect the company's earnings, competitiveness, and capital expenditure; estimate major capital expenditures on environmental protection in the next 2 years: **not applicable**.

V. Employer and employee relationships

- (I) **The availability of employee welfare, training, ongoing education, and retirement policies. Elaborate on the agreements between employers and employees, and the protection of employees' rights.**

Number of employees in non-managerial positions and annual average employee benefits and the difference over the previous year:

Item	2024	2023	Difference
Number of person (persons)	375	399	-24
The average benefit cost (Thousand)	\$1,663	\$1,413	250

1. Employees' welfare

- (1) Employees' Welfare Committee:

- ① Birthday, Maternity, marriage, and funeral subsidies
- ② Chinese New Year, Dragon Boat Festival and Mid-Autumn Festival gifts
- ③ Children's education subsidies
- ④ Emergency aid
- ⑤ Group recreation and tourism

- (2) The Company provides:

- ① Group accident insurance
- ② Year-end bonus
- ③ Remuneration to employees (according to the Company's Articles of Association)

- ④ Monthly pension contributions in accordance with the Labor Standards Act
 - ⑤ Annual health check-up
 - ⑥ Year-end lucky draw banquet
- (3) Government regulations:
- ① Mandatory participation in the Labor and Health Insurance Schemes
 - ② Compensation for occupational hazards according to the Labor Standards Act
 - ③ Any other requirements under the Labor Standards Act, the Labor Insurance Act, and the National Health Insurance Act

The percentages of Yuanta staff in reinstatements and retaining after parental leave in 113:

Item	Female	Male	Total
The aggregate total of Yuanta staff in reinstatements after parental leave in 113 (A)	2	0	2
The aggregate total of Yuanta staff in substantial reinstatements after parental leave in 113 (B)	1	0	1
Reinstatement percentage (%) (B/A*100)	50%	0	50%
The aggregate total of Yuanta staff in substantial reinstatements after parental leave in 112 (C)	4	0	4
The aggregate total of Yuanta staff still on the job within 12 months after reinstatements in 112 (D)	3	0	3
Retaining percentage (%) (D/C*100)	75%	0	75%

2. Employees' education policy: in order to enhance employees' professional knowledge, skills, efficiency, and work quality, we have established the following Education Policy in conformity to human resource requirements:

Orientation: Department guidance.

Department training: (1) Professional skills training (2) Work guidance (3) Workshops (4) Department meetings (5) Reading group

Outsourced training: (1) Out-stationed training (2) Internal training with hired speakers

Nurtured training: (1) Managerial talents nurturing program (2) Internal speakers nurturing program (3) Certificate examination

Foreign training: (1) Foreign inspection (2) Foreign education (3) Foreign workshop

Project training: (1) Intensive training for managerial staffs

Mandated training: (1) Pre-job training for futures specialist (2) On-job training for futures specialist (once every 2 years)

Training expenses totaled NT\$1,747,037 in the latest year.

In order to improve the professionalism of internal audits, auditors are required to participate in internal audit workshops as well as external conferences. Financial staffs are also required to attend training courses organized by the competent authority and other relevant units.

The employee trainings of the company in 2024 are as follows:

Date of information: December 31, 2024

Participants	Organizer	Course name	Hours	Persons
All employees	Yuanta E-Academy online education and training	Core Values/Legal Compliance Self-Evaluation/Money Laundering Prevention/Information Security/Personal Data Protection Act/Whistleblower System/Stakeholders/Safe Workplace/Financial Consumer Protection Act/Ethical Management and Regulations/TIPS/ESG/Intellectual Property/Fairness Treatment, and other education and training	0.5~2	8,501 person
Reserve supervisors	Yuanta Financial Holding Co., Ltd.	Yuanta MBA - Section supervisor training	90~120	7 person
Department Head/Management Trainee	Yuanta Futures Co., Ltd.	Supervisor training course	15	5 person
Senior manager	Yuanta Financial Holding Co., Ltd.	Financial Consumer Protection Act and fair treatment of customers	3	7 person
All employees	Yuanta Futures Co., Ltd.	Education Training for Anti-Money Laundering, Countering the Financing of Terrorism, and Non-proliferation of Nuclear Weapons	0.5	789 person
Senior manager	Institute for Financial Law and Crime Prevention	Anti-money laundering and countering the financing of terrorism practices and insider trading prevention propaganda	3	6 person
Senior manager	Corporate Governance Association in Taiwan	Trends in Anti-Money Laundering and Counter-Terrorist Financing Management in the Financial Industry	3	1 person
AML Supervisor/designated personnel	Chinese National Futures Association	Analysis and Case Study on AML/CFT Conference	3	20 person
AML Supervisor/designated personnel	Taiwan Securities Association	Anti-money laundering and countering the financing of terrorism on-job workshop	12	27 person
AML Supervisor/designated personnel	Securities and Futures Development Foundation	Acquisition of AML/CTF qualifications	12	3 person
Registered practitioners	Chinese National Futures Association	On-the-job training programs for futures salespeople (including futures/consultation/proprietary trading/leverage business)	6~15	214 person
Registered practitioners	Taiwan Securities Association	On-job training for securities salespersons (including general, intermediate, and advanced)	15	60 person
All personnel	Securities and Futures Development Foundation	Mandatory orientation for new entrants (including securities and futures/consulting/and leverage)	5~12	50 person

Personnel from the Proprietary Trade Department/ Brokerage Department/ Leverage Transaction Department/Channel and Consulting Department/ Risk Management Department/ Audit Department/ Clearing Department/ Legal Compliance Department	Taiwan Securities Association	On-the-job training programs for derivative financial instruments related personnel	6	128 person
IT Department	Yuanta Financial Holding Co., Ltd.	Information security functional training	2~3	54 person
Incoming employees	Yuanta Financial Holding Co., Ltd.	Training of occupational safety and health for the new entrants	3	44 person
Incoming employees	Yuanta Futures Co., Ltd.	Education and training for new recruits/e-courses for new recruits	4~6	73 person

Employees' certification

Date of information: January 31, 2025

Certificate and license name	2023	2024	Up till January 31, 2025
Futures Practitioner, China	22	20	20
Futures Practitioner, Hong Kong	5	4	4
Futures Associated Persons	328	310	312
Futures Trading Analyst	27	23	23
Securities sales personnel	191	185	187
Senior securities sales personnel	125	115	116
Certified Securities Investment Analyst	7	7	7
Certified Securities Investment Trust and Consulting Professional	62	58	59
CFP Certified Financial Planner	2	0	0
CAMS Certified Anti-Money Laundering Specialists	2	1	1
CISA Certified Information Systems Auditor	0	1	1
CISSP Information Security System Expert	0	0	1
Trust Personnel	73	78	79
The bank's internal controls and internal auditors	24	23	22
Derivative financial instruments salespeople	27	35	37
Structured instruments salespersons	94	84	84
Investment insurance salespersons	20	19	20
Certified Financial Planner	26	26	26
Wealth management salespersons	24	22	23
Bills personnel	3	2	2
Certified Life Insurance Representative	53	54	56
Certified Property Insurance Representative	26	29	30
Enterprise Sustainability Manager	0	1	1
Basic ability test for sustainable development	0	2	3
Nursing Specialist	1	1	1
Domestic lawyers	1	1	1
Domestic accountants	1	0	0

3. Pension system: since October 1998, The Company had complied with the Labor Standards Act by contributing 2% of employees' salaries as pension into dedicated accounts opened under the Bank of Taiwan. The Labor Standard Act came into effect since 1 July 2005, and mandated a defined contribution plan. After its implementation, employees were given the option to choose between the pension scheme made available under the "Labor Standards Act", or the pension scheme under the new "Labor Standard Act" while carrying forward their years of service into the new scheme.
4. Employer/employee agreements and employees' rights: The Company had maintained a harmonic relationship with its employees since inception. It organizes meetings with employees according to its Employer/Employee Meeting Rules as a form of communication and as means for settling disputes.

(II) The losses resulted from labor disputes in the last two years and up to the annual report published date; disclosure of the current and noncurrent estimated losses and the responsive measures; if such loss amount cannot be reasonably estimated, please state the reason why:

1. Former employee Li was dismissed by the company lawfully. Employee Li filed for labor dispute mediation subsequently. The company and employee Li participated in the mediation held by Tainan City Labor Rights Association, a corporate legal person, on July 4, 2023. Employee Li and the company did not agree to the mediation result due to a difference of NT\$279,569. Then, employee Li applied to Tainan District Court for a specific performance based on the content of the mediation. The company filed a replication lawfully and had another agreement reached with employee Li during the trial at Tainan District Court, so the replication was withdrawn and the case was closed. The case has no significant impacts to The Company's operation or shareholders' equity.
2. Former employee Lin and employee Hong were reassigned to new job responsibilities due to the change in the nature of the company's business operation. They both rejected the placement and matchmaking opportunities provided by the company. A preliminary plan was reached on November 27, 2023 through the assistance of the union of Yuanta Financial Holdings Co., Ltd. and its subsidiaries. However, they both rejected the union's plan at the labor-employer medication meeting held by the Labor Affairs Bureau of Kaohsiung City Government on December 19, 2023; therefore, the company had them both laid off lawfully. The case has no significant impacts to The Company's operation or shareholders' equity.

(III) Violations committed against the Labor Standards Act identified in a labor inspection, including the date of disciplinary act, disciplinary letter No., violation of legal provisions, content of the violation, and content of the disciplinary act: None

(IV) Working environment and employee personal safety

Item	content
Entrance Security	<ol style="list-style-type: none"> 1. Our office building has Strict access control monitoring system during the daytime and the nighttime. 2. The access to the Company's building is controlled by security personnel during the day, night, and holidays so to secure the safety of the office.

