Yuanta Futures

2025

YUANTA FUTURES

Sustainability Report




Yuanta
Futures

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About Report

Reporting Period

The data and content in this report primarily cover the period from January 1, 2025, to December 31, 2025. (To provide a comprehensive presentation of specific project and activity performance, some content may encompass periods before January 1, 2025, or after December 31, 2025.)

Report Boundaries and Scope

The report's scope of disclosure is primarily focused on Taiwan-based operations and activities, accounting for 98.08% of Yuanta Futures' consolidated revenue in 2025. If there are specific disclosure requirements, the relevant data and paragraphs will specify the detailed scope and calculation methods. The environmental performance and data primarily focus on the Taipei head office, while the social welfare performance includes the Yuanta Foundation. The first chapter on economic performance includes data from both Taiwan and Yuanta Futures (Hong Kong) Limited. Tax governance information in Chapter 2 covers the Taiwan region as well as Yuanta Futures (HK) Co., Ltd. and Yuanta Futures (SGP) Co., Ltd. The fourth chapter contains employee statistics and training-related data, all disclosed within the scope of Taiwan. All financial data in the report is presented in New Taiwan Dollars. If there is any re-editing or special disclosure requirement of information, the scope definition and calculation methods will be indicated in the relevant data and sections.

Report Authoring Principles

This report has been prepared in accordance with the GRI Standards published by the Global Reporting Initiative (GRI), and the information disclosure in the report also complies with the Taipei Exchange Rules Governing the Preparation and Filing of Sustainability Reports by TPEx Listed Companies. The disclosure in the report also takes into consideration the guidelines of the Sustainability Accounting Standards Board (SASB) and Task Force on Climate-related Financial Disclosures (TCFD) framework.

Report Publication

Yuanta Futures annually undergoes review by the board of directors and regularly publishes sustainability reports. The complete disclosure can be found on the official website of Yuanta Futures. Issued in August 2026

Report Assurance

Internal: Confirmed by the heads and supervisors of the Company's Corporate Planning Department and each responsible unit

External: The report has been verified by BSI Taiwan, and the report is compliant with GRI Standards 2021 and AA1000AS v3 Type1 moderate-level assurance. In accordance with R.O.C. Statement of Auditing Standards No. 1, “Assurance Engagements Other Than Audits or Reviews of Historical Financial Information”, PwC Taiwan has provided limited assurance report and subject matter summary. An accountant's independent limited assurance report and a summary of the assurance items are attached at the end of the report.

Contact Information

General Planning Department, Yuanta Futures

Address: 5F., No. 77, Sec. 2, Nanjing E. Rd., Taipei City, Taiwan (R.O.C.)

Company website：http://www.yuantafutures.com.tw

E-mail：futures@yuanta.com

Phone: 02-2717-6000

Fax: 02-2546-1625

Message from the Chairman

In 2025, global financial markets remained highly uncertain and fast-changing. Divergent monetary policies among major economies, rising geopolitical risks, and continuing shifts in international trade and industrial policy all had far-reaching effects on market confidence and capital flows, keeping demand for risk hedging, trading, and risk management at elevated levels. In the face of this rapidly evolving financial environment, Taiwan's futures market demonstrated steady resilience, with annual trading volume reaching 382 million contracts, exceeding 300 million contracts for the sixth consecutive year. Market momentum remained vibrant, while product structures and trading patterns continued to develop in a more diverse, flexible, and internationally aligned direction.

Amid continuing changes in the overall market environment, Yuanta Futures upholds its core philosophy of placing equal emphasis on sound operations, professional service, and risk control, continuously improving its operational fundamentals and strengthening its core competitiveness. In 2025, the Company's after-tax net profit reached NT$2.655 billion, a record high, with post-tax EPS of NT$8.45 and a return on equity of 15.02%. Our futures brokerage, options brokerage, and overseas futures brokerage businesses also continued to lead the industry, fully demonstrating the Company's solid operational foundation and long-term resilience.

Governance Sustainability Performance

Yuanta Futures understands that the core of financial services lies not only in trading efficiency and innovation capabilities, but also in sound governance, integrity-based operations, and trustworthy service quality. In 2025, financial regulatory policy continued to focus on key issues such as fraud prevention, information security, and sustainable governance. The Company actively cooperated with the policy direction of the competent authorities, continuously strengthening its mechanisms for identifying unusual trading, transaction monitoring, risk early warning, anti-fraud awareness campaigns, and regulatory compliance, while refining its internal control and risk management systems to protect customer rights and market order through concrete action.

At the same time, the Company continued to deepen the governance functions of the Board of Directors and established the Sustainable Development Committee in 2025, further strengthening Board-level oversight and decision-making on sustainability issues and progressively integrating sustainability principles more systematically into its corporate governance framework and business management. In terms of governance performance, Yuanta Futures was ranked among the top 5% of TPEx-listed companies in the 11th Corporate Governance Evaluation conducted by the Taiwan Stock Exchange, marking its 11th consecutive year of selection since 2015, and received the Excellence Award and first place Special Award in TAIFEX's "Futures Commission Merchant Anti-Fraud Governance Evaluation," demonstrating the Company's long-term commitment to and concrete achievements in integrity-based governance, risk control, and fair dealing.

The Company also continued to place customer needs at the center of its efforts, advancing digital service optimization and operational process upgrades. We continued to enhance the service experience of our next-generation electronic trading platforms, "iTRADER－Trading Expert" and "Yuanta Leverage Global Winners," and promoted mechanisms such as RPA process automation, digital warehousing, unmanned offices, and Fast-ID rapid account opening, comprehensively improving operational efficiency and service quality from trading services to internal operating processes. In 2025, these achievements also received external professional recognition: in addition to winning the Best Product Award at the 22nd National Brand Yushan Award for its "Unmanned Digital Office," the Company received the Gold Award for the "Digital Fair Treatment of Consumers Award," the Gold Award for the "Digital Information Security Award - Anti-Fraud Category," the Excellence Award for the "Digital Information Security Award - Security Category," and the Gold Award for the "Green Net-Zero Finance Award" at the 2025 Digital Financial Awards, as well as the "Outstanding Green Finance Award - Futures Industry Category" at the 18th Golden Goblet Awards. These honors demonstrate that Yuanta Futures has progressively embedded digital innovation, service upgrades, and sustainable development into its business management, and continues to advance toward becoming a safe, sound, innovative, and sustainably competitive leading futures brand.

Environmental Sustainability Performance

In line with the Yuanta Financial Holdings' sustainable development strategy, Yuanta Futures has incorporated environmental sustainability as a key direction of its long-term corporate development, steadily advancing along four major fronts: low-carbon operations, sustainable finance, low-carbon supply chains, and sustainability initiatives. In response to the global net-zero transition and climate risk management requirements, the Company continues to deepen its environmental management systems and, in coordination with the Group, promotes mechanisms such as internal carbon pricing, greenhouse gas inventories, energy conservation and carbon reduction, and sustainable procurement, progressively internalizing environmental costs and enhancing the responsiveness of its overall operations to climate issues.

In addition to continuously improving low-carbon operations, Yuanta Futures also continues to integrate sustainability principles into its daily operations and management, strengthening its capacity to respond to environmental issues through institutional development, risk identification, and internal management. The Company has established an ISO 14001 environmental management system and continues to implement mechanisms including the ISO 14064-1 greenhouse gas inventory, the ISO 20400 sustainable procurement guidance, and the ISO 14046 water footprint assessment, combined with low-energy-consumption equipment upgrades, the introduction of smart energy-saving systems, and green procurement practices, steadily putting environmental management into practice.

Going forward, the Company will continue to follow the Group's sustainability blueprint, progressively deepening its efforts in energy conservation and carbon reduction, sustainable governance, and green finance, transforming environmental responsibility into a component of corporate competitiveness and contributing greater positive momentum to the low-carbon transition and sustainable development of the financial industry.

Social Sustainability Performance

Yuanta Futures has always believed that the value of corporate sustainability comes from growing together with customers, employees, and society. Externally, we continue to place fair dealing at the core of our efforts, committed to providing safe, convenient, transparent, and caring financial services, and continuously enhancing customer experience and service quality through digital service optimization, process refinement, and the development of diverse contact channels. In addressing the financial needs of different groups, the Company also continues to promote friendly finance and inclusive services, realizing the inclusivity and accessibility that financial services should embody.

Internally, Yuanta Futures values talent development, employee care, and organizational development. Through comprehensive education and training systems, successor training, diverse benefits planning, and friendly workplace measures, we have built a development environment that combines professional growth with workplace support. We believe that talent is a company's most important sustainable capital, and only through continued investment in talent and culture can we support the company's long-term steady growth.

In terms of social participation, the Company also continues to leverage Group resources to invest in charitable, educational, care-related, and social advocacy activities, responding to social needs through hands-on participation and transforming corporate influence into more enduring positive value. In 2025, Yuanta Futures continued to respond to social needs with concrete action. In addition to its regular donations to the Yuanta Cultural and Educational Foundation and the Financial Services Education Public Welfare Fund, the Company this year also supported the Ministry of Health and Welfare's "Typhoon Danas Disaster Relief Fundraising Program," assisting with emergency post-disaster relief for affected residents. The Company also signed industry-academia cooperation agreements with a number of universities and colleges to provide internship opportunities for students, and sponsored the "Fraud-Free Youth - Campus Anti-Fraud Awareness Campaign" charitable partnership and the " Transaction of Leverage Simulation Competition" deepening the roots of financial education and cultivating fraud awareness. In 2025, the competition attracted 1,414 students from 64 universities and colleges. In addition, the Company held its first "Sustainability Family Day," combining environmental education, charitable support, and employee care, and continued to support the "Taiwan Good Air and Better Field" initiative, embedding public welfare, education, and environmental conservation into its daily corporate practice and continuously expanding its positive social impact.

Outlook for 2026 "Cross-Domain Integration, Intelligent Navigation"

Looking ahead to 2026, Yuanta Futures has adopted "Cross-Domain Integration, Intelligent Navigation" as the main axis of its business strategy. Guided by an operating approach of steady profitability and a commitment to corporate sustainable development, the Company will embed its core principles of risk control and regulatory compliance in its daily operations. In line with AI development trends in the market, we will build more diverse and innovative financial services aligned with international standards, creating a safe and stable trading environment for traders. At the same time, we will widen our service differentiation from industry peers, optimize key indicators, and expand our overseas business footprint and core businesses, striving to become a major international futures commission merchant.

Going forward, the Company will continue to uphold its business convictions of integrity, soundness, professionalism, and sustainability, moving forward hand in hand with shareholders, customers, employees, and partners, seizing opportunities and growing steadily amid market changes, and continuing to advance toward its goals of becoming a major international futures commission merchant and a benchmark for sustainable development in the futures industry.

Yuanta Futures
Chairman



Important Achievements and Sustainable Outcomes in 2025

Yuanta Futures as a leading futures brand in Taiwan values the importance of transparent operations, rigorous corporate governance, and internal controls ; also, taking into account the R&D 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.

In 2025, we achieved significant accomplishments and received recognition from various sectors of the market. The key achievements are as follows :

- Honored with the National Brand Yushan Award for both the Outstanding Enterprise Award, "The Best Product Award: Unmanned Digital Office".
- "Outstanding Green Finance Award - Futures Industry Category" at the 18th Golden Goblet Awards.
- Received the 2025 Taiwan Corporate Sustainability Awards (TCSA), including the Silver Award in Category 2 of the Corporate Sustainability Report Awards, the Gender Equality Leadership Award, and the Transparency and Integrity Leadership Award.
- Ranked 2nd in the 11th Taiwan Futures Exchange - Diamond Award, "Futures Proprietary Merchant in Trading Volume Growth Diamond Award", and the Excellence Award and first place Special Award in the "Futures Commission Merchant Anti-Fraud Governance Evaluation".
- Received the Digital Fair Treatment of Consumers Award, Green Net-Zero Finance Awards, Digital Information Security Award - Anti-Fraud Category, Digital Information Security Award - Security Category.
- The 2024 Sustainability Report was verified by the British Standards Institution (BSI) Taiwan and received an assurance statement from an accounting firm. The Company continues to publish the English version of the report, becoming the first futures commission merchant in the industry to release an English-language sustainability report.
- Actively adopting various ISO standards and certified by BSI Taiwan, including ISO 14001 Environmental Management System, ISO 14064-1 Organizational Greenhouse Gas Inventory, ISO 45001 Occupational Health and Safety Management System, ISO 20400 Sustainable Procurement Guidelines, ISO 14046 Water Footprint Standard, ISO 27001 Information Security Management System, ISO 10002 Complaints Handling Quality Management System, BS 10012 Personal Information Management System (PIMS)

Five Major Dimensions Of Sustainability Performance

Finance

- Net income： 2.655 billion, the highest of the futures commission merchants, and set a new record high over the years
- Net EPS：NT$8.45
- Net ROE：15.02 %
- The market share of futures brokerage was 22.80 %, the market share of option brokerage was 13.09%, and the market share of foreign futures was 24.06%

Customer

- Digital active customers : The number of new accounts using electronic statements for the year was 13,351, out of a total of 13,498 new accounts opened ; The proportion of new accounts using electronic statements reached a high percentage of 98.91%

Employee

- The total expenditure on employee welfare amounts to NT$ 1,197,040 thousand, with an average welfare cost of NT$ 3,015 thousand per employee

Environment

- Yuanta Futures collaborated with the group to procure green energy certificates, procured green power and renewable energy certificates totaling 572,714 kWh in 2025, as part of ongoing efforts to improve energy efficiency.
- As of 2025, Yuanta Futures has introduced ISO 14001, ISO 14064-1, ISO 20400, ISO 14046 management system verification

Society

- Yuanta Futures organized a variety of public welfare activities, employees were also encouraged to volunteer at the 1919 Food Bank, helping to pack and deliver supplies to underprivileged families. As of 2025, a cumulative total of 111 employees had participated in these activities.
- We donated NT$2.5 million to the Ministry of Health and Welfare' s 2025 Typhoon Danas disaster relief fundraising program, covering shelter and resettlement, recovery and reconstruction, and related items such as emergency medical care and victim assistance, contributing our efforts toward rebuilding the affected areas.
- 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
- Since 2020, Yuanta Futures has actively responded to CommonWealth Magazine's "Tamsui River Covenant" (now the Watershed Covenant), In 2025, supervisors, employees, and family members from the Kaohsiung and Tainan branches were also invited to participate. A total of 73 kg of marine debris was collected, of which 55.5 kg was recyclables and 5.5 kg was glass.
- The first Sustainability Family Day of Yuanta Futures was held in 2025, promoting ESG concepts to employees and their families through fun, educational activities combining environmental education, charitable support, and employee care, putting public welfare participation into practice, with nearly 100 people taking part.