Equipment maintenance and inspection	<ol style="list-style-type: none"> 1. According to the provision of the “Regulations Governing Building Public Safety Inspection Certification and Declaration,” an external professional company should be mandated to perform a building safety inspection every two years. 2. According to the Fire Services Act, monthly inspections of fire evacuation facilities and firefighting equipment must be conducted, and an external contractor must be commissioned annually to inspect and report on various firefighting equipment. 3. According to the Company’s Occupational Safety and Health Guidelines, water dispensers undergo filter replacement and water quality inspections quarterly, while workplace environment monitoring, air conditioning system maintenance, and vehicle maintenance based on mileage are performed annually.
Disaster prevention and response actions	<ol style="list-style-type: none"> 1. The Company has established “Guidelines for Employee Attendance Management and Wage Payment During Natural Disasters,” “Key Points for Major Incident Reporting Operations,” and “Occupational Safety and Health Work Rules” to prepare for disaster prevention, outline rescue precautions, and establish accident/occupational injury reporting procedures. These clearly define the responsibilities and duties of personnel at all levels within the Company in responding to major events such as natural disasters and serious injuries, both before and after such incidents occur. 2. To maintain workplace safety and health and promote safety and health operations, the Company employs one Type A Occupational Safety and Health Operations Supervisor, two Type B Occupational Safety and Health Operations Supervisors, two Type C Occupational Safety and Health Operations Supervisors, one nurse, and several first aid personnel.
Physical health	<ol style="list-style-type: none"> 1. Health examination: According to the Occupational Safety and Health Act, the Company provides regular health examinations for employees once every two years, better than the statutory requirement, and psychological counseling is available. Employees may also consult with a doctor if they want to. 2. Working environment hygiene: smoking completely prohibited in business areas, and seminar tours are arranged, the office environment is regularly cleaned and disinfected.
Mental health	<ol style="list-style-type: none"> 1. Education and Training: Stress (emotion) management course, communication skills course, and innovative thinking course are arranged, feature seminars for employees’ mental accommodation and strengthening competence are held, and e-learning is provided. 2. Expression of opinions: Set up an Employee Assistance Areas (EAPs) to provide employees with diversified physical and mental balance assistance, such as psychological consultation, medical prevention and treatment, safe workplace, care consultation, and legal consultation forums. 3. Sexual harassment prevention: Ratify the “Guideline on sexual harassment prevention, complaint, and discipline.”
Insurance and medical condolences	<ol style="list-style-type: none"> 1. The Company provides labor insurance (covering occupational injuries insurance) and health insurance for employees as required by law. The Company finds the other insurance company to provide employees and their dependents accident insurance, medical insurance cancer insurance, etc. at preferential rates. 2. The Company have all employees insured against accidents on duty with insurance coverage NT\$15 million as the compensation for employees or the heirs due to work related disabilities or death. 3. Provide preferential allowance and subsidies for injuries and death of the employee as well as injuries and death of the employee’s spouse and children.

VI. Information security management

- (I) The Company’s information security risk management framework, information security policy, specific management plan, and resources invested in information security management are:

The Company’s “Information Security Policy” is in place and approved by the Board of Directors for reference in establishing an information security management system and enacting relevant information security management specifications and procedures in order to protect the confidentiality, integrity, and availability of the Company’s important information. In addition, the Company’s security policy is based on the purpose of

protecting shareholders' rights and interests; also, aiming at the goals of "protecting information assets" and "maintaining continuous business operation and achieving the sustainable operation of the enterprise."

The company for the sake of enhancing information security supervision, coordinating information security policies, and promoting the coordination and resource allocation has designated an information unit "Information Security Team" with three full-time personnel and an officer on board to be responsible for the company's information security governance, planning, supervision, and promotion of the information security management operations, and to report the implementation of the information security management to the board of directors regularly.

In terms of information security management, it includes implementing information governance and legal compliance; also, risk management and control with a focus on protecting information security, including internal self-inspection, external active detection, disaster contingent rehearsal, and management enhancement. In addition, the Company is actively introducing various automation detection, behavior monitoring and other systems. The information security budget accounted for 7.96% of the overall information capital expenditure in 2024, including the real-time monitoring and blocking of external threats, or the internal control over data access, operational conducts, and equipment segmentation so to prevent illegal or malicious behavior with an intensive isolation and filtering mechanism.

In addition to information security protection measures, the Company participates in the Financial Information Sharing and Analysis Center (F-ISAC) to achieve joint defense synergy by having the threat information integrated with the information security defense system. Also, assess potential risks with the help of a third-party trustworthy unit, and to perform vulnerability scanning regularly, penetration testing, and various computer information security inspection or evaluation operations lawfully.

- (II) Losses from, possible impacts of, and countermeasures for major information security incidents in the most recent year and as of the date the annual report published: None.

VII. Major contracts

(I) Yuanta Futures Co., Ltd.

Date of information: January 31, 2025

Contract nature	Participants	Contract start and end dates	Main contents	Restrictive clauses
Purchase Agreement on IT Hardware	Dynasafe Technologies, Inc.	May 23, 2024 to November 20, 2025	The hardware procurement contract for the establishment of the network visualized netscout performance analysis platform	None
Purchase Agreement on IT Hardware	Sanfran Technologies Inc.	August 1, 2024 ~ September 20, 2029	Banqiao IDC Data Center High-Frequency Trading Network Equipment Procurement Project	None
Purchase Agreement on IT software	SYSTEX	January 1, 2024 to December 31, 2026	Procurement of Microsoft EA licenses	None

Contract nature	Participants	Contract start and end dates	Main contents	Restrictive clauses
Purchase Agreement on IT Hardware	Sanfran Technologies Inc.	May 15, 2023 to December 15, 2028	Off-site backup computer room network equipment procurement	None
Purchase Agreement on IT Hardware	Sanfran Technologies Inc.	May 20, 2022 to May 31, 2028	Procurement of switch and firewall equipment for Foreign Juridical Person Department	None
General trade contract	Mr. Watt Co., Ltd.	December 1, 2022 to December 1, 2027	Renewable energy power sales and certificate sales contract	None
Purchase Agreement on IT Hardware	Hwacom Systems Inc.	February 18, 2021 to July 31, 2025	Yuantai Plaza relocated network equipment and purchased Cisco equipment	None
Leasing agreement on real properties (leasing)	Yuanta Life Insurance Company	November 10, 2020 ~ November 9, 2025	Yuantai Plaza house lease contract	None

(II) Yuanta Futures (HK) Co., Limited

Date of information: January 31, 2025

Contract nature	Participants	Contract start and end dates	Main contents	Restrictive clauses
Purchase Agreement on IT software	ESUNNY INTERNATIONAL (HK) CO., LIMITED	Effective from March 1, 2019-	Esunny International Financial Derivatives Transaction Analysis software system.	None
Agreement on Property Leasing (Lessee)	Yuanta Securities (HK) Co., Limited	November 1, 2024 to October 31, 2027	Yuanta Futures (HK) office location: the lease for 23/ Admiralty Centre Tower 1, Hong Kong, was formally entered.	None

(III) Yuanta Global (Singapore) Company

Date of information: January 31, 2025

Contract nature	Participants	Contract start and end dates	Main contents	Restrictive clauses
Leasing agreement on real properties (leasing)	Shun Fung Holdings (Private) Limited	May 1, 2024 to December 31, 2026	Yuanta Global (Singapore) Office Space: Official Lease for 9 Temasek Boulevard #08- 01C	None

Five. Review of financial status, business performance, and risk management issues

I. Financial status analysis

Unit: NTD thousand

Item \ Year	2024	2023	Difference	
			Amount	Variation (%)
Current assets	159,605,440	108,720,210	50,885,230	46.80
Property and equipment	671,527	712,032	(40,505)	(5.69)
Intangible assets	88,888	97,986	(9,098)	(9.28)
Other assets	3,857,078	3,107,218	749,860	24.13
Total assets	164,222,933	112,637,446	51,585,487	45.80
Current liabilities	146,675,443	96,494,441	50,181,002	52.00
Non-current liabilities	1,627,187	1,630,296	(3,109)	(0.19)
Total liabilities	148,302,630	98,124,737	50,177,893	51.14
Share capital	2,899,763	2,899,763	-	-
Capital reserve	3,070,484	3,070,484	-	-
Retained earnings	7,580,582	6,605,703	974,879	14.76
Other equity	2,369,474	1,936,759	432,715	22.34
Total shareholders' equity	15,920,303	14,512,709	1,407,594	9.70

Major changes in assets, liabilities, and shareholders' equity in the last two years (variations more than 20% and amounting to at least NT\$10 million); describe their causes, impacts, and any responsive plans made in the future:

Current assets: mainly due to the increase in guarantee deposits from customers in the current period.

Other assets: Mainly due to the increase in financial assets measured at fair value through other comprehensive income, operating deposits, and prepayment for equipment during this period.

Current liabilities: mainly due to the increase in futures traders' equity in the current period.

Other equity: Mainly due to the increase in other comprehensive income during this period.

II. Financial Performance Analysis

Unit: NTD thousand

Item \ Year	2024	2023	Increase (decrease)	Variation (%)
Operating revenues	4,013,452	3,436,053	577,399	(16.80)
Operating gross profit	1,279,652	1,286,046	(6,394)	(0.50)
Operating gains and losses	(727,006)	(398,164)	(328,842)	(82.59)
Non-operating revenues and expenses	3,447,650	2,684,904	762,746	28.41
Earnings before tax	2,720,644	2,286,740	433,904	18.97
Income tax expense	553,748	434,021	119,727	27.59
Current period net profit	2,166,896	1,852,719	314,177	16.96
Other comprehensive income (post-tax profit or loss)	690,579	514,082	176,497	34.33
Total comprehensive income for the period	2,857,475	2,366,801	490,674	20.73

(I) Significant variations in the last 2 years (for variations above 20%)

Operating profit or loss: mainly finance costs compared to the last period.

Non-operating income and expense: The income from interest increased compared to the last period.

Income tax expenses: It is mainly due to the increase in income tax expenses arising from taxable income in the current period compared with the previous period.

Other comprehensive profit or loss (net after tax): It is mainly due to the increase in realized and unrealized valuation gains of equity instrument investments measured at fair value through other comprehensive profit or loss in the current period compared with the previous period.

Other equity: Mainly attributable to the increase in other comprehensive income during this period.