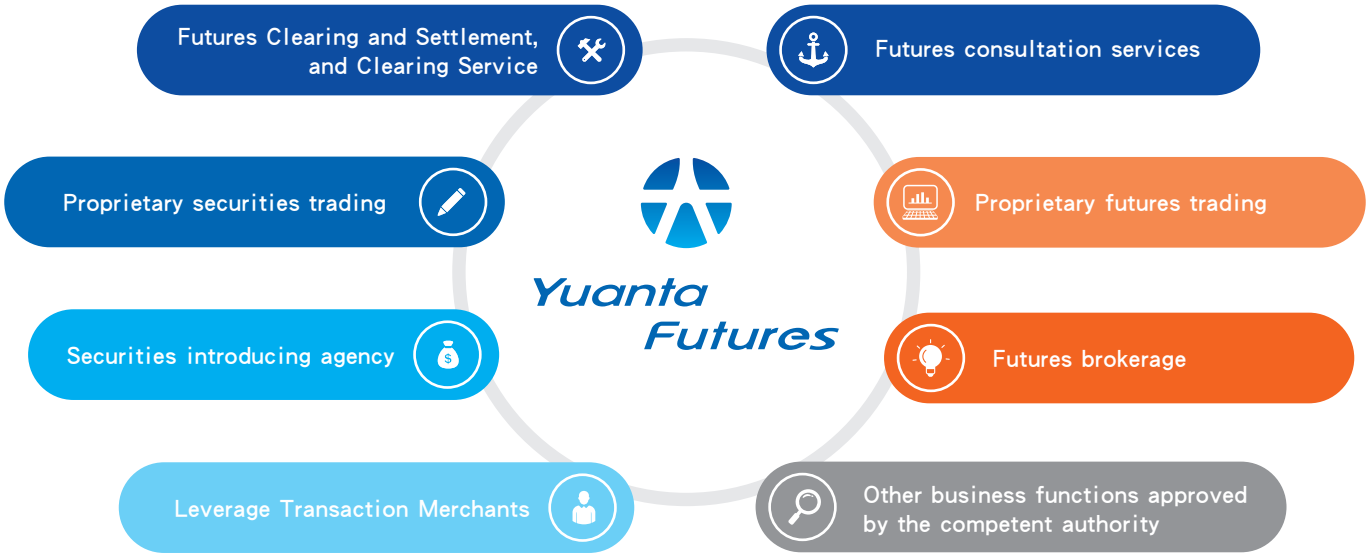


01

COMPANY PROFILE & SUSTAINABLE DEVELOPMENT

1-1 BRAND INTRODUCTION

Yuanta Futures is a futures commission merchant specializing in brokerage, proprietary trading, consultation, and leverage transaction merchant; it offers various services including hedging, speculation, arbitrage, etc. There were no significant changes in the number of operating bases, organizational structure, organizational ownership, or supply chain of the Company during the operation period in 2025. In addition, Yuanta Futures complies with the laws and regulations for the sale of products and services. No products or services were prohibited in Taiwan in 2025. However, due to the differences in market regulations between Taiwan and Hong Kong, the Company's products available for sale in both markets are subject to adjustment in accordance with local regulations. The following are The Company's principal business activities.



Name	Yuanta Futures Co., Ltd.	Capital Stock	NTD$3,199,762,880
Date of Establishment	1997	The number of employees	397[Note]
The Date of OTC	11 / 28 / 2007	Industry	Financial Business
Head Office	2F. (Part), 3F, 4F, 5F, No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist., Taipei City	Stock Code ASD	6023

Note : This refers the number of employees of Yuanta Futures in Taiwan in 2025.

Operating Performance in 2025

Unit : NTD thousand (unless otherwise specified)

Items	Sub-item	Amount	
		2024	2025
Direct Economic Value	Brokerage	3,714,787	3,353,981
	(Losses) gains on trading of securities	227,236	322,451
	Clearance fee from consignation	38,826	53,704
	Securities commission revenue	22,612	18,912
	Others (including other gains and losses)	3,457,641	4,200,698
	Subtotal of direct economic value	7,461,102	7,949,746
Economic Value Distributed	Operating costs	3,603,891	3,487,674
	Employee wages and benefits	1,134,342	1,197,040
	Social Welfare	1,945	8,875
	Political donations	0	0
	Pay dividends[Note1]	1,535,886	1,279,905
	Pay income tax expenses	591,751	633,242
	Fines	280	0
	Subtotal of distributed economic value	6,868,095	6,606,736
	Economic value Retained[Note2]	593,007	1,343,010

Note1 : The financial information disclosed in this table is compiled from the consolidated financial statements of Yuanta Futures for the past two years
Note2 : Retained value = Direct economic value - Distributed economic value

1-2 BRAND VISION AND MANAGEMENT PHILOSOPHY

Yuanta Futures considers "customer needs" as its core philosophy, and focuses on capturing market opportunities for customers and pursuing long-term maximum value for shareholders, with "SMART" as its corporate mission, including assisting customers in seizing global opportunities, managing the risk for customers, providing high-quality analysis with experience, reinforcing customers' investment portfolios by programming, and tailoring customers' options solutions.

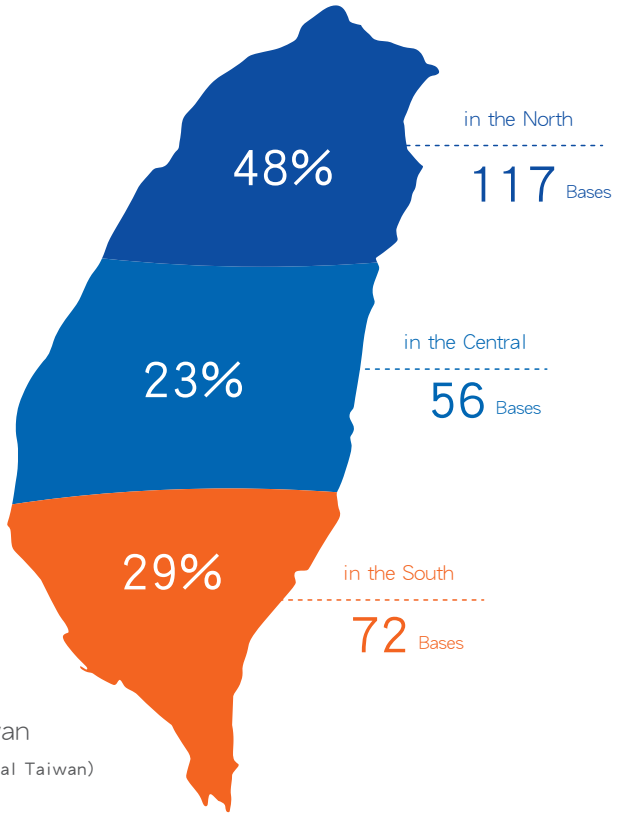
1-3 OVERSEAS AND DOMESTIC SERVICE NETWORK

Yuanta Futures provides the most complete channel services in the Asian market, with a total of 245 business bases in Taiwan, including 5 FCM bases[Note1], 147 Yuanta IB bases[Note2] , and 93 external IB bases, making it the most comprehensive service network in the industry [Note3]. In addition, the Company has cultivated Hong Kong (1 overseas base in Hong Kong),Singapore, and China markets over the years and has successively obtained INE overseas crude oil and Dalian Commodity Exchange's secondary agency of iron ore to provide traders with various investment opportunities and customized services such as serving the real economy. Yuanta Futures has the largest number of 17 international exchange memberships in the industry, integrating global futures and options products, and providing traders with 24-hour professional services with zero time difference across countries.

Note 1 : FCM, Futures Commission Merchant, futures broker

Note 2 : IB, Introducing Broker, futures introducing broker

Note 3 : Please refer to the Company's 2025 Annual Report for detailed service bases.



◆ **Yuanta Futures' Domestic Service Bases**

A total of **245** bases in Taiwan

(Hualien and Kinmen are included in the central Taiwan)

1-4 YUANTA FUTURES SUSTAINABLE OPERATION POLICY

While pursuing professional futures operations and creating economic value, Yuanta Futures is also committed to practicing corporate sustainable development. The Company adheres to the sustainability promotion strategies and core concepts of the Yuanta Financial Holdings, establishing Yuanta Futures' "Sustainable Development Best Practice Principles," "Sustainable Development Best-Practice," and established the Company's Sustainable Development Committee. At the same time, based on the United Nations' "Sustainable Development Goals (SDGs)," the concept of sustainable operation is integrated into operational objectives and service management models. Through five major areas— "Integrity in Operations," "Customer Service," "Green Finance," "Social Contribution," and "Healthy Workplace" —the Company actively promotes various corporate sustainability initiatives

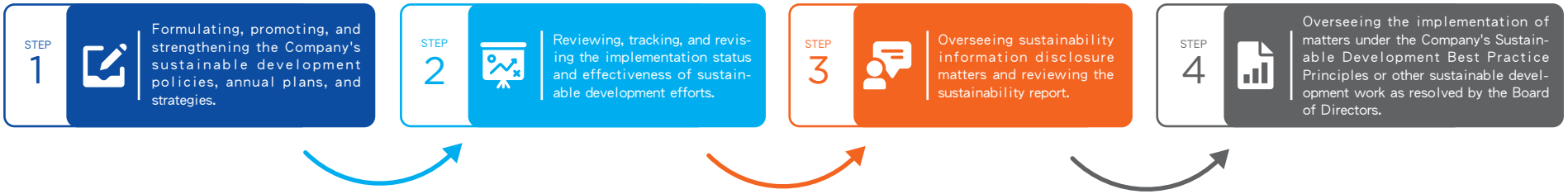
◆ Seven Major Guidelines on Sustainable Management



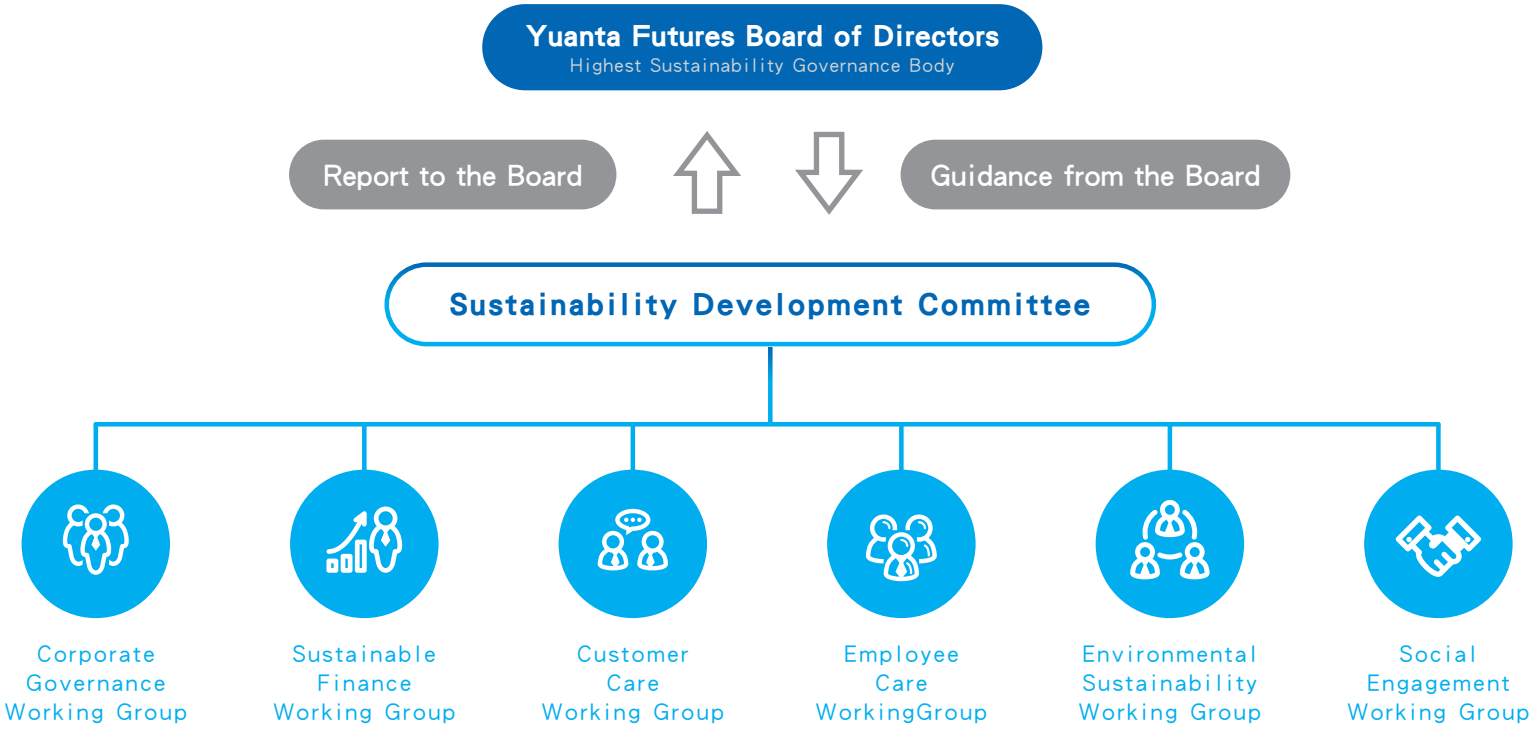
1-5 CORPORATE SUSTAINABILITY PROMOTION AND IMPLEMENTATION MECHANISM

In 2025, Yuanta Futures established the Sustainable Development Committee, which must consist of no fewer than three members, nominated by the Chairman and appointed by resolution of the Board of Directors. The inaugural Committee comprises three directors and two senior managers as members, with plans to invite certain independent directors to attend meetings as observers in the future, and to establish or designate a dedicated (full-time or part-time) unit or department to assist in deliberating on and implementing sustainable development matters. Six functional working groups are established under the Committee: Corporate Governance, Sustainable Finance, Customer Care, Employee Care, Environmental Sustainability, and Social Participation. The Committee convenes regularly each year to ensure the advancement of sustainability policies, coordination of work, and tracking of results. The Company prepares the annual Sustainability Report to transparently disclose performance and continuously promote sustainable operation.