(II) Expected sales and the basis of estimation, the likely impacts on The Company's future financial position, and responsive plans

- (1) The Company will spare no effort in developing several kinds of new business depending on the volatility of the futures business at home and abroad in the future, and provide foreign investors, institutions and individuals the most secure investment environment.
- (2) The Company set its sale objective on the basis of operation performance in the past, and will increase the shares in the futures market and the profitability of the Company depending on the needs in the market.
- (3) Further development of market depending on the outlook of the futures market and operation performance, and prepare for further growth in operation in the future through cautious assessment of capital need.

III. Cash flow analysis

(I) Changes in cash flow for the current year (2024)

Unit: NTD thousand

Opening cash balance (1)	Net cash flow from operating/investing activities for the year (2)	Cash outflow for the year (3)	Cash surplus (deficit) (1) + (2) – (3)	Financing of cash deficits	
				Investment plans	Financing plans
11,262,291	2,057,586	1,431,578	11,888,299	-	-

Cash flow changes for the current year

Item	Increase (decrease) in net cash flow	Description
Operating activities	\$ 2,235,748	Due to brokerage business and proprietary trade strategies.
Investing activities	(178,162)	Due to acquisition of the increase in financial assets measured at fair value through other comprehensive income is the result.
Finance activities	(1,506,320)	Caused by the distribution of cash dividends
Foreign exchange impact amount	74,742	
Total	<u>\$ 626,008</u>	

(II) Plans to improve liquidity

1. Financing of expected cash deficits: not applicable.
2. Liquidity analysis for the last 2 years

Unit: NTD thousand

Item \ Year	2024	2023	Variation (%)
Cash flow ratio (%)	1.52	1.68	(0.16)
Cash flow adequacy ratio (%)	136.91	138.87	(1.96)
Cash flow reinvestment ratio (%)	4.41	5.45	(1.04)
Explanation to major variations: None.			

(III) Liquidity analysis for the next year (2025)

Unit: NTD thousand

Opening cash balance (1)	Expected net cash flow from operating activities for the year (2)	Expected cash outflow for the year (3)	Expected cash surplus (deficit) (1) + (2) – (3)	Financing of expected cash deficits	
				Investment plans	Financing plans
11,888,299	1,425,412	112,458	13,201,253	-	-
Responsive measures and liquidity analysis on cash flow deficits: not applicable.					

IV. Financial analysis for the previous 5 years (historical performance indicators)

Financial analysis

Items of analysis \ Year		Consolidated financial analysis for the latest 5 years (Note 1)					Year-to-date January 31, 2025
		2020	2021	2022	2023	2024	
Financial structure (%)	Debt to assets ratio	87.77	87.40	88.54	87.12	90.31	(Note 2)
	Ratio of long-term capital to property, plant and equipment	1957.90	2227.79	2230.19	2267.17	2613.07	
Solvency%	Current ratio	110.32	112.32	111.03	112.67	108.82	
	Quick ratio	110.31	112.30	111.01	112.66	108.80	
	Interest coverage ratio	0	0	0	0	0	
Operating capacity	Turnover of receivables (per time)	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Average collection days	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Inventory turnover (times)	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Accounts payable turnover ratio (times)	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Average days of sale	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Property, plant, and equipment turnover (times)	6.38	6.22	6.23	5.03	5.80	
	Total asset turnover ratio (times)	0.05	0.04	0.04	0.03	0.03	
Profitability	Return on assets (%)	1.25	0.88	1.09	1.65	1.57	
	Return on equity (%)	10.33	7.11	9.08	13.53	14.24	
	Percentage of net profit before tax to the paid-in capital (%)	45.71	36.17	49.05	78.86	93.82	
	Net profit margin (%)	27.60	22.12	28.64	53.92	53.99	
	Earnings per share (\$) (Notes 3 and 4)	4.23	2.97	3.95	6.39	7.47	
Cash flow (Note 5)	Cash flow ratio (%)	0.44	2.01	1.24	1.68	1.52	
	Cash flow adequacy ratio (%)	116.70	122.06	134.06	138.87	136.91	
	Cash flow reinvestment ratio (%)	(3.49)	6.18	3.72	5.45	4.41	
Special purpose ratios:	Ratio of total equity to total adjusted liabilities	898.49	503.77	467.43	515.05	525.31	
	Ratio of total equity to minimum paid-in capital	1118.73	1165.08	1214.23	1369.12	1501.92	
	Adjusted net capital to required margins on futures traders' outstanding position	54.56	64.72	77.46	68.64	50.57	
Leverage	Operating leverage	0.41	0.73	1.64	0.44	0.87	
	Financial leverage	1.05	1.02	2.02	0.46	0.52	
Please describe the reasons for the changes in the financial ratios over the last two years (If the increase or decrease is less than 20%, an analysis is exempted)							
The decrease in the ratio of adjusted net capital to the total customer margins required for the open positions of futures traders in this period is primarily due to the increase in the total customer margins required for the open positions of futures traders during this period.							

- Note 1: All consolidated financial information for the last 5 years has been audited.
- Note 2: There was no financial information audited or reviewed by the CPA as of the annual report publication date.
- Note 3: Earnings per share is calculated based on the weighted average number of ordinary shares outstanding. Retrospective calculations are made for any shares issued against capitalized earnings and reserves.
- Note 4: Calculations for earnings per share must take into account the following:
- ① Use weighted average outstanding ordinary shares instead of year-end outstanding shares.
 - ② The weighted average outstanding shares must take into account all cash issues or treasury stock transactions, and the length of time shares were in circulation.
 - ③ Where there is any capitalization from earnings or paid-in capital, the calculation of earnings per share annually or semi-annually should be adjusted retroactively and proportionally to the additional capitalization, but with no need to consider the issuing period of the capitalization.
- Note 5: The cash flow analysis must take into account the following:
- ① Net cash flow from operating activities is taken from the net cash flow from operating activities presented in the cash flow statement.
 - ② Capital expenditure refers to the amount of annual cash outflow for capital investments.
 - ③ The gross amount of property, plant, and equipment is the total amount of property, plant, and equipment before deducting accumulated depreciation.

The formula of the various analyses are defined below:

1. Financial structure (%)
 - (1) The ratio of liabilities to assets = total liabilities / total assets
 - (2) Ratio of long-term capital to property, plant and equipment = (Total equities+noncurrent liabilities) / property, plant and equipment.
2. Solvency (%)
 - (1) Current ratio = current assets / current liabilities.
 - (2) Quick ratio = (current assets - inventories - prepaid expense) / current liabilities
 - (3) Interest coverage ratio = net profit before interest and tax / interest expenses for the current period.
3. Operating capabilities
 - (1) Accounts receivable turnover (including accounts receivable and notes receivable resulting from business operations) = Net sales / Average accounts receivable in various periods (including accounts receivable and notes receivable resulting from business operations)
 - (2) Average collection days = 365 / Accounts receivable turnover
 - (3) Inventory turnover = Cost of goods sold / average inventory amount.
 - (4) Accounts payable turnover (including accounts payable and notes payable resulting from business operations) = Cost of goods sold / Average accounts payable in various periods (including accounts payable and notes payable resulting from business operations)
 - (5) Average days in sales = 365 / Inventory turnover
 - (6) Property, plant and equipment turnover rate = Net sales / Net average property, plant and equipment
 - (7) Total assets turnover (times) = Net sales / Average total assets
4. Profitability
 - (1) Ratio or return on total assets = after tax net profit/ average total assets
 - (2) Return on shareholders' equity = after tax net profit/ total average equity.
 - (3) Profit ratio = after tax net profit/net sales
 - (4) Earnings per share = (profits or loss attributable to owners of the parent company - preferred stock dividend) / weighted average stock shares issued
5. Cash flow
 - (1) Cash flow ratio = net cash flow from operating activities / current liabilities.
 - (2) Cash flow adequacy ratio = net cash flow from operating activities within five years / (capital expenditure + inventory increase + cash dividend) within five years
 - (3) Cash re-investment ratio = (net cash flow from operating activity - cash dividend) / (gross property, plant, and equipment + long-term investment + other noncurrent assets + working capital)
6. Special purpose ratios:
 - (1) The ratio of total equity to adjusted total liabilities = Shareholders' equity / (Total liabilities - futures investors' equity).
 - (2) The ratio of total equity to minimum paid-in capital = Shareholders' equity / minimum paid-in capital.
 - (3) Ratio of the adjusted net capital amount to the total customer margin amount for the futures trader's un-offset position = Adjusted net capital / Total customer's margin amount for the futures trader's un-offset position
7. Leverage:
 - (1) Operating leverage = (Net operating income - variable operating costs and expenses) / operating profit.
 - (2) Financial leverage = Operating profit / (operating profit - interest expense)

Items of analysis \ Year		Individual financial analysis within five years (Note 1)					Year-to-date January 31, 2025
		2020	2021	2022	2023	2024	
Financial structure (%)	Debt to assets ratio	87.61	87.09	88.29	86.81	89.97	(Note 2)
	Ratio of long-term capital to property, plant and equipment	1965.20	1989.19	2243.29	2278.21	2626.90	
Solvency%	Current ratio	109.06	111.30	110.06	111.75	108.48	
	Quick ratio	109.06	111.29	110.04	111.74	108.47	
	Interest coverage ratio	0	0	0	0	0	
Operating capacity	Turnover of receivables (per time)	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Average collection days	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Inventory turnover (times)	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Accounts payable turnover ratio (times)	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Average days of sale	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	
	Property, plant, and equipment turnover (times)	6.26	6.14	6.16	4.97	5.73	
	Total asset turnover ratio (times)	0.04	0.04	0.04	0.03	0.03	
Profitability	Return on assets (%)	1.27	0.90	1.11	1.68	1.61	
	Return on equity (%)	10.33	7.11	9.08	13.53	14.24	
	Percentage of net profit before tax to the paid-in capital (%)	45.71	36.17	49.03	78.86	93.82	
	Net profit margin (%)	28.75	22.74	29.20	54.90	54.99	
	Earnings per share (\$) (Notes 3 and 4)	4.23	2.97	3.95	6.39	7.47	
Cash flow (Note 5)	Cash flow ratio (%)	0.61	2.01	1.29	1.60	1.48	
	Cash flow adequacy ratio (%)	123.84	127.10	135.73	138.38	134.43	
	Cash flow reinvestment ratio (%)	(2.35)	5.82	3.85	4.75	3.59	
Special purpose ratios:	Ratio of total equity to total adjusted liabilities	919.74	507.34	471.83	520.30	534.52	
	Ratio of total equity to minimum paid-in capital	1118.73	1165.08	1214.23	1369.12	1501.92	
	Adjusted net capital to required margins on futures traders' outstanding position	54.56	64.72	77.46	68.64	50.57	
Leverage	Operating leverage	0.09	0.47	1.13	0.73	1.16	
	Financial leverage	1.04	1.02	1.72	0.41	0.48	
Please describe the reasons for the changes in the financial ratios over the last two years (If the increase or decrease is less than 20%, an analysis is exempted) 1. The decline of cash reinvestment ratio in the current period was mainly because of the increase of cash dividend payment. 2. The decrease in the ratio of adjusted net capital to the total customer margins required for the open positions of futures traders in this period is primarily due to the increase in the total customer margins required for the open positions of futures traders during this period.							