◆ The main duties and responsibilities of the Company's Sustainable Development Committee are as follows:



◆ ORGANIZATIONAL STRUCTURE OF THE SUSTAINABLE DEVELOPMENT COMMITTEE



1-6 STAKEHOLDER CONCERNS AND COMMUNICATION CHANNELS

Yuanta Futures identifies stakeholder concerns based on the characteristics of its industry, international trends, and the development of peers. Following the AA1000 Stakeholder Engagement Standard (AA1000 SES), the Company designs questionnaires that are evaluated by members of the Sustainability Development Committee and relevant department heads. Based on Committee Members evaluations, seven major stakeholder groups are identified through internal discussions: government agencies, employees, customers, shareholders and investors, suppliers and partners, the media, and local communities.

The primary purpose of engaging with stakeholders is to regularly assess the materiality and impact of governance, economic, environmental, and social issues, and to establish sustainable management strategies from a stakeholder perspective. These strategies are incorporated into day-to-day operations and annual plans, tracked through periodic meetings, and adjusted when necessary. Evaluation results are considered critical to business operations and serve as a foundation for ongoing stakeholder communication and engagement. Relevant stakeholder matters are reported annually to the Board of Directors. The report for 2025 was successfully completed and the resolutions passed by the Board were delegated to responsible departments for implementation.

Government authorities

Financial Supervisory Commission / Ministry of Economic Affairs / Ministry of Labor / Securities and Futures Bureau / Taiwan Stock Exchange / Taipei Exchange / Chinese National Futures Association / Securities & Futures Institute / Taipei City Government, etc.

Topics of Concern

- Friendly and Excellent Working Environment
- Tax
- Social Welfare

The Company's commitment

Comply with the relevant laws and regulations and conduct business in a lawful and compliant manner and fully cooperate with governmental authorities in audits.

Communication channels and frequency

Annually	• Internal control mechanism
Regular	• Regular audit and supervision • Internal control mechanism

2025 Implementation Result

- The ISO 45001 Occupational Health and Safety Management System has been in place since 2021 for comprehensive occupational safety management, with safety and health work rules filed in accordance with the law. In 2025, the Company reported 0 occupational accidents.
- Promoted "employee stress relief" and "family-friendly" initiatives to create a reassuring and highly efficient working environment, and applied for and received funding support under the Ministry of Labor's "Work-Life Balance Subsidy Program."
- Regularly held "Ethical Corporate Management and Legal Compliance Propaganda" training courses; in 2025, all employees participated and passed the test.
- Donated NT$4.2 million to the Yuanta Cultural and Educational Foundation and actively participated in various cultural, educational, and social welfare activities.
- Sponsored the "2025 Financial Services Education Public Welfare Fund" activities with NT$375 thousand, continuing this charitable tradition through which the financial industry fulfills its social responsibility.
- Donated NT$2.5 million to the Ministry of Health and Welfare's disaster relief account, supporting disaster victim assistance, emergency medical care, shelter and resettlement, and recovery and reconstruction, contributing to the rebuilding of affected areas.

Employees

Labor of labor meetings / New employees / Current employees / Departed employees / Retired employees / Campus Interns

Topics of Concern

- Energy Management and Climate Change
- Supplier Management
- Emissions

The Company's commitment

We regard our employees as family, striving to create a workplace that upholds equality and prohibits discrimination. We are committed to safeguarding and advancing employee rights, with the aspiration of becoming a model of a happy and inclusive enterprise.

Communication channels and frequency

Regular	• Employee Welfare Committee • Employee complaint mailbox
Quarterly	• Labor-Management meeting
Annually	• Employee opinion survey
Irregular	• Education and Training

2025 Implementation Results

- Held lectures such as "MBTI Workplace Communication Skills for Winning Hearts and Minds" and "How Sleep Problems Affect Us All," helping employees build psychological support and a friendly workplace culture, promoting employee wellbeing and organizational stability.
- Offered the "Yuan Mama Trendy Baby Gift" to support pregnant and postpartum employees, established dedicated breastfeeding (expressing) rooms, and arranged one-on-one health consultations with physicians. These efforts were recognized with the "Outstanding Breastfeeding Room" Certification from the Taipei City Government in 2023.
- Formulated the "Adaptive Work Plan for Middle-Aged and Elderly Workers" and implemented employee assistance programs, strengthening occupational safety and health management measures to prevent occupational accidents and care for middle-aged and elderly colleagues.
- Supported the International Nature Restoration Action Association's "Taiwan Good Air and Better Field" rice straw burning cessation environmental program, sponsoring 20 hectares of farmland and helping reduce carbon emissions by 180 metric tons.
- Participated in the "Tamsui River Covenant" and "Watershed Covenant" since 2020; in 2025, successfully collected 73 kg of marine debris, including 55.5 kg of recyclables and 5.5 kg of glass.
- Participated in "Run for Wildlife," supporting animal conservation and promoting employee health, working hand in hand with society to create a green future.
- Invited suppliers to sign the "Supplier Sustainable Procurement Clause and Integrity Commitment Clause"; in 2025, the signing rate among Taiwan-based vendors was 100%.

Customers

Existing customers / Potential customers / General public

Topics of Concern

- Friendly and Excellent Working Environment
- Financial Inclusion
- Financial Innovation Products and Services
- Employee Attraction and Retention
- Corporate Governance & Integrity Management
- Water and Effluents

The Company's commitment

We are committed to providing customers with a more forward-looking and better investment and financial management experience, and continue to promote product R&D and innovative services

Communication channels and frequency

Regular	• Customer service hotline • Customer complaint mailbox • Sales specialist service • Development of Internet services, mobile services (APP) and smart tools • Conduct various financial seminars and conferences • Conduct customer satisfaction surveys
Daily weekly monthly	• Provide various research report

2025 Implementation Results

- The Group is a constituent of the "Taiwan High Compensation 100 Index," demonstrating the Group's commitment to reasonable employee compensation and sharing profits with employees.
- Expanded financial inclusion by launching diversified, low capital trading threshold CFD, including foreign exchange, gold, crude oil, foreign individual stocks, foreign stock indices, and silver products.
- In April 2025, the "Financial Fraud Prevention Group" was formally established under the Treating Clients Fairly Committee, headed by the Deputy President of the Legal Compliance Department, to promote the planning and implementation of financial fraud prevention matters.
- In 2025, we promoted customer information security education, increased the frequency of anti-fraud warning exposure, and disclosed product trading risks, fraud identification and prevention warnings, and fraud typologies on the official website and account statements, building shared awareness of protection.
- Yuanta Futures has obtained the service verification of ISO 10002 : 2018 every year since 2021. Yuanta Futures is the first futures dealer in Taiwan to qualify for this verification.

Shareholders and Investors

Top ten shareholders and directors / General shareholders / Corporate shareholders

Topics of Concern

- Economic Performance
- Tax
- Information and transaction security
- Legal compliance
- Risk management and internal control

The Company's commitment

Implement corporate governance, strictly supervise and manage the Company's finance, internal control, legal compliance, and risk control in pursuit of sound profitability.

Communication channels and frequency

Regular	• Set up Chinese and English websites and "Stakeholders" section
Monthly	• Convene Board of Directors' meetings
Semiannually	• Participate in investors' conferences of the Taipei Exchange
Annually	• Convene shareholders' meeting • Publish annual report and sustainability report
Irregular	• Disclose the latest information on the MOPS and the Company's website • Conduct two-way communication with institutional investors

2025 Implementation Results

- From 2021 to 2025, the Company's Earnings Per Share (EPS) were NT$2.97, NT$3.95, NT$6.39, NT$7.47, and NT$8.45, respectively, demonstrating steady profitability and operational resilience over the five-year period.
- Awarded with the honor of the corporate governance evaluation "OTC company top five-percent performance" for 11 consecutive years
- The Company achieved a long-term issuer credit rating of "AA-(twn)" and a short-term issuer credit rating of "F1+(twn)" from Fitch Ratings, both with a Stable Outlook.
- The Company was selected as the "Taiwan Large Corporation Top 5000" and ranked first in the futures industry for 12 consecutive years.
- In 2025, the Company also continued its ISO 27001 certification, conducted information security checks and risk evaluations, and cooperated with Yuanta Financial Holdings in promoting the "zero trust architecture" to enhance overall information security defense capabilities, protecting Company and customer information from threats.
- Strengthened training courses on anti-money laundering, regulatory compliance, risk management, internal audit and internal control, financial consumer protection, fair dealing, intellectual property rights, and ESG, totaling 5,193 hours with 5,484 participants; training related to personal data protection and information security totaled 1,647 hours with 1,321 participants.

Suppliers and Partners

Collaborating suppliers, contracting firms

Topics of Concern

- Supplier Management
- Customer Privacy
- Economic performance
- Information and transaction security
- Friendly and Excellent Working Environment

The Company's commitment

Include local manufacturers in the green supply chain and promote sustainable environmental policies together with the manufacturers, hoping to fulfill our responsibility for environmental sustainability.

Communication channels and frequency

Irregular	• Bargaining meeting
Three times per year	• Supplier Conference
Annually	• Suppliers are required to complete self-assessment questionnaires and return them to the Company • The Company holds internal supplier rating meetings
Upon commencing cooperation with suppliers	• Suppliers are required to sign the Letter of Commitment to Ethical Corporate Management and the Yuanta Financial Holdings Guidelines for Sustainable Procurement for Suppliers

2025 Implementation Results

- Suppliers were invited to sign the Supplier Sustainable Procurement Clause, a commitment to ethical business practices. In 2025, the signing rate among domestic suppliers in Taiwan reached 100%.
- 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.
- The Company has conducted due diligence prior to establishing business relationships with suppliers pursuant to the "Ethical Management Best-Practice Principles" and "Procedures for Ethical Management and Guidelines for Conduct" of Yuanta Financial Holding Co., Ltd. to avoid dealing with anyone with any unethical act committed and conduct all commercial activities with a fair and transparent practice. According to the results of the 2025 internal audit, no violations of integrity-related regulations or unethical conduct were identified.
- The Company has raised awareness of information and communications security, and privacy protection issues among its suppliers at the Supplier Conference.
- Major suppliers are classified into three categories—A, B, and C—based on their evaluation results. Class A suppliers are publicly recognized at the Supplier ESG Exchange Forum and may receive preference in price comparisons, price negotiations, or other supplier selection procedures when all other selection criteria are comparable. Class C suppliers receive enhanced guidance and support for improvement and are reassessed and monitored in the following year. The Company may discontinue business relationships with suppliers rated Class C for three consecutive years if they fail to improve despite engagement and guidance. In addition, the Group will cease business dealings with any supplier found to have violated its sustainable development policies where such violations have significant environmental and social impacts.
- Since 2021, the Company has obtained Level-A certification under the Taiwan Intellectual Property Management System (TIPS) for five consecutive years, and since the same year has continued to implement annual certification under the BS 10012 Personal Information Management System (PIMS) international standard, fully protecting customer rights through the establishment of comprehensive personal data protection measures.

Community and local organizations

Residents around the operation bases / Community residents / Public welfare organizations

Topics of Concern

- Customer Service
- Tax
- Risk management and internal control

The Company's commitment

Lead employees to participate in charity activities to care for the community and the underprivileged. At the same time, we also provide opportunities for talent development, i.e., actively promoting financial knowledge.

Implementing waste management through the " 3R Management Measures" ; and introducing ISO 14046 water footprint verification.

Communication channels and frequency

Regular	• Participate in public and association organizations
Annually	• Campus activities • Charity blood donation
Irregular	• Arrange investment management education seminar • Cooperation with public welfare organizations • Community and disadvantaged care and visits • Organize and support social welfare, academic, arts and environmental activities

2025 Implementation Results

- Contributed NT$500 thousand to the 2025 "Fraud-Free Youth - Campus Anti-Fraud Awareness Campaign" partnership, inviting judicial and police professionals to give lectures and building fraud prevention awareness among the younger generation.
- The Company was the first to receive the "Dementia Friendly Financial Institution" certification, and jointly organized dementia care activities with the Social Welfare Foundation of Wisdom, engaging employees and suppliers, setting up "community care and concern bases" to expand its practical action to the community.
- In 2025, we promoted customer information security education, increased the frequency of anti-fraud warning exposure, and disclosed product trading risks, fraud identification and prevention warnings, and fraud typologies on the official website and account statements, building shared awareness of protection.
- In April 2025, the "Financial Fraud Prevention Group" was formally established under the Treating Clients Fairly Committee, headed by the Deputy President of the Legal Compliance Department, to promote the planning and implementation of financial fraud prevention matters.