Note 1: All individual financial information for the last 5 years has been audited.

Note 2: There was no financial information audited or reviewed by the CPA as of the annual report publication date.

Note 3: Earnings per share is calculated based on the weighted average number of ordinary shares outstanding.

Retrospective calculations are made for any shares issued against capitalized earnings and reserves.

Note 4: Calculations for earnings per share must take into account the following:

- ① Use weighted average outstanding ordinary shares instead of year-end outstanding shares.
- ② The weighted average outstanding shares must take into account all cash issues or treasury stock transactions, and the length of time shares were in circulation.
- ③ Where there is any capitalization from earnings or paid-in capital, the calculation of earnings per share annually or semi-annually should be adjusted retroactively and proportionally to the additional capitalization, but with no need to consider the issuing period of the capitalization.

Note 5: The cash flow analysis must take into account the following:

- ① Net cash flow from operating activities is taken from the net cash flow from operating activities presented in the cash flow statement.
- ② Capital expenditure refers to the amount of annual cash outflow for capital investments.
- ③ The gross amount of property, plant, and equipment is the total amount of property, plant, and equipment before deducting accumulated depreciation.

The formula of the various analyses are defined below:

1. Financial structure (%)

- (1) The ratio of liabilities to assets = total liabilities / total assets
- (2) Ratio of long-term capital to property, plant and equipment = (Total equities+noncurrent liabilities) / property, plant and equipment.

2. Solvency (%)

- (1) Current ratio = current assets / current liabilities.
- (2) Quick ratio = (current assets - inventories - prepaid expense) / current liabilities
- (3) Interest coverage ratio = net profit before interest and tax / interest expenses for the current period.

3. Operating capabilities

- (1) Accounts receivable turnover (including accounts receivable and notes receivable resulting from business operations) = Net sales / Average accounts receivable in various periods (including accounts receivable and notes receivable resulting from business operations)
- (2) Average collection days = 365 / Accounts receivable turnover
- (3) Inventory turnover = Cost of goods sold / average inventory amount.
- (4) Accounts payable turnover (including accounts payable and notes payable resulting from business operations) = Cost of goods sold / Average accounts payable in various periods (including accounts payable and notes payable resulting from business operations)
- (5) Average days in sales = 365 / Inventory turnover
- (6) Property, plant and equipment turnover rate = Net sales / Net average property, plant and equipment
- (7) Total assets turnover (times) = Net sales / Average total assets

4. Profitability

- (1) Ratio or return on total assets = after tax net profit/ average total assets
- (2) Return on shareholders' equity = after tax net profit/ total average equity.
- (3) Profit ratio = after tax net profit/net sales
- (4) Earnings per share = (profits or loss attributable to owners of the parent company - preferred stock dividend) / weighted average stock shares issued

5. Cash flow

- (1) Cash flow ratio = net cash flow from operating activities / current liabilities.
- (2) Cash flow adequacy ratio = net cash flow from operating activities within five years / (capital expenditure + inventory increase + cash dividend) within five years
- (3) Cash re-investment ratio = (net cash flow from operating activity - cash dividend) / (gross property, plant, and equipment + long-term investment + other noncurrent assets + working capital)

6. Special purpose ratios:

- (1) The ratio of total equity to adjusted total liabilities = Shareholders' equity / (Total liabilities - futures investors' equity).
- (2) The ratio of total equity to minimum paid-in capital = Shareholders' equity / minimum paid-in capital.
- (3) Ratio of the adjusted net capital amount to the total customer margin amount for the futures

trader's un-offset position = Adjusted net capital / Total customer's margin amount for the futures trader's un-offset position

7. Leverage:

- (1) Operating leverage = (Net operating income - variable operating costs and expenses) / operating profit.
- (2) Financial leverage = Operating profit / (operating profit - interest expense)

V. The major assets acquisition or disposition in the last five years

- (I) Material acquisition of assets None.
- (II) Material disposal of assets: None

VI. Material capital expenditures in the latest year and impacts on business performance

- (I) The implementation of major capital expenditures and the sources of funds: None.
- (II) Material capital expenditures and impacts on business performance: None.

VII. The major causes for profits or losses incurred by investments during the most recent year; rectifications and investment plans for the next year

(I) The Company's investment policy

The Company's investments were planned and executed according to its internal controls. Regarding the management policies for the invested enterprises, the company collects and analyzes the financial statements of the invested enterprises regularly in order to understand the operating status of the invested enterprises and to facilitate the company's managing of the invested enterprises. In addition, the company has formulated the "Regulations Governing the Investment Businesses" and other relevant regulations for compliance.

(II) The major causes for profits or losses incurred by invested businesses, and any corrective actions

Unit: NTD thousand

Name of investee	Main business activities	Sum of initial investment	Investment gains/ loss recognized in the latest year	Main causes of profit or loss	Corrective plans
Yuanta Futures (HK) Co., Limited	Class 1: Securities trade Class 2: business dealing in futures contracts Class 4: Consultation in securities Class 5: giving advices on futures contracts Category 9: Asset Management	1,033,971	57,431	In addition to operating income, benefiting from global interest rate increase policies, interest income increased, thus the annual income increased.	1. Establish a Prime Brokerage (PB) business. 2. Development of new markets and new products. 3. Expanding and grouping business teams. 4. Strive for offshore futures business in the Southeast Asian market.

Name of investee	Main business activities	Sum of initial investment	Investment gains/ loss recognized in the latest year	Main causes of profit or loss	Corrective plans
SYF Information Co., Ltd. (in liquidation)	-	-	2,055 [Note 2]	[Note 2]	
Yuanta Global (Singapore) Company	Financial services	156,725	(28,787)	[Note 1]	

Note 1: Yuanta Global (Singapore) Ltd., a subsidiary established by Yuanta Futures Co., Ltd. on November 23, 2022, received a Capital Markets Services License issued by the Monetary Authority of Singapore on January 23, 2025, and is currently applying for membership with the Singapore Exchange.

Note 2: SYF Information Co., Ltd. was resolved to be dissolved by the Board of Directors on June 26, 2024, with the dissolution date set for July 31, 2024. The subsequent dissolution and liquidation procedures are currently in progress. The investment gains and losses recognized by the Company in the most recent fiscal year refer to those recognized up to the dissolution and liquidation date of SYF Information Co., Ltd.

(III) Investment plan for the coming year: None.

VIII. Risk disclosure:

(I) Impacts of interest rates, exchange rates, and inflation to The Company's earnings, and the responsive measures

1. Impacts of exchange rate variations to The Company's profit and loss, and responsive measures in the future

- (1) The company engages in futures services. It derives income mainly denominated in the local currency. The commission revenues denominated in foreign currencies are collected from the customers' margin account on a regular basis (not more than one month). The handling fees in the special margin account are transferred out to the futures merchant's proprietary capital account for exchange. The company suffered a net exchange gain of NT\$19,338 thousand in 2024 from the denomination of USD and other foreign currencies, which accounted for 0.48% and 0.71% of consolidated income and consolidated net income before tax, respectively. Therefore, the impact of the exchange rate changes on income and profit and loss is insignificant.
- (2) Responses to exchange rate variations in the future: The Company is not in need of making significant payments in foreign currencies, except for placing cash margins or paying USD interests on excess margins received using its foreign currency revenues. As a result, The Company monitors exchange rate movements based on the information provided by its banking partner for the best timing to make exchanges. The timing of currency exchange depends on the exchange rate spread, interest rate spread, capital requirement, and movements in the foreign currency market.

2. Impacts of interest rate variations to The Company's profit and loss, and responsive measures in the future

- (1) The Company engages in futures services and generates stable cash streams by offering customers a globalized trading platform, and therefore The Company has no external borrowings. In addition, futures are traded with deposit in advance, and

futures traders are required to deposit sufficient margin before trading futures or option contracts. The customer margin account was decreased from NT\$95,469,319 thousand in 2023 to NT\$145,458,576 thousand in 2024; net interest income increased from NT\$1,877,289 thousand in 2023 to NT\$2,594,408 thousand in 2024, representing a change of NT\$717,119 thousand; the change ratio was 38.20%; the change in interest rate affected both income and profit and loss.

- (2) The Company will seek to minimize the impacts of interest rate variations on profit and loss by adopting the optimal financial structure and working closely with banks and various financial institutions to exploit the dynamics of the financial market.

3. Impacts of inflation to The Company's profit and loss, and responsive measures in the future

Inflation triggers changes in interest rates, exchange rates, unemployment rates and other economic uncertainties, and is therefore considered a material factor to the overall economy and financial activities. It is a common consensus around the world that central banks should primarily aim to stabilize commodity prices, because price stability is the only foundation on which an economy is able to achieve balanced and perpetual growth. According to the statistics of the Directorate-General of Budget, Accounting and Statistics, Executive Yuan, the domestic consumer price index growth rates in 2020, 2021, 2022, 2023 and 2024 were -0.23%, 1.97%, 2.95%, 2.49%, and 2.18%, respectively. Due to the impact of international raw materials and crude oil prices, and the appreciation and depreciation of the New Taiwan dollar resulting in the import and export price index falling and rising, the wholesale price index growth rates in 2020, 2021 and 2022 were -7.80%, 9.42%, and 12.43%, respectively; also, the price index of domestic and imported goods in 2023 and 2024 (covering the same range as wholesale price index) were -1.99% and 0.93%.

Inflation induced by commodity prices will trigger producers' needs to hedge against material prices and speculators' desires to exploit price spreads, and thereby contributing trade volumes to the futures market. Being a globalized futures service provider, The Company expects to gain from increased volatility in commodity prices.

(II) Policies on high risk and highly leveraged investments, loans to others, endorsements / guarantees, and the trading of derivative instruments; describe the main causes of profit or loss and responsive measures in the future:

The Company specializes in derivatives trading mainly in the form of futures and options. All traded instruments have been approved by the competent authority. Within the available capital authorized by the Board of Directors under risk limits, The Company structures, executes, reviews, and revises trading strategies according to internal policies and prescribed procedures as means for managing its trading gains/losses. Computer programs were incorporated to facilitate automated control within proper areas of responsibilities, so that every trading strategy and authorized personnel bears limited amounts of quantified risk; and it is within this risk tolerance that The Company seeks to maximize its trading profits.

Proprietary trading inevitably involves the risks of losses under unfavorable circumstances. However, a consistent trading strategy will ensure profitability over the long term, and the focus lies in maintaining possible short-term losses within manageable levels for maximum long-term profitability. Therefore in addition to monitoring value at risk on holding positions, The Company needs to implement standard operating procedures and computerized controls to minimize operational risks.

Since its inception, The Company has bested other industry participants in terms of

profits and profit stability, because of its competitive advantage in personnel talents, trading strategies, and risk management. The Company will continue to grow these professional abilities to become a large-scale, globalized asset management institution.

Pursuant to the “Rules Governing Futures Commission Merchants”, futures commission merchants are not allowed to lend funds or offer endorsements/guarantees to others.

(III) Future research and development plans, and the projected expenses

1. Future R&D

In order to provide a stable and excellent trading environment, the company after completing the upgrade of the core accounting system and hardware equipment in 2021 will enhance more application services and upgrade the system loading capacity; also, the Information Department and the Digital Finance Department will jointly research and develop innovative transactions system functions, optimize the electronic trading platform, and provide customers with more convenient and fast ordering functions. Simultaneously and comprehensively enhance the Company’s information security and personal information protection mechanism to protect customers’ trading rights and interests.

The future research and development direction of the company’s Information Department and Digital Finance Department:

(1) TAIFEX 2025 Information Project

In cooperation with the information project internal system modification and functional expansion of the Taiwan Futures Exchange, respective front-end trading system and back-end trading system setup and development have been completed to meet the functional item requirement of the new system and achieve better investor trading efficiency and trading information transparency.

(2) Foreign Futures Core Back-Office Replacement Project

Following the policy directive of “fast market, not slow trading,” and to enhance smooth operations during days with high trading volume due to dramatic market fluctuations, we are comprehensively optimizing and upgrading our domestic and foreign core accounting systems. This year, we will complete the replacement of the foreign futures core back-office system to strengthen more application services and provide a stable and high-quality trading environment.

(3) Enhancement of Remote Backup Data Center Implementation Phase Two

To strengthen overall operational stability and reduce information disaster risks, Yuanta Futures planned and completed the IDC remote data center location and related basic system equipment procurement in 2023. This year, we will continue with the implementation of core system remote setup to achieve the goal of uninterrupted operations.

(4) Banqiao Data Center Network Infrastructure Renewal

Providing a stable and fast trading environment for customers is extremely important. We will conduct a comprehensive renewal of outdated equipment, implementing various high-speed, low-latency devices to continuously maintain cutting-edge, premium, and fastest trading advantages that lead the industry.

(5) Futures Tablet Account Opening System Development Project

Yuanta Futures actively provides customers with diversified account opening services and channels, and continues to implement paperless and process automation policies. This year, we will complete the development and

establishment of a futures tablet account opening system to replace the existing manual counter operations.

(6) Smart Trading Platform – iTRADER

Yuanta Futures' self-developed smart trading platform project features customizable combinations, intelligent operation, and high-speed order placement, gaining popularity among various traders. The platform is complemented by dedicated windows for foreign exchange products, offering exclusive operating modes to fulfill customers' diverse trading needs. Furthermore, the company continues to enhance various functions, strengthening order placement, technical analysis, user experience, and system efficiency and stability. By integrating existing electronic platform features, it provides a comprehensive trading platform that satisfies the needs of all types of traders.

(7) Customer relationship management and data integration analysis

Yuanta Futures has built a Customer Relationship Management (CRM) platform that integrates customer data, real-time risk information, and performance management statistics as its foundation. The platform connects risk control and market information, compiling them into tables, statistical charts, and interactive diagrams to provide accurate and intuitive data presentation. This simplifies complex information, helping managers improve information usage and decision-making efficiency.

(8) Digital Audit Operation Inspection

In compliance with financial inspections and implementation of the company's internal audit operations, we plan to automate manual audit processes through emerging technologies such as RPA. This will effectively enhance operational efficiency, reduce time costs, strengthen data security, and improve timely retrieval capabilities.

(9) Diversification of account opening channels and process optimization

Develop and expand the "Yuanta Fast-ID" identity verification mechanism from the authentication of the subsidiaries of Yuanta Financial Holdings to inter-bank identity authentication. Customers may use chip financial cards of other banks to complete identity verification through the Fast-ID mechanism in the future. In addition, card reading will be upgraded from a plug-in card type to a card sensing mechanism to improve the convenience of service.

Enhancing the diversity of account opening services, including the Four-in-One account opening on the securities side (which includes securities, wealth management, sub-brokerage, and futures accounts), as well as allowing multiple additional account openings and relaxing the conditions for adding futures accounts to accommodate customer needs. We also plan to provide existing futures account holders with services to add securities accounts, achieving bidirectional account opening between futures and securities and enabling customers from all channels to experience a one-stop service.

(10) Customer management digital platform project

To strengthen the integration of digital marketing, social media platforms, media courses, and the business elite section, we are establishing a "Customer Relationship Digital Platform" that consolidates marketing campaign resources, actively developing potential clients and promoting media courses.

2. Estimated R&D expenses

An amount of NT\$17,100 thousand that is equivalent to a certain percentage of the annual turnover will be invested in 2025 to pay for the research expenses in order

to respond to customer demand, to show the importance of Research Department to the Company, and to satisfy the needs of Business Department. Including acquisition of IT equipment, employee job rotation and training, purchase and maintenance of database. The Research Department continues to refine research reports, enhance the diversity, immediacy, and depth of research reports, and actively promote financial innovation and digital platforms in order to improve customer service. The Research Department strives to have futures and industrial trends integrated for the service of corporate customers, as well as customized industry and corporate project briefings, provided strategic hedging and forward-looking analysis, etc., so as to have futures services extended to industry and corporate physical economy services.

(IV) The effect of major changes in policies and legal practices, whether domestic or foreign, to the company's financial and business performance, and the responsive actions:

The Company and its subsidiaries have all analyzed and assessed the impacts of changes in important domestic and foreign policies and laws, such as the Company Act, Futures Trading Act, AML/CFT Operations, Credit Investigation Operations, Personal Information Protection Operations, Special Group Friendly Services, Fraud Detection and Prevention, and adjusted internal relevant operating strategies and operating procedures in a timely manner in order to respond to the changes in relevant policies or laws and regulations on important domestic and foreign policies and laws.

(V) The impact of technological changes (including information security risks) and industry changes on the company's financial business and countermeasures

The traditional transactions and service patterns are affected by the emerging Internet technology. Due to the increasing threats to information security, the challenges of information protection are worsening as a result of the changes in cyber threats and risks from technological development and constant changing external attacks. The mission is to enhance staff occupational functions and crisis awareness, and to improve information security management mechanism through regular review and information security management specifications update in order to comply with laws and regulations and the latest information security requirements and standards, and to respond to information security threat attacks, backup drills, education and training, etc. Our planning for information security enhancement is as follows:

1. Strengthening endpoint DNS security protection project: The Company has established a SIEM active analysis management system to collect information from equipment logs, set up alert indicators, and implement system data correlation analysis capabilities to significantly reduce the workload of personnel, minimize misjudgment of incidents, and achieve rapid detection and response to new types of threats. With rapidly evolving attack methods, traditional signature-based matching can no longer keep pace. Cloud analysis and machine learning enable quick blocking and significantly reduce zero-day attacks. Strict control over internet browsing behavior is necessary to minimize users accessing phishing or malicious websites. PaloAlto Advance URL utilizes cloud analysis and machine learning to rapidly identify (Real-Time) new types of phishing websites for timely prevention. Blocking at the DNS level effectively prevents users from connecting to malicious websites or Command and Control (C2) reporting, enhancing threat detection and cybersecurity protection capabilities.
2. Expansion of Security Operations Center (SOC) outsourcing scope: Planning to incorporate core operational systems into the Security Operations Center (SOC) monitoring mechanism, providing real-time surveillance through 24/7 operations. This will deliver pre-incident threat intelligence warnings, real-time alerts during incidents,

and post-incident analysis recommendations, enabling immediate response to security incidents and minimizing damage.