Media

Topics of Concern

- Risk Management and Internal Control
- Financial Innovation Products and Services
- Economic performance
- Legal Compliance

The Company's commitment

Information about the Company's operations and activities is regularly disseminated through the media to help investors better understand the futures markets and the Company's current status.

Communication channels and frequency

Irregular

- Press conference
- Media advertising
- Major news release

2025 Implementation Results

- A total of 28 major news were released in 2025
- Maintained good relations with the media and established smooth communication channels
- By integrating an excellent future trading advisor team and the interface of the outstanding IT platform, the Company has intensified strategic marketing activities, and enhanced media exposure to increase the visibility of the brand of the Company to the investors and effectively enlarge the market size.
- Received the "Enterprise Award" and the "The Best Product Award - Unmanned Digital Office" at the National Brand Yushan Award.
- Received second place in "Futures Diamond Award - Futures Broker Trading Volume Diamond Award" at TAIFEX's 11th Futures Diamond Awards.

1-7 SUMMARY OF MAJOR THEMES OF YUANTA FUTURES

The Company values the voices of its stakeholders and conducts the identification of material topics through communication with customers, government agencies, employees, media, shareholders and investors, communities and local organizations, suppliers, and partners. The assessment process and the identified material topics are as follows :

Identification

This report is based on international standards such as the GRI Standards, the Task Force on Climate-related Financial Disclosures (TCFD), and the SASB Standards. It also takes into account the organizational context of the Company and Yuanta Financial Holdings, industry conditions, characteristics, and media coverage. After review by the Sustainable Development Committee and discussions with external consultants, 20 key sustainability topics have been selected.

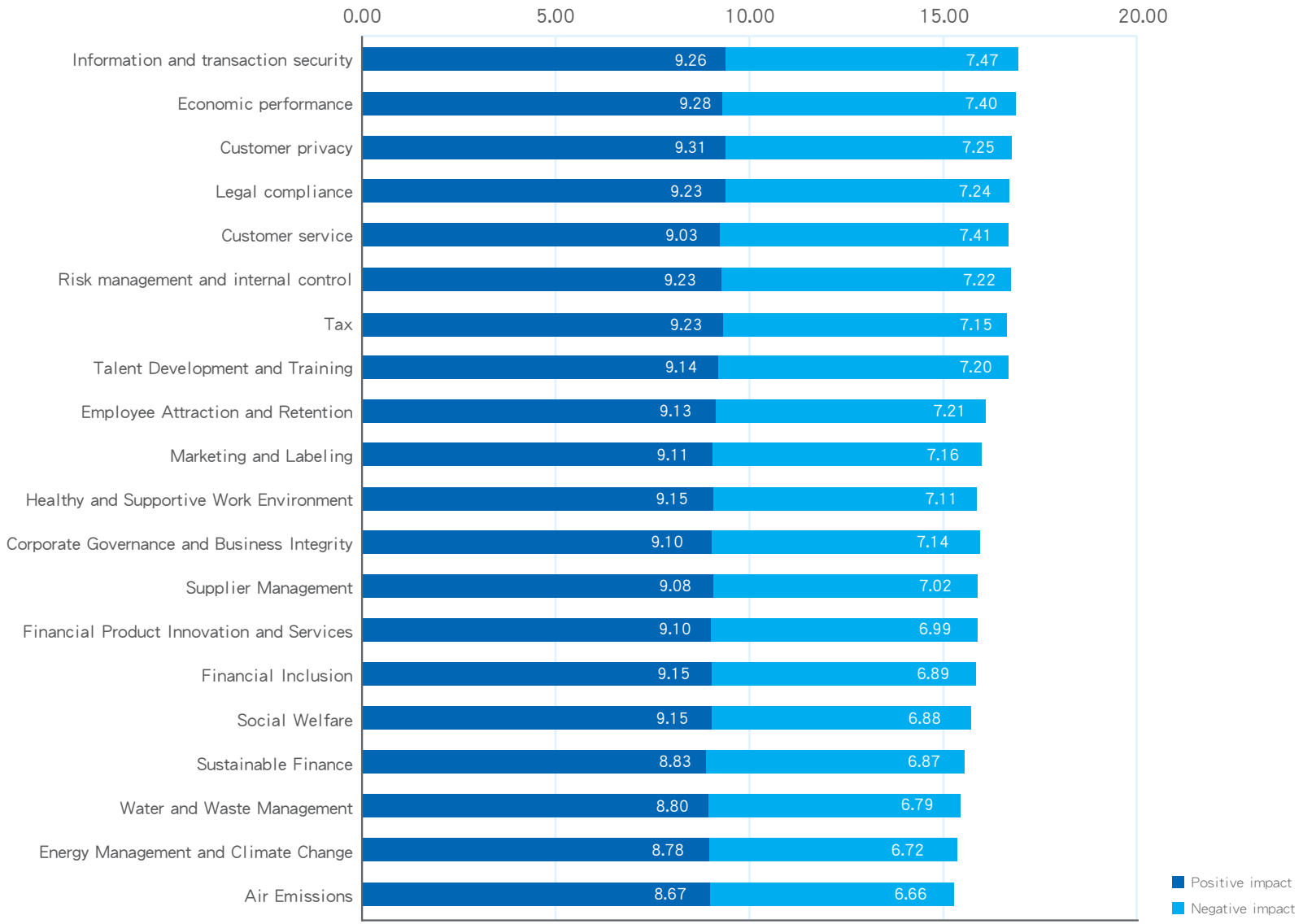
Analysis

A questionnaire was distributed to members of the Sustainable Development Committee and relevant department heads. This questionnaire focused on four dimensions : economy, environment, society (population), and corporate governance. A total of 20 sustainability themes were identified and categorized into 20 positive impacts and 20 negative impacts for impact assessment.

Ranking and Confirmation

Based on the results of the previous questionnaire, the impact scores of the material topics were calculated, and after discussions between members of the Sustainable Development Committee and external consultants, the reports were prioritized according to total scores. The Company designates topics with a combined score of positive and negative impact severity and likelihood of occurrence greater than 16.4 as material topics. Based on the above results, and in response to the sustainable development roadmap promoted by the FSC, "Energy and Climate Change" was designated as a material topic for 2025, incorporating climate change risks into operational decision-making. A total of 7 material topics were screened in 2025.

2025 YUANTA FUTURES SUSTAINABILITY ISSUES PRIORITIZATION



MATERIAL TOPICS AND IMPACT BOUNDARIES

Impact Aspects	Material Topics	Corresponding Impact	Actual/ Potential	Significance and Impact Description	GRI Specific Topics	Corresponding Sections	Value Chain Impacts						
							Yuanta Futures	Customer	Authorities Government	Media	Shareholders and Investors	Community and Local Groups	Supplies and Partners
Governance	Information and transaction security	Information and transaction security	●	The financial trading environment is becoming more dependent on the Internet due the technology advancement. The diversified services also bring the impact of information security risks to customers and shareholders. The Company aims to provide stable and secure information services and considers "protecting information assets" and "maintaining business continuity for sustainable business operation" as our information security sustainability goals.	Self-developed topics	CH3-3	●	●			●		○
		Information system failure	●										
Governance	Economic performance	Good economic performance	●	Good corporate operational performance not only helps the Company become a benchmark brand in the Asian financial market but is also a critical factor supporting sustainable business development.	GRI 201-1 GRI 201-3 GRI 201-4	CH1-1	●				●		
		Poor economic performance	▲										
Governance	Customer privacy	Protecting customer privacy	●	With the development of Internet technology, a sound information security and personal data protection mechanism are also the key to stabilize business operations and avoid negative economic and human rights impacts.	GRI 418-1	CH3-3	●	●			●		○
		Personal data leakage	▲										
Governance	Legal compliance	Legal compliance and regulatory management	●	Good legal compliance is an important foundation for enterprises to gain the trust of stakeholders. In order to reduce legal compliance risks and ensure that the Company operates in compliance with relevant laws and regulations, it is necessary to strengthen employees' awareness of legal compliance and maintain an effective and appropriate internal control system in an attempt to promote sound operations and reduce the risk of penalties.	Self-developed topics	CH2-3	●	●	●		●		○
		Violations of economic or social laws	▲										
Society	Customer service	Customer satisfaction	●	From the perspective of customer needs, the Company provides diversified and innovative products to strengthen communication with customers, cultivate a sense of trust and adhesion, and continue to provide attentive and thoughtful services.	Self-developed topics	CH3-3	●	●			●		○
		Customer complaints or attrition	▲										
Governance	Risk management and internal control	Risk management and internal control	●	The global financial environment is becoming increasingly complex, and the risks involved in the financial industry become diversified and intensified. Through the three lines of defense for risk management, the Company can effectively diversify, transfer or reduce risks to achieve a win-win-win situation for customers, shareholders and employees, thereby bringing positive feedback to the Company's operations.	Self-developed topics	CH2-4	●	●	●		●		
		Potential risks leading to crises	●										
Environment	Energy and climate change	Energy saving and electricity conservation	●	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 is required to be incorporated into operational decision-making of the financial industry in order to identify and manage risks. Also, the Company observes the crisis of global warming and resource depletion, and fully responds to the trend of energy conservation and carbon reduction with adequate mitigation and adaptation plans implemented.	GRI 305-1 GRI 305-2 GRI 305-3	CH5-1	●						○
		Failure to effectively implement energy-saving measures	▲										

Level of involvement ● Direct impact ○ Impact due to business relationship

Impacts are further classified into actual (●) 、 and potential (▲) based on the likelihood of occurrence ; actual impacts are those that have already occurred, while potential impacts are those that have not yet occurred but have the possibility of occurring.

This year's material topics carry forward the identification results of the previous year, with the overall scope of topics unchanged from last year. However, in light of this year's stakeholder concern levels and the quantitative scoring results of the material topic assessment table, the weighting of each topic has been adjusted, resulting in slight differences in the materiality ranking compared with the 2024 material topics.

MATERIAL TOPICS MANAGEMENT GUIDELINES

Information and Transaction security

Commitment	Policy	IT Department
We have established various information security policies based on the protection of shareholders' rights and interests, with the objectives of "protecting information assets" and "maintaining business continuity for sustainable business operation".	Information Security Incident Notification and Emergency Response Procedures ISO 27001 Specification for Information Security Management Systems (ISMS) Information Security Policy Information Security Management Guidelines Information Security Incident Notification and Emergency Response Procedures	IT Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
We introduce information security-related systems and platforms to ensure a sound internal information security structure ; conduct information security education and training for all employees ; and conduct information security checks and risk management to identify weaknesses and information security threats in order to achieve the goal of strengthening the organization's internal information security structure.	Vulnerability scans, penetration tests, and various information security tests and assessments are conducted regularly by a third-party trustworthy unit.	Customer service mailbox：futures@yuanta.com free customer service hotline：02-2326-1000 or 0800-333-338

Economic Performance

Commitment	Policy	IT Department
The Company actively develops multiple innovative businesses to provide customers with a high-quality and diversified trading environment. Sales targets are established to enhance market share and improve the Company's profitability.	Corporate Governance Best Practice Principles for TWSE/TPEx Listed Companies Corporate Governance Best Practice Principles for Futures Brokers	Each business unit Proprietary Trading Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
To enhance proprietary trading performance, we aim to maximize profits within controllable risks through strategies such as spread trading, high-frequency trading, and market making, thereby increasing revenue sources and operational stability.	Consolidated and Separate Financial Statements	Customer service mailbox：futures@yuanta.com Customer service hotline：02-2326-1000 or 0800-333-338

Customer privacy

Commitment	Policy	IT Department
From the perspective of customer needs, we strengthen customer communication, enhance the protection of consumer rights and interests, cultivate customer trust and adhesion, and continue to bring thoughtful and warm services to our customers.	Information Security Policy	Each business unit Customer Service / Trading Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
To ensure the privacy of customer information, we regularly maintain information security management system and obtain third-party certification	Number of customer data leakage	Customer service mailbox：futures@yuanta.com Customer service hotline：02-2326-1000 or 0800-333-338

Legal compliance

Commitment	Policy	IT Department
We comply with all business-related laws and regulations, and set up a comprehensive reporting system and investigation mechanism.	Law compliance manual Regulations Governing the Implementation of Whistleblowing System	Auditing Department Compliance Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
In order to effectively reduce the occurrence of violations of laws and regulations, a legal compliance manual is prepared for the reference of managers and employees. The company has established Regulations Governing the Implementation of Whistleblowing System. A reporting email and hotline are published on our official website, allowing anyone to report suspected criminal activity, fraud, or legal violations by our employees.	Self-assessment of legal compliance is conducted every six months	Reporting mailbox：auditcomm.fut@yuanta.com Reporting hotline：(02)2546-0373

Customer service

Commitment	Policy	IT Department
From the perspective of customer needs, we strengthen customer communication, enhance the protection of consumer rights and interests, cultivate customer trust and adhesion, and continue to bring thoughtful and warm services to our customers.	Principle for Financial Service Industries to Treat Clients Fairly Customer Dispute Handling Regulations of Yuanta Futures Operating Rules for Customer Complaint Handling of Yuanta Futures	Each business unit Customer Service / Trading Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
Through the "Eight Senses and Eight Practices" service concept, we proactively handle customer complaints and continue to create services that meet customers' needs .	Customer satisfaction surveys, average customer response rate	Customer service mailbox：futures@yuanta.com Customer service hotline：02-2326-1000 or 0800-333-338