3. ISO 27001:2022 international security management standard version upgrade consulting assessment project: In response to the publication of the latest version of the international security management standard ISO 27001:2022, there is a requirement to upgrade from the original ISO 27001:2013 certification. Through the implementation of consulting services to assist with the version upgrade process according to the new requirements, this will ensure the continued validity of the ISO 27001 certification.
4. Enhanced Network Defense and Detection (NDR & MDR): Continuously strengthen network security detection and defense by incorporating headquarters and branch offices into the NDR monitoring scope. This proactively detects and automatically counters network threats, providing NDR detection records to SIEM for comprehensive correlation analysis across all domains. This integrates with firewall defense to trigger malicious activity blocking, enhancing overall defense capabilities. Additionally, implement vendor expert monitoring services (MDR) to assist the organization in monitoring security threats, analyzing incidents, and responding to security event situations. This provides precise threat alerts and countermeasures through two-way professional communication services, continuously improving the organization's security posture.
5. Conduct information security check and risk evaluation: In accordance with the securities and futures dealer information security protection standards and self-discipline standards announced by the Chinese National Futures Association, various information security check operations are executed. They include information security diagnosis and compliance review, which are intended to find weaknesses and information security threats, thereby achieving the purpose of strengthening the organization's internal information security structure.

(VI) Impacts of changes in corporate image to the company's crisis management, and the responsive measures

From the day it was first incorporated, The Company had been renowned for its professional management, comprehensive services, and proprietary IT technologies. On top of which was a strong proprietary trading team that delivered top-notch performance and profitability in the futures industry. The Company's professional reputation has long been recognized in the market. The company merged with Yuanta Futures on April 1, 2012, and through integrating the resources from Yuanta Financial Holdings and the old Polaris group, we not only endeavor in securing our existing advantages within domestic futures market, but also continue to form strategic cooperation internationally and proactively participate in the China futures market.

(VII) The expected benefits from mergers and acquisitions, the potential risks associated, and the responsive measures

Through merger, the two parties can make the best allocation of their overlapping businesses, personnel, software and hardware to improve competitive advantage, and thereby strengthening business foundations as a whole, achieve economies of scale, and raise worldwide competitiveness.

(VIII) The expected benefits from plant expansion, the potential risks associated, and the responsive measures: none.

(IX) Risks of concentrated purchases or sales, and responsive measures to such risks: not applicable.

(X) The risks and impacts of significant shareholding transfers by directors,

supervisors, or major shareholders with more than 10% ownership interest, and the responsive measures to such risks

The company and its subsidiaries are operated by professional managers with thorough authorization and management regulations clearly defining the scope of responsibilities for each level of personnel to realize segregation of duties, as a result when a director or a major shareholder with over 10% holding transfer or exchange shareholdings, the impact to the company is minimal.

(XI) The effects, risks and responsive measures associated with changes in management

The main operational plans of the company are proposed by professional managers after evaluating of the overall industry and market environment, and then executed after approval by the board of directors. The company has also established complete organizational structure with clear distinctions on the responsibilities of each department. And through effective internal control systems, coordination and communications between departments to fully realize operational strategies with operational efficiency and ensuring operating result, so a change in operational right has minimal impact on company operation and risk.

(XII) Litigation and non-contentious cases:

1. For any material litigations, non-litigious or administrative disputes (whether concluded or pending for judgment) in the last 2 years up till the publishing date of this annual report that may produce material impacts to shareholders' equity or securities prices, information regarding the underlying facts, amounts, starting date, parties involved and the current progress must be disclosed:

Facts	Target Amount (NT\$)	Commencement date of litigation	Main parties involved in the litigation	Status up to the publish date of annual report	Remarks
Client Ma claimed that the Company employed a sale person with negative qualification (former employee Hsu). Hsu used exaggerated promotional materials and cheated Ma such that the transaction was conducted by computer program. But the truth is that Hsu conducted futures trade on behalf of Ma, to the extent that damage was caused. As such, Ma instated a civil lawsuit on charge of tort and demanded the Company and former employee Hsu to assume joint and several liabilities.	(First trial) Calculate the interest of NT\$290,230 and US\$196,124.5 at 5% per annum. (Additional claim added in the second instance) USD 36,651.	March 12, 2022	Defendant: The Company (previously known as MF Global Futures) and former employee, Hsu, were co-defendants; Complainant Client Ma	<ol style="list-style-type: none"> 1. On October 31, 2014, Taiwan Taipei District Court ruled to dismiss the lawsuit that was filed by the plaintiff. The Company had won the lawsuit. 2. The customer objected to the ruling with an appeal filed. Taiwan High Court had a ruling delivered in March 29, 2016 after the trial and it was ruled in favor of the Company. 3. The customer disagreed with the third instance of the appeal, and the Supreme Court ordered the Taiwan High Court to retrial the case. 4. Taiwan High Court had ruled on November 22, 2019 in the remanding 1st instance of the court to have Mr. Hsu, the former employee of the company, and the company jointly compensated the client for 30% of the losses, which was a partially favorable and 	The case has no significant impacts to The Company's operation or shareholders' equity.

Facts	Target Amount (NT\$)	Commencement date of litigation	Main parties involved in the litigation	Status up to the publish date of annual report	Remarks
				<p>partially unfavorable ruling to the company. Therefore, the company appealed against the unfavorable ruling.</p> <p>5. The case was remanded to the High Court for retrial by the Supreme Court on June 17, 2021.</p> <p>6. Taiwan High Court further ruled on November 15, 2022 in the remanding 2nd instance of the court for the company. The client filed an appeal.</p> <p>7. The case was remanded to the High Court for retrial by the Supreme Court on April 26, 2023.</p>	
Customer Li and order representative Kuo's futures accounts incurred losses reaching NT\$42,435,140 (negative value) on February 6, 2018. The company declared a breach of contract on file, and the said amount was not paid. A civil lawsuit was therefore filed.	1st instance: NT\$42,435,140	July 13, 2018	Complainant The Company. Defendant: Li and Kuo.	<p>1. False seizure ruling and enforcement on file.</p> <p>2. The Taiwan Ciaotou District Court ruled that the company won all the cases in the first instance on July 31, 2020.</p> <p>3. The settlement of the case was reached during the second-instance lawsuit at the Kaohsiung Branch of the Taiwan High Court on June 19, 2023; therefore, the case was closed.</p>	The case has no significant impacts to The Company's operation or shareholders' equity.
Seven clients of Yuanta	1st instance: NT\$36,843,042	March 31, 2022	Plaintiff: Seven clients	1. Taiwan Taipei District Court	The case has no

Facts	Target Amount (NT\$)	Commencement date of litigation	Main parties involved in the litigation	Status up to the publish date of annual report	Remarks
Futures, including Mr. Li, engaged in leveraged trade claimed losses and filed a civil lawsuit on the ground that Yuanta Futures increased bond amount and banned the trade of South African currency instruments.			including Mr. Li Defendant: Yuanta Futures	ruled in the company's favor in the first instance on September 8, 2023. 2. The client appealed to the second instance of the court.	significant impacts to The Company's operation or shareholders' equity.

2. Material litigations, non-litigious or administrative disputes (whether concluded or pending for judgment) involving the The Company or its Directors, President, representative, major shareholders with more than 10% shareholding, or affiliates in the last year up till the publishing date of this annual report, which may significantly affect shareholders' equity or securities prices: none.

(XIII) Other significant risks and responsive measures:

The Company's risk management structure:

The risk management organization of the company includes the board of directors, Audit Committee, senior managements, Audit Department, Risk Management Department, Legal Compliance Department, and all business units to collective form three layers in risk management.

1. First Layer: Each business unit is the department for the daily operation and management, and is the unit and personnel for risk identification, self-evaluation and execution and implementation of controls.
2. Second layer: the senior managements, Risk Management Department, and Legal Compliance Department are responsible for monitoring and managing risks based on The Company's risk appetite, and implementing responsive measures.
3. Third layer: the Board of Directors, Audit Committee, and Auditing Department are the third line of defense for Risk Management. The Auditing Department adopts a risk-oriented auditing approach. The Board of Directors and the Audit Committee, in addition to setting annual risk tolerance, have the risk of the overall business and management assessed comprehensively to ensure that the risks of the Company are within the effective control.

(XIV) Contingency Plan Mechanism:

The company, for the sake of improving the crisis prevention and response mechanism, has formulated relevant regulations according to the nature of the crisis researched and concluded, and the integration and use of manpower and resources in order to effectively and quickly respond to related hazards by the departmental function and to reduce the damage and loss caused by the crisis.

(I) Handling of material incidents

1. Accidents involving natural disasters and personal casualties: The company has formulated the “Directions for Attendance Management during Natural Disasters or Other Incidents” and “Labor Safety and Health Best-Practice Principles.” In addition to formulated disaster prevention, rescue precautions, and accident and occupational disaster reporting procedures in advance, the company has clearly defined the procedures for personnel at all levels to respond to material events, such as natural disasters, severe injuries, and other material emergencies before and after the event. Also, the company has formulated the “Infectious disease prevention measures and contingency plans” to respond to material infectious disease crises nationally or regionally.
2. Information security, personal data leakage, etc.: The company has formulated the “information security policy,” “information security incident notification and emergency response procedures” to have the company’s information and network systems that have been damaged or improperly used quickly handled with notification and emergency response implemented. The company has also formulated the “Personal Information Management Enforcement Rules” to improve the security control of customer and company information, and clearly stipulate the response measures for personal safety accidents.

(II) Emergency incident filing

1. The company has formulated the “Directions for Filing Material Contingencies” and “Directions for Notification of Material Risks” to promptly grasp and clearly define the filing mechanism for various material accidents that have occurred or are likely to occur.
2. In addition to taking response measures for any material incident in a timely manner, the responsible unit for the event occurs should promptly notify the direct supervisors; also, the subsidiary shall notify the company.

IX. Other important matters: The Company did not adopt the hedge accounting principle.

Six. Special remarks

I. Affiliated companies

Please see pages 233~227 of this annual report

II. Private placement of securities during the latest year up till the publication date of this annual report: None.

III. Holding or disposal of the company's shares by its subsidiaries during the latest financial year, up to the publication date of this annual report: None.