Risk management and internal control

Commitment	Policy	IT Department
We follow the risk management policy of Yuanta Financial Holdings and the relevant regulations of the Futures Exchange, and jointly establish a risk control and internal audit mechanism.	Risk Management Best-Practice Principles For Futures Commission Merchants of Taiwan Futures Exchange Risk Management Policies of Yuanta Futures	Auditing Department Risk Management Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
Risk identification, risk measurement, risk control and overall risk assessment are conducted through three lines of defense.	Sensitivity analysis and value-at-risk (VaR) model, Yuanta Financial Holdings' credit rating system, and annual limits for various types of risks.	Suggestions and complaint mailbox： auditcomm.fut@yuanta.com TEL：(02)2546-0373

Energy and Climate Change

Commitment	Policy	IT Department
In line with Yuanta Financial Holdings policy, the Company is fully committed to energy conservation and carbon reduction measures to reduce its environmental impact, and incorporates climate change risks into operational decision-making, identifying and managing risks.	Energy and Climate Change Management Policy of Yuanta Financial Holdings	Risk Management Department / Management Department General Planning Department
Management Method	**Evaluation Mechanism**	**Communication Channel**
The Risk Management Department of the Company participates in Yuanta Financial Holdings' Task Force on TCFD to facilitate the Group' s comprehensive management of climate-related issues and impacts, identify climate-related risks and opportunities, as well as evaluate, analyze,monitor, and formulate adaptative strategies and indicators.	The responsible units report to the Audit Committee, Sustainable Development Committee, and the Board of Directors according to their respective areas of authority and responsibility, in order to monitor the progress and effectiveness of implementation.	TEL：(02)2546-0373



1-8 PARTICIPATION OF DOMESTIC AND INTERNATIONAL ORGANIZATIONS

Participation in Public Associations or Organizations	Participation Method
FIA Asia Association Futures Industry Association	Member
Taiwan Futures Exchange	Director Member of the Clearing Committee
Chinese National Futures Association	Executive Director and Director Convener of the Leverage Trading Committee Member of various business committees (Brokerage Business Committee, Proprietary Business Committee, Advisory Business Committee, Cross-Strait Affairs Committee, Managerial Business Committee, Trust Business Committee, International Affairs Committee, Audit Committee, Disciplinary Committee, Finance Committee, Education and Training Committee, Leverage Trading Committee, Anti-Money Laundering and Legal Compliance Business Committee, Electronic Business Committee, Sustainable Development Committee, Procurement Committee)
Taipei Foundation Of Finance - Mainland China Financial Research Association - FinTech Ecosystem Research and Development Association	Member
National Chengchi University FinTech Research Center	Member
Financial Planning Association of Taiwan (FPAT)	Member of the Exam Committee
Carbon Disclosure Project (CDP)	Participate in with the Group to measure and manage greenhouse gas emissions in order to reduce the impact of climate change



02

CORPORATE GOVERNANCE & INTEGRITY MANAGEMENT

As Taiwan’ s first leading futures brand listed on the TPEx, the Company has long upheld the highest standards of corporate governance. Guided by the principles of integrity, ethics, transparency, and accountability, we have established robust governance and risk control mechanisms to support sustainable development. Since 2015, the Company has ranked among the top 5% of TPEx-listed companies in the Corporate Governance Evaluation for 11 consecutive years, making it the only futures dealer in Taiwan to receive this honor for 11 consecutive years. This achievement reflects strong recognition from the competent authorities of the Company’ s corporate governance performance.

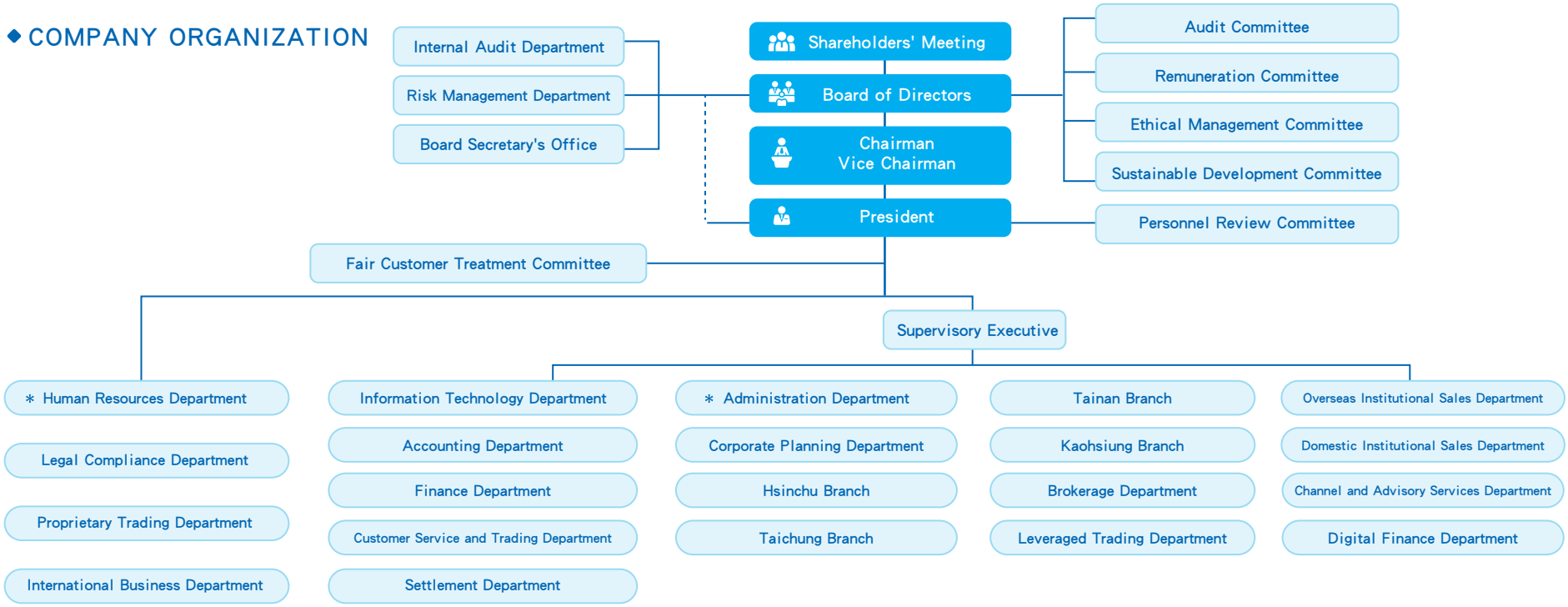
2-1 CORPORATE GOVERNANCE

The Board of Directors is the core and highest governance body of the corporate governance. The Code of Corporate Governance practices are based on the “Corporate Governance Best Practice Principles for TWSE/TPEx Listed Companies” and the “Corporate Governance Best-Practice Principles for Futures Commission Merchants” and are implemented upon approval of the Board of Directors.

The Board of Directors gives top priority to the interests of the Company and all shareholders. It provides strategic guidance for the Company's operations and supervises the performance of the management team. The positions of Chairman of the Board and President are held by different individuals. The Audit Committee, Remuneration Committee, Ethical Management Committee, Sustainable Development Committee, Internal Audit Department, Risk Management Department, and the Board Secretary's Office are established under the Board of Directors to assist it in fulfilling its supervisory responsibilities. Meanwhile, the President leads the management team, including the Legal Compliance Department, to effectively implement corporate governance and business operations, thereby creating maximum value for shareholders.

2-1-1 ORGANIZATIONAL AND SHAREHOLDING STRUCTURE

◆ COMPANY ORGANIZATION



*Effective March 2026, the Company restructured its former Administration Department into two dedicated units: the Human Resources Department and the Administration Department. This organizational restructuring strengthened corporate governance and enhanced operational support by assigning related functions to dedicated departments.

2-1-2 BOARD OF DIRECTORS AND FUNCTIONAL COMMITTEES

◆BOARD MEMBER DIVERSITY

The Company intends to have matters handled in accordance with the "Corporate Governance Best-Practice Principles for TWSE/TPEx Listed Companies" and Article 20 Section 3 of "Corporate Governance Best-Practice Principles." The composition of Board members should be diversified. The diversification should not be limited to the standards with the following two aspects: Basic conditions and values and professional knowledge and skills. The Company currently has a Board of Directors consisting of nine members, containing six directors, including the Chairman and Vice Chairman, and three independent directors. Please see the following table for the composition of our staff. In terms of professional background, the Board of Directors is composed of multi-disciplinary professionals with multi-industry experience. The three independent directors have professional backgrounds in finance, information technology, and accounting.

Directors' Identity Distribution

Executive directors	Non-executive director	Independent Director
1 person	5 person	3 person

Directors' Gender Distribution

Male	Female
67%	33%

Directors' Professional Background

Professional Ability						Industry experience			
Management	Leadership and decision-making	Accounting	Finance	Business management	Information Accounting technology	Financial institutions	Technology industry	Biotechnology industry	Trading business
100%	100%	22%	44%	11%	22%	89%	11%	11%	11%

Note : The total sum is greater than 100% as each director has different professional capabilities

◆BOARD OF DIRECTORS ELECTION SYSTEM AND AUTHORITIES

The election of the Company's directors adopts a nomination system. The Shareholders' Meeting selects director candidates in consideration of the Company's director succession planning. Director candidates shall possess diverse professional knowledge and expertise, such as law, accounting, industry, finance, marketing, or technology, as well as extensive industry experience, and shall be elected from individuals with legal capacity. Independent directors are elected based on their professional qualifications and independence. The term of office is three years, and directors are eligible for re-election upon the expiration of their terms. The aggregate shareholding of all directors complies with the regulations of the securities regulatory authorities. All directors come from the financial, industrial, or academic sectors and possess professional expertise and extensive experience in business management, finance and accounting, crisis management, futures and derivatives, and international finance. The current Board of Directors, comprising the 12th-term Directors and Independent Directors, was elected at the Annual General Meeting held on May 27, 2024, and its term of office will expire on May 26, 2027.

The authorities of the Board of Directors of the Company mainly include the following

1 Establish an effective and appropriate system of internal control	5 Monitor the results of the Company's operations	9 Establish and maintain the Company's image and social responsibility
2 Select and supervise managers	6 Oversee and manage the risks faced by the Company	10 Appoint experts such as accountants or lawyers
3 Review the Company's management decisions and operating plans and oversee their implementation	7 Ensure that the Company complies with relevant regulations	11 Protect the rights and interests of futures traders
4 Review the Company's financial objectives and monitor the achievement	8 Plan the future direction of the Company	12 The remuneration structure and system of directors and the performance evaluation and remuneration standards of managers and sales staff

◆ MEMBER OF THE BOARD

Title	Name	Major career (academic) achievements	Current duties in The Company and in other companies
Corporate shareholder	Yuanta Financial Holding Co., Ltd.	-	-
Chairman	Tien-Fu Lin	・ 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 Co., Ltd. ・ Director of Yuanta Securities Co., Ltd. ・ Director of Taipei Exchange (TPEx) ・ Yu Da High School of Commerce and 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).	・ Chairman of the Company ・ Vice Chairman of Yuanta Securities Finance Co., Ltd., ・ Director of Yuanta Securities Finance Co., Ltd.,
Vice Chairman	Pin-Cheng Chen	・ Director, Yuanta Securities Co., Ltd. ・ 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) ・ Independent Director, Alcor Micro Corp. ・ MBA, Syracuse University, USA	・ The Company's Vice Chairman; ・ Director of Yuanta Global (Singapore) Company ・ Director of Taiwan Futures Exchange
Director	I-Jui Kao	・ Executive Vice President, Yuanta Securities Investment Trust Co., Ltd. ・ Executive Vice President, Yuanta Futures Co., Ltd. ・ Master, International Business, National Taiwan University	・ President of the Company ・ Director, Yuanta Global (Singapore) Company ・ Director, Yuanta Futures (HK) Co., Ltd.

Title	Name	Major career (academic) achievements	Current duties in The Company and in other companies
Director	Mei-Ling Kuo	・Manager, Yuanta Financial Holding Co., Ltd. ・Manager of Syscom Computer Engineering Company ・Executive Vice President of Capital Securities Corporation ・Executive Vice President, Yuanta Securities ・MBA, National Chengchi University	・Director of the Company ・Manager of Yuanta Commercial Banking Corporation ・Director of Yuanta Securities Co., Ltd.
Director	Chien-Hua Wu	・Senior Vice Presidents, Yuanta Securities ・Business Supervisor, Yuanta Securities Co., Ltd. ・Branch manager of Yuanta Securities Co., Ltd.	・Director of the Company ・Yuanta Securities Co., Ltd. Manager
Director	Yung-Chu Su	・Junior Partner, Lee & Li Attorney at Law ・New York State Attorney	・Director of the Company ・Manager of Yuanta Financial Holding Co., Ltd Yuanta Securities Co., Ltd. ・Manager Supervisor of Yuan Venture 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	Yu-Chun Wu	・Master Degree of Executive Master Business Management, National Taiwan University ・Director, Deputy Director, and Chief Secretary of the Securities and Futures Bureau of the Financial Supervisory Commission ・Director-General, Taxation Administration, Ministry of Finance ・President of GreTai Securities Market ・Independent Director, Yuanta Securities Co., Ltd. ・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 of the Company ・Director of Browave Corporation ・Independent Director of Jing-Jan Retail Business Co., Ltd. ・Independent Director, UNITRAVEL SERVICES Co., Ltd.

Title	Name	Major career (academic) achievements	Current duties in The Company and in other companies
Independent Director	Hui-Erh Yuan	・PWC Partnership Accountant ・Chairman, PwC Business Consulting Co., Ltd. ・Director, Taipei CPA Association ・Master of Accountancy, University of Missouri, United States ・Master of Business Administration (MBA), Southern Illinois University, United States ・Independent Director, Yuanta Life Insurance Company ・Independent Director, Yuanta Commercial Bank Co., Ltd.	・Independent Director of the Company ・Independent Director, Yuanta Securities Co., Ltd. ・Director, Yuanta Cultural and Educational Foundation ・Director of Sheng Yen Education Foundation ・Supervisor of Dharma Drum Mountain Buddhist Foundation
Independent Director	An-Pin Chen	・Emeritus Professor, Department of Information Management and Finance, National Chiao Tung University ・Director of Innovation Research Center of National Chiao Tung 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 ・Independent Director, Yuanta Securities Co., Ltd. ・Supervisor, Tian Mei Rubber Co., Ltd.	・Independent Director of the Company
Former Director	Kuo-Tsun Hsu	・Executive Vice President, Yuanta Futures Co., Ltd. ・Vice President, Polaris Futures Co., Ltd. ・Master, Banking and Finance, National Taiwan University	・President of the Company ・Director, Yuanta Global (Singapore) Company ・Director, Yuanta Futures (HK) Co., Limited

*Former Director Kuo-Tsun Hsu was discharged from the Company's Board of Directors on April 7, 2025, and Director I-Jui Kao was newly appointed.

◆ RECUSAL OF THE BOARD OF DIRECTORS' INTERESTS

To ensure strict compliance with the conflict-of-interest recusal requirements under the Company Act, the Company has established the Code of Ethical Conduct, which stipulates that directors and managerial officers shall, by virtue of their positions and authority, proactively disclose any business dealings between the Company and themselves, their spouses, lineal relatives by blood, relatives within the second degree of kinship, or organizations with which they are affiliated, and shall handle or avoid such matters in a lawful and appropriate manner. The Company has established a sound management mechanism and effectively implemented it in both internal management and external business activities to enhance the effectiveness of its ethical corporate management. During meetings of the Board of Directors and the Shareholders' Meeting, if directors or managerial officers have any conflicts of interest, the Board of Directors requires the individuals concerned to recuse themselves from the meeting in accordance with the conflict-of-interest recusal requirements.

In addition, the Company has established relevant regulations, including the Audit Committee Charter, the Rules of Procedure for Board of Directors Meetings, and the Code of Ethical Conduct. Matters concerning the recusal of corporate personnel (including directors) due to conflicts of interest, the prohibition against the disclosure of confidential business information, insider trading, and non-disclosure agreements shall all be handled in accordance with the relevant regulations. The Company does not have any controlling shareholders. Information regarding the Company's top ten shareholders by shareholding percentage, including whether they are related parties, spouses, or relatives within the second degree of kinship, as well as the number of shares held in the same investee company by the Company, its directors, managerial officers, and enterprises directly or indirectly controlled by the Company, together with the consolidated shareholding ratio calculated on a consolidated basis, is disclosed on pages 122 - 123 of the Company's 2025 Annual Report.

◆ DIRECTORS' ONGOING 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". There are 9 current directors in 2025. The average training hours for each existing director is 14.5 hours, which is higher than the 6 hours recommended in Article 4 of the "Implementation measures of advanced study of directors and supervisors".

Continuing education of the directors in 2025：

Title	Name	Organizer	Course name	Training Hours
Chairman	Tien-Fu Lin	Institute for Financial Law and Crime Prevention	Artificial Intelligence Technology and Industry Development Trends	2
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3

Title	Name	Organizer	Course name	Training Hours
Vice Chairman	Pin-Cheng Chen	Institute for Financial Law and Crime Prevention	Artificial Intelligence Technology and Industry Development Trends	2
			Insider Trading Prevention and Latest Practical Developments	2
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3
		Taipei Foundation of Finance	Corporate Governance - Principle for Financial Service Industries to Treat Clients Fairly	3
		Corporate Governance Association in Taiwan	The Digital Finance Revolution: The Principles of Stablecoins and Development Trends in Blockchain Virtual Assets	3
Director	I-Jui Kao	Institute for Financial Law and Crime Prevention	Artificial Intelligence Technology and Industry Development Trends	2
			Insider Trading Prevention and Latest Practical Developments	2
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3
			Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3

Title	Name	Organizer	Course name	Training Hours
Director	Mei-Ling Kuo	Institute for Financial Law and Crime Prevention	Artificial Intelligence Technology and Industry Development Trends	2
			Insider Trading Prevention and Latest Practical Developments	2
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3
Director	Yung-Chu Su	Institute for Financial Law and Crime Prevention	Artificial Intelligence Technology and Industry Development Trends	2
			Insider Trading Prevention and Latest Practical Developments	2
			Empowering Sustainable Finance: Co-Creating Net-Zero Opportunities	3
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3
Director	Chien-Hua Wu	Institute for Financial Law and Crime Prevention	Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3
		Taipei Foundation of Finance	Corporate Governance - Principle for Financial Service Industries to Treat Clients Fairly	3

Title	Name	Organizer	Course name	Training Hours
Independent Director	Yu-Chun Wu	Institute for Financial Law and Crime Prevention	Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3
Independent Director	Hui-Erh Yuan	Taiwan Insurance Institute	ESG Sustainability Trends and Responsible Investment Practices: Global Trends in Responsible Investment from a Corporate Governance Perspective	3
		Institute for Financial Law and Crime Prevention	Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Securities Association	Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3
			Security Challenges and Future Trends of Artificial Intelligence Under Digital Technology Risks	3
Independent Director	An-Pin Chen	Institute for Financial Law and Crime Prevention	Artificial Intelligence Technology and Industry Development Trends	2
			Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention (Including Anti-Corruption and Counter-Proliferation of Weapons)	3
		Taiwan Insurance Institute	International Trends in Sustainable Governance and Green Risk Response Strategies (Including Sustainability Information)	3
			Financial Consumer Protection Act and Fair Dealing, Financial Friendliness, and the Convention on the Rights of Persons with Disabilities (CRPD)	3
			Artificial Intelligence Technology and Industry Development Trends	3

◆ IMPLEMENTATION AND OPERATIONS OF THE FUNCTIONAL COMMITTEES

Remuneration Committee

Main responsibilities

The members are three independent directors of the Company, who establish and regularly review the policies, systems, standards and structure for performance evaluation and remuneration of directors and managers of the Company in accordance with the principles, and regularly evaluate and establish the remuneration of directors and managers of the Company.

Operation

A total of 7 meetings were convened in 2025, with an average attendance rate of 100%.

Audit Committee

Main responsibilities

All independent directors serve as members to substitute the functions of the supervisors in monitoring the financial business, internal control, legal compliance and the control of potential risks of the Company.

Operation

A total of 17 meetings were convened in 2025, with an average attendance rate of 100%.

Sustainable Development Committee

Main responsibilities

Three directors and two senior managers serve as members, with six functional working groups established: Corporate Governance, Sustainable Finance, Customer Care, Employee Care, Environmental Sustainability, and Social Participation. The Committee is responsible for policy advancement, work coordination, and tracking of results, and the Corporate Planning Department reports the implementation status of sustainability-related matters to the Board of Directors annually.

Operation

First established in 2025, with 1 meeting held during the year and an average attendance rate of 100%. From 2026 onward, 2 meetings are planned each year.

Board of Directors' meetings are routinely held to discuss material topics. Based on an analysis of the Board meeting agenda items, a total of 228 proposals were reviewed at the 13 Board of Directors' meetings convened in 2025. Among them, 170 proposals were related to the material topics disclosed in this report, accounting for 74.6% of the total. The majority of these proposals were related to economic performance, with 80 proposals, followed by risk management and internal control with 52 proposals, and legal compliance with 12 proposals.

◆ PERFORMANCE EVALUATION SYSTEM FOR THE BOARD OF DIRECTORS AND FUNCTIONAL COMMITTEES

A total of 13 Board of Directors' meetings were convened in 2025, with an average attendance rate of 99%. The Company has established the "Performance evaluation rules of the Board of Directors and Functional Committee" to evaluate the performance of the Board of Directors and functional committees annually in accordance with the evaluation procedures and indicators as stipulated in Article 6 and Article 8. In 2025, the performance evaluation results for both the Board of Directors and the Functional Committees were positive and in compliance with the applicable laws and regulations.

In addition, Performance evaluation of the Board of Directors is conducted by external professional and independent organizations or experts and scholars every three years. The evaluation results and improvement plans are reported to the Board of Directors and Functional Committees. In 2025, the Company commissioned the Corporate Governance Association of Taiwan to conduct an external evaluation. The evaluation results affirmed that the Company has effectively implemented its corporate governance framework and enhanced the effectiveness of the Board of Directors. The evaluation further recommended that sustainability-related matters continue to be reviewed and overseen by the Sustainability Development Committee established in 2025 to further clarify its roles and responsibilities.

The Board

Performance Evaluation Items

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
6. Participation in Sustainable Development (ESG)

Board Members

Performance Evaluation Items

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. Professional and continuous education of directors
6. Internal control

The Audit Committee

Performance Evaluation Items

1. The level of participation in the company's operations
2. Cognition of the responsibilities of the audit committee
3. Improvement of the decision-making quality of the audit committee
4. The composition of the audit committee and the election of members
5. Internal control

◆ DIRECTORS, PRESIDENT'S AND VICE PRESIDENTS' REMUNERATION POLICIES

The Company places emphasis on the manager's overall contribution to the Company and value creation and sets annual work targets according to respective duties. The policies, systems, standards and structure of managers' remuneration shall be considered by the Renumeration Committee and submitted to the Board of Directors for approval of the manager's remuneration level. Reasonable remuneration shall be set in line with corporate governance and sustainable operation and development.

Position	Explanation of Remuneration Policy
Director Independent Director	Independent Directors receive a fixed monthly remuneration. Remuneration for other Directors is handled in accordance with Article 27 of the Company's Articles of Incorporation. Directors who attend Board meetings are also entitled to receive attendance fees.
Chairman, Vice Chairman	The compensation of the Chairman and Vice Chairman shall, as a general principle, be determined within the range of 50% to 200% of the General Manager’ s compensation. The actual multiple shall be determined by resolutions of the Remuneration Committee and the Board of Directors. Other remuneration and benefits shall be determined by the Remuneration Committee and the Board of Directors, taking into consideration the reasonableness of the linkage between individual performance, the Company’ s operating performance, and future risks, while also referring to prevailing remuneration standards within the industry. Regarding retirement benefits, in accordance with the Company’ s Articles of Incorporation and the Regulations Governing Retirement Benefits for the Chairman and Vice Chairman, the Board of Directors is authorized to determine such benefits based on their participation in the Company’ s operations, their contribution and value to the Company, and prevailing standards within the industry.
President Managers	The Company has appointed one General Manager and several managers. Their appointment, removal, and remuneration are handled in accordance with Article 29 of the Company Act. Their remuneration is determined based on their responsibilities, duties, prevailing salary levels, and the results of annual performance evaluations, and is submitted to the Board of Directors for approval.

The Company has established Regulations Governing Retirement Benefits for the Chairman and Vice Chairman. In the event of their retirement, the responsible human resources unit shall determine the retirement benefits based on prevailing industry standards and the provisions of such regulations, and submit the proposal to the Remuneration Committee for review and the Board of Directors for approval. For details, please refer to Article 27 of the Company’ s Articles of Incorporation. In addition, the Company has established relevant retirement benefits. The retirement benefits for managers are provided in accordance with the pension calculation standards stipulated under the Labor Standards Act.

Statement of Directors' and Senior Executives' Remuneration

Unit: NTD thousand; %

Board of Directors	Directors' remuneration				Remuneration as an employee			Total
	Remuneration (Note 2)	Pension	Remuneration to directors (Note 3)	Fees for services rendered (Note 4)	Salaries, bonuses, special allowances etc (Note 5)	Pension	Remuneration to employees (Note 6)	
Chairman	76,500	0	0	230	0	0	0	76,730
Vice Chairman	33,500	0	0	222	0	0	0	33,722
Director	0	0	0	830	25,414	0	16	26,260
Independent Director	9,290	0	0	632	0	0	0	9,922

Unit : thousand dollars

Compensation of Senior Executives	Salary (Note 7)	Pension	Bonuses (Note 8)	Employee Compensation (Cash + Equity) (Note 9)	Total
President	26,025	0	111,021	186	137,232
Vice President					

The calculation principles for the remuneration amounts of the Board members in this table are based on their actual starting dates in the respective fiscal year. For detailed information, please refer to pages 27~35 of Yuanta Futures' 2025 Annual Report.

Note 1 :The amounts disclosed in the table refer to remuneration paid by Yuanta Futures Co. Ltd., excluding remuneration from other companies reported in the financial statements.

Note 2 : Refers to Director's remuneration in the latest year (including salaries, work subsidies, severance pay, various bonuses and incentives etc).

Note 3 : The remuneration amounts refers to the amounts allocated to directors approved by the Board of Directors in the latest fiscal year.

Note 4 : Refers to expenses incurred for directors in the most recent year for services rendered (including traveling subsidies, special subsidies, various forms of subsidies, accommodation, company car, and other supplies in kind).