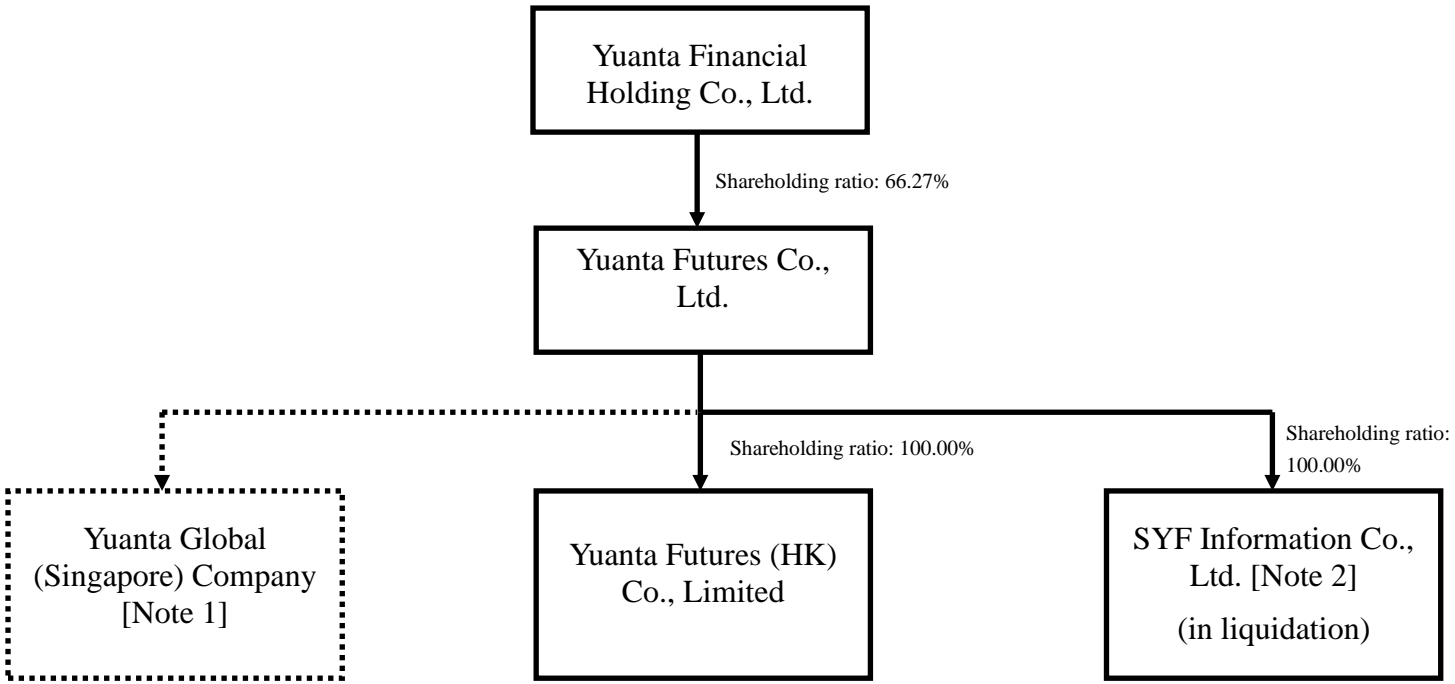
IV. Other necessary information: The items undertaken by the company at the time of going OTC has always been declared to the GRSM quarterly as required, and there is no uncompleted undertakings for OTC yet.

V. Occurrences of events defined under Article 36-2-2 of the Securities and Exchange Act in the latest year up till the publishing date of this annual report that significantly impacted shareholders' equity or security prices: None.

(I) **Affiliates consolidated business report**
1. Organization Chart of Affiliates and equity structure

Date of information: December 31, 2024

**Reinvestment organization chart and related enterprises
of Yuanta Futures**



Note 1: Yuanta Global (Singapore) Ltd., a subsidiary established by Yuanta Futures Co., Ltd. on November 23, 2022, received a Capital Markets Services License issued by the Monetary Authority of Singapore on January 23, 2025, and is currently applying for membership with the Singapore Exchange.

Note 2: SYF Information Co., Ltd. was resolved to be dissolved by the Board of Directors on June 26, 2024, with the dissolution date set for July 31, 2024. The subsequent dissolution and liquidation procedures are currently in progress.

2. Basic information of affiliated enterprises

In NTD thousand, USD thousand
Date of information: December 31, 2024

Name of enterprise	Date of foundation	Address	Paid-up Capital	Main business activities or products
Yuanta Futures (HK) Co., Limited	2010.12.02	23F., Tower 1, Admiralty Centre, 18 Harcourt Road, Hong Kong	US\$ 34,000	Class 1: Securities trade Class 2: business dealing in futures contracts Class 4: Consultation in securities Class 5: giving advices on futures contracts Class 9: Asset Management
SYF Information Co., Ltd. (in liquidation) [Note 2]	2012.11.09	-	-	
Yuanta Global (Singapore) Company [Note 1]	2022.11.23	9 Temasek Boulevard #08-01C, Suntec Tower Two, Singapore 038989	US\$5,000	Financial services

Note 1: Yuanta Global (Singapore) Ltd., a subsidiary established by Yuanta Futures Co., Ltd. on November 23, 2022, received a Capital Markets Services License issued by the Monetary Authority of Singapore on January 23, 2025, and is currently applying for membership with the Singapore Exchange.

Note 2: SYF Information Co., Ltd. was resolved to be dissolved by the Board of Directors on June 26, 2024, with the dissolution date set for July 31, 2024. The subsequent dissolution and liquidation procedures are currently in progress.

3. Information on directors, supervisors, and general managers of affiliated enterprises

Date of information: December 31, 2024

Name of enterprise	Title	Name or the representative person	Shares held		Remarks (Personal shareholding of the representative person)	
			Shares (Thousand Shares)	Shareholding percentage	Shares (Thousand Shares)	Shareholding percentage
Yuanta Futures (HK) Co., Limited	Director	Kuo-Tsun Hsu	34,000 [Note 1])	100% [Note 1]	-	-
	Director	Chun-Hao Chang				
	Director	Ching-Yi Chang				
	Director	Chun-Hsing Jen				
	Director	Fu-Chi Hsieh				
	President	Chun-Hsing Jen				
	COO	Fu-Chi Hsieh				

SYF Information Co., Ltd. (in liquidation) [Note 3]	Liquidator Supervisor	Ching-Jen Chen Chien-Wan Lai	-	-	-	-
Yuanta Global (Singapore) Company	Director Director Director Director Director	Pin-Cheng Chen Kuo-Tsun Hsu Chun-Hsing Jen Chien-Wan Lai Ching-Yi Chang Hui-Ko Shen	5,000 [Note 2]	100% [Note 2]	-	-

Note 1: All shares of that company are solely held by its sole shareholder, i.e., Yuanta Futures Co., Ltd.

Note 2: Yuanta Global (Singapore) Limited shares are held by the sole shareholder, Yuanta Futures Co., Ltd. The company was established through an investment by Yuanta Futures Co., Ltd. on November 23, 2022. On January 23, 2025, it obtained a Capital Markets Services License issued by the Monetary Authority of Singapore and is currently applying for membership with the Singapore Exchange.

Note 3: SYF Information Co., Ltd. was resolved to be dissolved by the Board of Directors on June 26, 2024, with the dissolution date set for July 31, 2024. The subsequent dissolution and liquidation procedures are currently in progress.

4. Business Performance of Affiliated Enterprises

Unit: NTD thousand

Date of information: December 31, 2024

Name of enterprise	Share capital	Total assets	Total liabilities	Net value	Operating revenues	Operating profit	Current period profit (after tax)	Earnings per share (\$) (After tax)
Yuanta Futures (HK) Co., Limited	1,121,461	7,634,004	6,507,695	1,126,309	112,234	(88,938)	57,431	1.69
SYF Information Co., Ltd. [Note 2]	-	-	-	-	-	(895)	3,166	-
Yuanta Global (Singapore) Company [Note 1]	161,542	154,962	28,239	126,723	-	(37,065)	(28,787)	(5.76)

Note 1: Yuanta Global (Singapore) Ltd., a subsidiary established by Yuanta Futures Co., Ltd. on November 23, 2022, received a Capital Markets Services License issued by the Monetary Authority of Singapore on January 23, 2025, and is currently applying for membership with the Singapore Exchange.

Note 2: SYF Information Co., Ltd. was resolved to be dissolved by the Board of Directors on June 26, 2024, with the dissolution date set for July 31, 2024. The subsequent dissolution and liquidation procedures are currently in progress.

- (II) **Consolidated Financial Statements of Affiliated Enterprises:** The companies required to be included in the consolidated financial statements of affiliated enterprises under the “Criteria Governing Preparation of Affiliation Reports, Consolidated Business Reports and Consolidated Financial Statements of Affiliated Enterprises” are the same as those required to be included in the consolidated financial statements of parent

and subsidiary companies under International Financial Reporting Standards No. 10. Furthermore, the information required to be disclosed in the consolidated financial statements of affiliated enterprises has already been disclosed in the parent-subsidary consolidated financial statements. Therefore, the Company will not separately prepare consolidated financial statements of affiliated enterprises.

Parent-Subsidiary Consolidated Financial Statements: These have been publicly announced and filed on the Market Observation Post System (https://mops.twse.com.tw/mops/#/web/t57sb01_q1 Code 6023).

(III) Affiliation Report

I. Relationship between the controlling and the controlled company

Unit: shares; %

The Name of Controlling Company	Means of Control	Shares Held and Pledged by the Controlling Company			Directors, Supervisors or Managers Appointed by the Controlling Company	
		Number of shares held	Shareholding percentage	Shares Pledged	Title	Name
Yuanta Financial Holding Co., Ltd.	Exercises significant influence	192,167,005	66.27	-	Chairman Vice Chairman Director co-headed President Director Director Director	Tien-Fu Lin Pin-Cheng Chen Kuo-Tsun Hsu Chien-Hua Wu Mei-Ling Kuo Yung-C hu Su

Note: The cut-off date for the above information was scheduled on December 31, 2024. As of December 31, 2024, the Company had 289,976,288 shares in circulation.

II. Transactions with the above parties:

1. Trading of purchase and sale: none.
2. Trading of property: none.
3. Financing: none.
4. Asset lease: none.
5. Disclosure of major transactions:

As of December 31, 2024, the Company shared the expenses incurred from other business and management of Yuanta Financial Holding. Other related payables amounted to NT\$170 thousand.