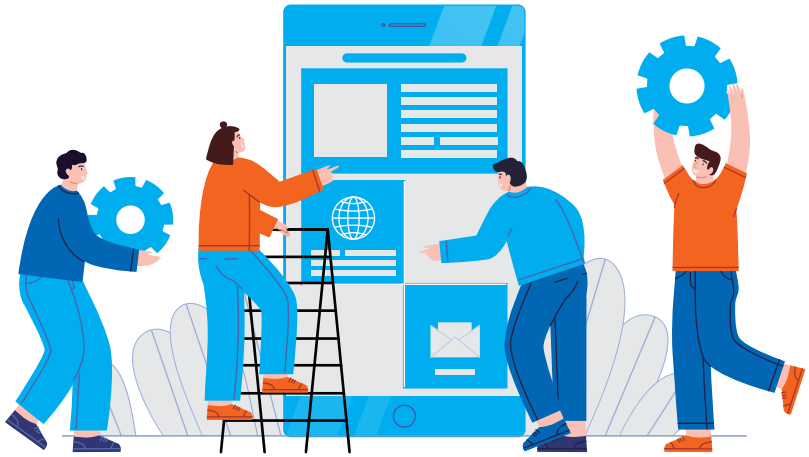
Note 5 : Remunerations received by directors who have also worked in the capacity as employees, including salaries, subsidies, severance pay, bonus, awards, traveling subsidy, special subsidy, different forms of subsidies, accommodation, company car, and other supplies in kind.

Note 6 : For the directors who are also employees of the Company in the most recent year with remuneration received, the remuneration amount to employees resolved in the board meeting in the most recent year should be disclosed. If the remuneration amount cannot be estimated, the amount to be distributed this year is to be estimated proportionally to the actual amount distributed last year.

Note 7 : Refer to salaries, position allowances, and severance pay for the Presidents and Vice Presidents in the most recent fiscal year.

Note 8 : Refer to the remuneration amounts for various bonuses, awards, traveling subsidies, special subsidies, various forms of subsidies, accommodation, company cars, and other forms of compensation provided to the Presidents and Vice Presidents in the latest year.

Note 9 : Refer to the employee remuneration amounts allocated to the President and Vice President in the most recent year approved by the Board of Directors.If the remuneration amount cannot be estimated, the amount to be distributed this year is to be estimated proportionally to the actual amount distributed last year.



2-2 ETHICAL CORPORATE MANAGEMENT

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/TPEx Listed Companies" of Taiwan Stock Exchange and was approved by the Board of Directors and publicly announced in 2021. Also, complies with the "Ethical Management Best-Practice Principles" and "Procedures for Ethical Management and Guidelines for Conduct" of Yuanta Financial Holdings.

◆ ENFORCEMENT AND IMPLEMENTATION OF ETHICAL CORPORATE MANAGEMENT

1 Ethical Corporate Management Best-Practice Principles and Procedures for Ethical Management and Guidelines for Conduct

In order to prevent dishonesty, the Company expressly prohibits bribery and accepting bribes, illegal political contributions, improper charitable donations and the offering of unreasonable gifts, hospitality or other improper benefits. In addition, all procurements are handled in accordance with the "Procedures for Ethical Management and Guidelines for Conduct" of Yuanta Financial Holdings. In addition, a disciplinary and complaint system for violations of the ethical corporate management regulations is clearly defined, and information on the title, name, date of violation, content of the violation, and handling of the violation is immediately disclosed on the Company's internal website. The Company has also established the "Operational Guidelines for Potential Risk Assessment of Dishonest Conduct," which were approved by the Chairman and publicly announced. These guidelines serve as the foundation for implementing a risk assessment mechanism for dishonest conduct, including the regular analysis and evaluation of business activities within the Company's scope of operations that present a higher risk of unethical behavior, as well as the formulation of corresponding audit plans.

2 Ethical Corporate Management of its Business Partners

To understand the ethical corporate management status of business partners, the Company requests vendors to provide the "Statement of Commitment to Integrity and Ethical Conduct" and business transaction information and check the website of the Judicial Yuan whether they have 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.

3 Ethical Corporate Management Education and Training

The Company arranges regular training courses on "Ethical Corporate Management and Legal Compliance Propaganda" every year. All employees are required to participate in the training. The pass rate of examinations was 100% in 2025. The education and training aims to ensure that employees have correct knowledge and basic judgment on relevant laws and regulations and ethical behavior. All directors of our Company have completed the anti-money laundering course to acquire the necessary knowledge in the fight against corruption, as required by the financial regulators.

4 Ethical Corporate Management Supervision and Prevention

The Company established the "Ethical Management Committee". The committee has committee members who are the department heads of the Regulatory Compliance, Risk Management, Comprehensive Planning, Management 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.

◆ WHISTLEBLOWER SYSTEM AND INVESTIGATION MECHANISM

To foster a culture of integrity and transparency, and to identify potential negative external impacts caused by the Company, Yuanta Futures has established the "Whistleblowing Policy Implementation Guidelines." A comprehensive whistleblowing mechanism has been put in place, including suggestion and complaint mailboxes, a dedicated whistleblower hotline, a toll-free customer service line, and a customer service email. These measures aim to promote sound corporate governance and uphold a culture of integrity and transparency.

Whenever unethical behavior is discovered or received from the Company's staff, the investigation unit will follow the investigation procedures and submit a written report to the supervisor, the Audit Committee and the Board of Directors. If found to be true, it will be immediately stopped or prevented, or other emergency measures will be taken in accordance with relevant regulations. After a penalty proposal is confirmed, the related units will be required to submit a written review report, and the investigation unit shall follow up the improvement until completion. The Company also specifies the confidentiality provisions related to the whistleblower system. The personnel handling the whistleblower cases are required to issue a written confidentiality statement to protect the whistleblower from being improperly dealt with as a result of the whistleblowing.

2-3 LEGAL COMPLIANCE AND INTERNAL CONTROL AND AUDIT SYSTEM

Yuanta Futures complies with the "Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets." Through the establishment of the Company's Internal Audit Department, the Company ensures compliance with applicable regulations issued by the competent authorities. The Internal Audit Department is an independent unit under the Board of Directors, headed by one supervisor, and staffed with qualified and appropriate full-time internal auditors based on the Company's scale, business conditions, and management needs. The Company's internal audit function conducts audits of the internal control system and accounting system in accordance with the annual audit plan, and regularly consolidates audit reports for submission to the Audit Committee and the Board of Directors. The results of the 2025 internal audits indicated that no violations of regulations related to ethical corporate management were identified. This system assists the Board of Directors and management in identifying and reviewing deficiencies in the internal control system, evaluating operational effectiveness and efficiency, and providing timely recommendations for improvement. It also serves as a basis for ensuring the continuous and effective implementation of the internal control system and for future review and enhancement. In addition, the Company was not subject to any corrective action or penalty imposed by the competent authorities in 2025.

To implement the risk assessment mechanism for dishonest conduct, the Company has established the "Yuanta Futures Co., Ltd. Operational Guidelines for Potential Risk Assessment of Dishonest Conduct", which was approved by the Chairman and publicly announced. According to these guidelines, the Company conducts at least one annual risk assessment of potential dishonest conduct. In 2025, the "2024 Risk Assessment Execution Report on Dishonest Conduct" was completed. Based on the nature of each unit' s business, 12 inspection items were assessed for impact level, likelihood of occurrence, control effectiveness, implementation status, and improvement measures or plans. The consolidated risk self-assessment results of all units were illustrated in a risk distribution map, indicating that the Company's overall potential risk level for 2024 remained "low risk." Each unit has corresponding prevention and control mechanisms in place for potential risk events. Furthermore, the Company's Audit Department conducted a "Corruption Risk Assessment" across its operational sites, confirming that no corruption incidents occurred at 245 operational sites in Taiwan during 2025.

In response to regulatory requirements, the Company has incorporated sustainability information management into its internal control system and annual audit priorities. At the same time, the Sustainable Development Committee was established in 2025, progressively integrating sustainability principles into business strategy and operational management, balancing business development with corporate sustainability, and advancing toward the goal of becoming a benchmark for sustainable development in the futures industry.

◆ OPERATION OF INTERNAL AUDIT ORGANIZATION

1	Preparation and Implementation of the Annual Audit Plan	The annual audit plan is prepared in accordance with the internal audit implementation rules and risk assessment results, and reported to the Board of Directors for approval. The plan is executed in accordance with the relevant regulations of the competent authorities, and the audit report and related information are kept for at least five years
2	Report to the Board of Directors and Audit Committee	The audit supervisor shall attend the Board of Directors' meeting and the Audit Committee's meeting to report on the execution of auditing. The audit report and tracking report shall be submitted to the independent directors for review after presented. If the audit reveals any major violations or significant losses, the audit report shall be presented immediately and reported to the independent directors and the competent authorities.
3	Self-inspection and Supervision of the Internal Control System	The internal audit unit shall supervise each unit and subsidiary to conduct self-assessment at least once a year. The results after review, together with the internal control deficiencies and anomalies found by the audit unit, will serve as the main basis for the Board of Directors and the President to evaluate the effectiveness of internal control and issue a statement, which shall be kept for at least five years
4	Improvement and Tracking of Deficiencies	Internal control deficiencies and anomalies are disclosed in the audit report and are tracked after the report is reviewed to confirm that appropriate improvement measures have been taken by the relevant units. All matters corrected or penalized by the competent authorities are considered as significant events internally, which will be confirmed in detail immediately and corrected actively. In fiscal 2025, there was one violation of the internal control system. Details of the cases and corresponding corrective actions are provided in the table below.

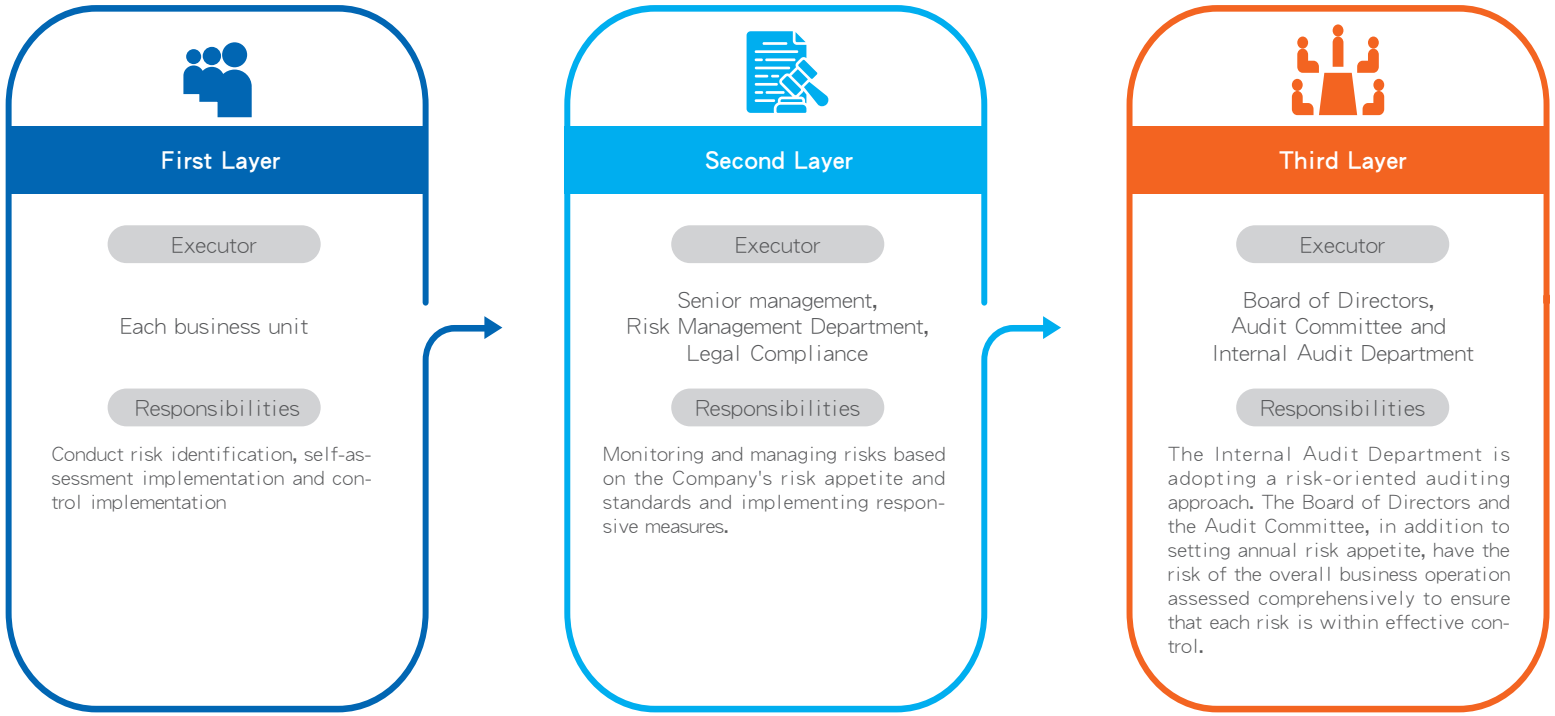
Year	Reason for Violation	Improvement Measures
2025	A privileged account for co-located host equipment was requested and used without the password being changed after use, and the password had not been changed for more than three months; in addition, in the semi-annual.	The password for the co-located host equipment account has been changed and the account access review has been re-performed. Mechanisms have been established for retrieving accounts and changing passwords on a regular quarterly basis and for inventorying account access rights on a regular semi-annual basis.

2-4 RISK MANAGEMENT

The risk management of the Company is pursued in accordance with the Risk Management Policy of Yuanta Financial Holdings and the requirements of "Risk Management Best-Practice Principles For Futures Commission Merchants" of Taiwan Futures Exchange. The Company has established a "Risk Management Policy" to regulate the purpose, scope, authority and responsibility of risk management and the system to be adopted, serving as the basis for the Company's risk management. Chapter 5 of this report discusses climate risk management.