III. Guarantees and endorsements: none.

IV. Disclosure of other financial or business items with material impact: none.

Declaration

The Company's 2024 Affiliation Report (for the period from 1 January to 31 December 2024) has been prepared in accordance with the "Criteria Governing Preparation of Affiliation Reports, Consolidated Business Reports and Consolidated Financial Statements of Affiliated Enterprises". No material discrepancies were found between the information disclosed in the above report and the notes to financial statements for the corresponding period.

Declared by:

Company name: Yuanta Futures Co., Ltd.

Representative: Tien-Fu Lin

February 26, 2025

Auditor's opinion on relationship report

(114) Zi-Kuai-Zhong-Zi-24009212

Recipient: Yuanta Futures Co., Ltd.

The Company hereby declares that the 2024 Relationship Report was prepared in accordance with the "Regulations Governing the Preparation of Affiliate's Consolidated Business Reports, Affiliate's Consolidated Financial Reports, and Relationship Reports;" also, the information disclosed in the 2023 Business Report was not significantly different from the information disclosed in the Notes to the financial reports referred to above.

The accountant has reviewed the relationship report prepared by the Company and compared it with the notes to the Company's financial statements for 2024 in accordance with the Financial Supervisory Commission's letter Jing-Guan-Jeng-Shen-Zi No. 1130382569, and has not found any material inconsistencies in the above statement.

PwC Taiwan

Chiao-Sen Lo
CPA
Hsiu-Ling Li

To Financial Supervisory Commission

Approval Document No.: Jin-Guan-Zheng-Shen-Zi No. 1070323061

Former Securities and Futures Bureau, Financial Supervisory
Commission, Executive Yuan

Approval Document No.: Jin-Guan-Zheng-Liu-Zi No. 0960038033

February 26, 2025

Attachment

Greenhouse Gas Verification Opinion

The inventory of Greenhouse Gas emissions in year 2024 of

Yuanta Futures Co., Ltd.

5F., No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist.,
Taipei City 104089, Taiwan

has been verified in accordance with ISO 14064-3:2019 as meeting the requirements of

ISO 14064-1:2018

Opinion Type: Modified

Direct emissions

45.8034 tonnes of CO_{2e}

Indirect emissions

555.4510 tonnes of CO_{2e}

Direct emissions and indirect emissions

601.254 tonnes of CO_{2e}

Authorized by



Stephen Pao

Business Assurance Director

Date: XX XXX 2025

Version 1

TGP56B-15-1 2501

SGS Taiwan Ltd.

No. 136-1, Wu Kung Road, New Taipei Industrial Park,

Wu Ku District, New Taipei City 248016, Taiwan

t (02) 22993279 f (02)22999453 www.sgs.com



The emission of each category is described as below:

Unit: tonnes of CO₂e

Reporting Boundaries			GHG Emissions
Inventory categories		Description	
Direct emissions		Direct emissions from stationary combustion	—
		Direct emissions from mobile combustion	9.8453
		Direct process emissions and removals from industrial processes	—
		Direct fugitive emissions arise from the release of GHGs in anthropogenic systems	35.9581
		Direct emissions and removals from land use, land use change and forestry	—
Indirect emissions	Imported energy	Indirect emissions from purchased power	446.4145
	Transportation	Overseas flights Domestic high-speed rail	10.6870
	Products used by an organization	Upstream emissions from input power Disposal and transportation of solid and liquid waste	98.3495
	Associated with the use of products from the organization	Unquantified	—
	Other sources	Unquantified	—
Direct emissions and indirect emissions			601.254

SGS has been contracted for the verification of direct and indirect Greenhouse Gas emissions in accordance with

ISO 14064-3:2019

as provided by Yuanta Futures Co., Ltd. (hereinafter referred to as “Yuanta Futures”), 5F., No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist., Taipei City 104089, Taiwan, in the GHG Statement in the form of GHG report.

Roles and responsibilities

- The management of Yuanta Futures is responsible for the organization’s GHG information system, the development and maintenance of records and reporting procedures in accordance with that system, including the calculation and determination of GHG emissions information and the reported GHG emissions.
- The verification was based on the verification scope, objectives and criteria as agreed on 10 November 2023.
- Verification Criteria: ISO 14064-1:2018
- Verification Period: 04 February 2025 to 04 March 2025.

Scope

- GHG information for the following period was verified: 01 January 2024 to 31 December 2024.
- Location/boundary of the activities:
 - This is a multi-site verification, additional site details are listed in Appendix A.
- Types of GHGs included: CO₂, CH₄, N₂O, HFCs, PFCs, SF₆, NF₃
- The IPCC 2021 AR6 GWP values are applied in this inventory.
- Emission factor:
 - Direct emissions: Greenhouse Gas Emission Factor Table (6.0.4).
 - Indirect emissions:
 - Electricity emission factor is 0.494 kgCO₂e/kwh (Announced by Energy Administration, Ministry of Economic Affairs in 2024).
 - The secondary database has Carbon Footprint Information Platform.
- The level of assurance for category 1 and category 2 agreed is that of reasonable assurance. Category 3 till category 6 agreed is that of limited assurance.
- Materiality : 5%
- The version of inventory sheet: 0311

Opinion TWXX/XXXXXXGHG, continued

- The version of GHG statement: 0311
- Intended user of the verification opinion: Private.

Objective

The purposes of this verification exercise are, by review of objective evidence, to independently review:

- Whether the GHG emissions are as declared by the organization's GHG statement
- The data reported are accurate, complete, consistent, transparent and free of material error or omission.

Conclusion

SGS's approach is risk-based, drawing on an understanding of the risks associated with reporting GHG emissions information and the controls in place to mitigate these. Our examination includes assessment, on a test basis, of evidence relevant to the amounts and disclosures in relation to the organization's reported GHG emissions. We planned and performed our work to obtain the information, explanations and evidence that the GHG emissions are free from material misstatement.

- The greenhouse gas emissions is 601.254 metric tonnes of CO₂ equivalent
- The emissions from the combustion of biomass is 0.0000 metric tonnes of CO₂ equivalent

The emission of each category is described as below:

Unit: tonnes of CO₂e

Reporting Boundaries			GHG Emissions
Inventory categories		Description	
Direct emissions		Direct emissions from stationary combustion	—
		Direct emissions from mobile combustion	9.8453
		Direct process emissions and removals from industrial processes	—
		Direct fugitive emissions arise from the release of GHGs in anthropogenic systems	35.9581
		Direct emissions and removals from land use, land use change and forestry	—
Indirect emissions	Imported energy	Indirect emissions from purchased power	446.4145
	Transportation	Overseas flights Domestic high-speed rail	10.6870
	Products used by an organization	Upstream emissions from input power Disposal and transportation of solid and liquid waste	98.3495
	Associated with the use of products from the organization	Unquantified	—

Opinion TWXX/XXXXXXGHG, continued

	Other sources	Unquantified	—
Direct emissions and indirect emissions			601.254

- The opinion of SGS is modified in accordance with the following described circumstances.
 - The verifier has sufficient and appropriate evidence to support the material emissions, removals, or storage.
 - The verifier applies appropriate criteria for the material emissions, removals, or storage.
 - When the verifier intends to rely on relevant controls, the effectiveness of those controls has been assessed.
 - The verifier, applying the ISO 14064-1:2018 standard, presents the following findings. After adjustments and corrections, no material errors were identified.
 - Completed supplements and corrections for incorrectly identified emission sources.
 - Activity data errors have been corrected.
- Retention Limitation: NA

Confidentiality

The reports and attachments may contain relevantly confidential information of the clients. In addition to being submitted as governmental application or certification documents, the reports and attachments are not allowed to be edited, duplicated, or published without the clients' agreement in written form.

Avoidance of Conflict of Interest

The reports and attachments are completely complied with the standards and procedures that related authorities established. The reports and attachments of auditing process are conduct with fairness and honesty. If not, the auditing institution not only has to bear the relevant compensation duties, but also to receive legal charge and punishment.

This opinion shall be interpreted with the GHG statement of Yuanta Futures as a whole.

Verifier Group

Above opinions coincide with auditing process with fairness and impartiality and aim at the emission of year 2024 of clients.

Lead Verifier:

Kevin Hsieh

Verifier:

Mike Huang

Chris Hsieh

Sophia Chui

Jim Tsai

Kyle Tang

Henny Fang

Jacky Chen

Prosper Huang

Note: This opinion is issued, on behalf of Client, by SGS Taiwan Ltd. ("SGS") under its General Conditions for Greenhouse Gas Verification Services available at http://www.sgs.com/terms_and_conditions.htm. The findings recorded hereon are based upon an audit performed by SGS. A full copy of this opinion, the findings and the supporting GHG Statement may be consulted at Yuanta Futures Co., Ltd., 5F., No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist., Taipei City 104089, Taiwan. This opinion does not relieve Client from compliance with any bylaws, federal, national or regional acts and regulations or with any guidelines issued pursuant to such regulations. Stipulations to the contrary are not binding on SGS and SGS shall have no responsibility vis-à-vis parties other than its Client.

Appendix A

The sites listed below are included in the 2024 greenhouse gas inventory of Yuanta Futures Co., Ltd..

Site	Address
Headquarters	5F., No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist., Taipei City 104089, Taiwan
Hsinchu Office	B1-1, No. 373, Sec. 1, Guangfu Rd., Hsinchu City 300049, Taiwan
Taichung Office	4F-1, No. 8, Sec. 2, Ziyou Rd., Central Dist., Taichung City 400202, Taiwan
Tainan Office	4F., No. 165, Sec. 1, Minquan Rd., West Central Dist., Tainan City 700015 , Taiwan
Kaohsiung Office	7F-1, No. 143, Zhongzheng 4th Rd., Qianjin Dist., Kaohsiung City 801608, Taiwan
SYF Information Co., LTD.	2F., No. 895, Sec. 4, Bade Rd., Nangang Dist., Taipei City 115027, Taiwan