◆ RISK MANAGEMENT ORGANIZATION STRUCTURE

The risk management organization of the Company includes the Board of Directors, Audit Committee, Internal Audit Department, Risk Management Department, Legal Compliance Department, and all business units to collective form three layers in risk management.



2-5 INVESTOR RELATIONS MAINTENANCE

In order to keep investors and all stakeholders informed of Yuanta Futures' operations, and enable stakeholders to seek policy and practical advice on the organization's responsible business practices, and to raise concerns about the organization's business practices, the Company has set up on its official website a special section to inform shareholder about financial and stock information, as well as established a contact window and a suggestion and complaint box to facilitate communication between the Company and its stakeholders.

◆ THE ITEMS FOR INVESTOR RELATIONS MAINTENANCE ARE AS FOLLOWS：

Item	Description
Establish free customer service hotline： 0800-333-338 Customer service mailbox： futures@yuanta.com Reporting Mailbox： auditcomm.fut@yuanta.com	Stakeholders can make suggestions and raise concerns through this channel
A “Shareholders' Section” is available on the Company's	Information on shareholders' meeting, stock price, ex-rights and ex-dividend over previous years, credit rating, major company information and investors’ conferences
An “Investors' Section” is available on the Company's website	It contains answers to questions, compiles FAQs from investors, discloses communication with stakeholders, and provides contact information for stock agents.
Information disclosure on the MOPS	Provides information on investor rights and interests, such as stock allotments and dividends payments, etc.
A contact window for investors (shareholders) is available on the Company's website： Investor contact：YF_BOD@yuanta.com Spokesperson：KarenYuan@yuanta.com	A spokesperson and an acting spokesperson serve as a channel of communication between the Company and stakeholders. Shareholders and investors can provide their opinions through the channel to facilitate adequate communication between the Company and stakeholders.

2-6 TAX GOVERNANCE

◆ TAX GOVERNANCE POLICY

In order to implement tax compliance, effectively manage tax risks, strengthen and implement corporate sustainable development goals, and enhance shareholder value, the Company follows Yuanta Financial Holding's "Tax Governance Policy" to improve its tax management system and tax governance culture. Relevant tax planning and periodic reporting as well as the preparation and reporting of financial statements are performed by the Accounting Department.

Yuanta Futures implements tax governance in accordance with the following principles：

Principles of the Policy	Description
Legal compliance	Comply with the tax regulations and the spirit of legislation of each country in which we operate, complete tax reporting and tax payment in accordance with the law, and fulfill our social responsibility as a taxpayer.
Tax structure	We will not use tax avoidance as the main or sole purpose of rent planning and organizational restructuring.
Economic substance	1. When conducting tax planning, we will not intentionally transfer profits or organizational structure to the blacklisted countries listed by the Organization for Economic Cooperation and Development (OECD) and the European Union, or countries or regions with low tax burden outside overseas (e.g., tax havens) as defined by domestic Income Tax Act. 2. Transactions with related parties must comply with the principles of regular transactions. Pricing should reflect the economic substance in compliance with the OECD and the laws and regulations of the countries in which we operate to prepare relevant instruments for transfer pricing in order to comply with the transfer pricing regulations.
Risk control and management	1. Tax planning should be in accordance with the principles of sustainable development and risk management in order to protect shareholders' rights and interests and create shareholder value. 2. In order to reduce the domestic and overseas tax risks of the Company and its subsidiaries, the Accounting Department should actively participate in the discussion of important or special tax issues between the Company and its subsidiaries due to differences in tax opinions and planning. If necessary, external professional advisors may be appointed or consulted to effectively manage tax risks and assess countermeasures.
Active communication	Maintain good communication with tax authorities in a timely manner and provide practical views and experience in the industry to help improve the tax environment and the national tax system.
Information transparency	Comply with financial reporting standards and other relevant laws and regulations and regularly disclose tax information in financial reports and other public information to ensure that tax information is transparent and open.
Talent cultivation	Continue to cultivate and strengthen tax professional functions through education and training and participation in various tax seminars.

◆TAX AUDIT AND RISK MANAGEMENT

Through the Accounting Department and PwC Taiwan, Yuanta Futures ensures the proper operation of taxation. In order to manage tax risks, the Accounting Department of the Company performs a regular annual internal control self-assessment and two regular annual legal compliance self-audits to ensure that all taxes are reported and paid in accordance with regulations. Tax information is ultimately disclosed in the financial statements, which are certified by the accounting firm, through the official website, annual report and other various public channels. The Company has also set up a whistleblower mailbox and hotline to enable stakeholders to report tax irregularities or unethical matters.

◆STAKEHOLDER COMMUNICATION AND MANAGEMENT OF TAX ISSUES

Yuanta Futures' direct influence on tax compliance is the governmental authorities. The Company's tax reporting and payment operations are conducted in accordance with the law. If there is any uncertainty about the applicable tax laws and regulations, we will take initiative to contact the government authorities to discuss the appropriate actions. In the event of a tax audit, we will prepare relevant information for auditing immediately upon receipt of notification.

◆NET INCOME, NET INCOME BEFORE TAX, AND INCOME TAX PAYMENT FOR 2025 BY TAX JURISDICTION

Unit : NTD thousand, person

Tax Jurisdiction	Unrelated Party's Revenue	Related Party's Revenue	The Sum of Revenue	Profit before tax	Paid Tax	Current tax	Number of employees	Tangible asset
Yuanta Futures Co., Ltd	6,627,603	1,126,088	7,753,691	3,254,794	633,242	599,349	407	889,466
Yuanta Futures (HK) Co. , LTD.	236,877	36,929	273,806	54,361	0	1,375	29	15,525
Yuanta Futures (SGP) Co. , LTD	71,765	27,355	99,120	(81,430)	0	0	12	32,338

Details : The difference between "income tax paid" and "current income tax" is mainly due to the tax exempt income in accordance with tax regulations and underestimation of income tax in prior years.

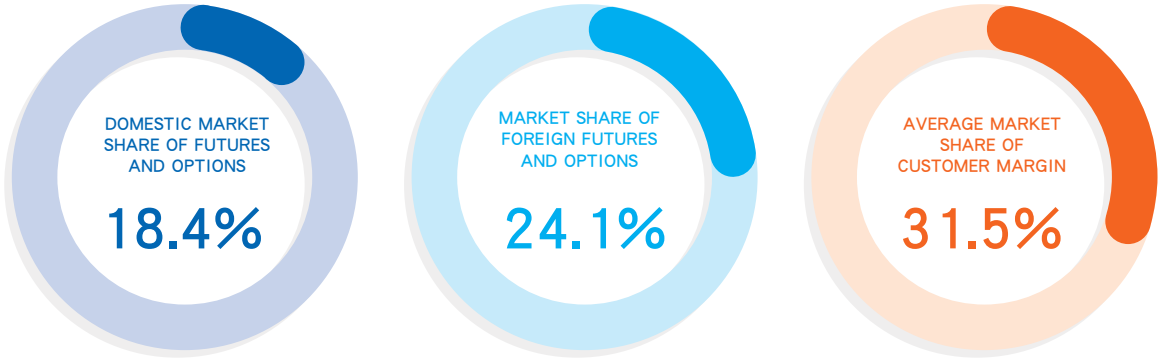
Note : The number of employees shown in this table includes employees who were previously employed in 2025, so it may differ slightly from the total number of employees as of December 31, 2025, which is 397.



03

INNOVATIVE GOODS AND MULTIPLE SERVICES

Yuanta Futures has long been committed to the futures industry. It is the largest futures dealer in Taiwan and the leading brand in Taiwan's futures industry, with outstanding performance in all financial and business indicators significantly ahead of the industry. In addition to continuing to strengthen its management, Yuanta Futures continues to refine its R&D and innovation capabilities in order to provide customers with a more diversified investment horizon and professional services, offering traders the best futures trading experience.



TOP 1

NET INCOME	NT$2.66 billion
CAPITAL	NT$3.2 billion
AFTER-TAX EPS	NT$8.45
NET WORTH	NT$19.44 billion
BOOK VALUE PER SHARE (BVPS)	NT$60.8

3-1 FINANCIAL INNOVATION PRODUCTS AND SERVICES

Yuanta Futures is a futures commission merchant specializing in brokerage, proprietary trading, consultation, and leverage transaction merchant ; it offers various services including hedging, speculation, arbitrage etc. As a result, the Company has no significant upstream or downstream supply chain relationships. The more common types of business partners or suppliers include information, renovation, office equipment, consulting (labor), stationery printing, media advertising, gifts, and others.

▼ Yuanta Futures Co., Ltd. principal business activities :

Futures brokerage

Consigned trading of futures and options contracts over Taiwan Futures Exchange. Consigned trading of U.S., Singaporean, Japanese, Hong Kong, and European futures and options.

Proprietary futures trading

The company engages in domestic and international futures trading and domestic and international securities trading as announced by regulatory authorities, using its own funds. It also conducts business activities in proprietary information system research and development.

Futures consultation

Provides analyses, opinions, or recommendations on futures trading, futures trust funds, the underlying, or any other instruments or investments approved by the competent authority. Makes futures related publications. Organizes futures related seminars and campaigns.

Leverage Transaction Merchants

The company is authorized to engage in a variety of leveraged margin contract trading businesses, including forward contracts, options, swaps, and contracts for difference (CFDs). At present, the company has introduced products such as foreign exchange margin trading and structured financial products.

DIGITAL FINANCE

Yuanta Futures has been actively building a digital financial environment in recent years, and has set up the Digital Finance Department responsible for the planning and integration of related businesses. In response to environmental protection, we continue to promote various online financial services. Traders can open accounts, change information, sign, and apply for e-statements through the online services provided by Yuanta's official website in one step, fulfilling Yuanta Futures' commitment to environmental sustainability.

Online account opening statistics for the past three years (including digital channels such as Internet and mobile apps)

Year	Annual number of new accounts (online)	Annual number of new accounts (physical + online)	Percentage (%)
2023	6,342	11,688	54.26%
2024	10,739	15,241	70.46%
2025	10,412	13,498	77.13%

Statistics of new accounts using e-statements in the past three years

Year	Annual number of new accounts using e-statements	Annual number of new accounts	Percentage (%)
2023	11,385	11,688	97.41%
2024	14,997	15,241	98.40%
2025	13,351	13,498	98.91%

Yuanta Futures continues to refine its digital financial services by addressing customers' needs across various usage scenarios, providing more comprehensive online services. In addition to building the next-generation electronic trading platform, "iTRADER Trading Expert," to offer investors a more diverse selection of trading tools, the Company also continues to optimize internal operating processes through systems such as "RPA Process Automation," "Digital Warehousing," and "Unmanned Office," helping improve overall operational efficiency. Furthermore, in 2025, in coordination with Yuanta Financial Holdings, the Company promoted the cross-subsidiary "Yuanta Fast-ID" rapid account opening function, effectively shortening the account opening process, enhancing the user experience, and increasing overall customer satisfaction.

◆ OPTICAL CHARACTER RECOGNITION (OCR)

To provide streamlined and efficient account opening experience and reduce operational difficulties for customers with dementia and elderly customers, the Company has introduced Optical Character Recognition (OCR) functionality in the account opening process. Through computer scanning systems that recognize text in images and automatically input formatted data, we reduce the tedious steps of manual input during the account opening process, effectively lowering the error rate of manual data entry and improving customer account opening operational efficiency.

◆ ROBOTIC PROCESS AUTOMATION (RPA)

Yuanta Futures has implemented Robotic Process Automation (RPA) in its account opening process. This technology helps account opening personnel quickly verify the error rate between account opening operations and manual data entry. As a result, the review speed of online account opening cases is accelerated, leading to improved overall service satisfaction and operational efficiency.

◆ CRM CUSTOMER SERVICE

Yuanta Futures develops an in-depth understanding of customers' trading habits and has built data analytics modules to provide comprehensive trading services for everyone from beginners to professional investors. The Company also captures opportunities arising from market volatility, reminding customers of position risks in a timely manner and effectively addressing existing customer pain points. In addition, the Company has helped shorten customer application processes, reducing time costs by a total of 60% and delivering the best customer service experience.

◆ YUANTA FIDO DATA SHARING AND IDENTITY AUTHENTICATION SYSTEM

To enhance the convenience and security of financial transactions and in response to the Financial Supervisory Commission's "Digital Identity Authentication and Authorization" initiatives, Yuanta Futures pioneered the introduction of the "Yuanta FIDO Data Sharing and Identity Authentication System" in 2023. By using biometric authentication technology to replace traditional password input methods, we effectively protect customer privacy. "Automated data import for account opening" completes account opening operations and personal data authorization through identity verification, eliminating the cumbersome process of filling out extensive account opening information, reducing the risks and inconveniences associated with data input errors, and accelerating account opening operational efficiency. "Yuanta Group Asset Overview" achieves one-stop personal asset management, allowing customers to monitor all asset statuses without switching platforms after logging into designated Yuanta Financial Holdings platforms. Overall, multiple steps were eliminated from the account opening process, improving efficiency by 85%.

*Designated platforms include Yuanta Mobile Banking App, Yuanta Securities Mr. Investment App, Yuanta Life iCare App, Mr. Yuanta Fund's Apps.



◆ AI STRATEGY WAR ROOM

Yuanta Futures has constructed an "AI Strategy War Room" data dashboard that combines online and offline network services, providing applications including "Real-time Performance Tracking," "Risk Warning Monitoring," "Customer Service Data Analysis," "Market Volatility Monitoring," "Operational Equipment Load Monitoring," and "Operational Energy Consumption and Carbon Emission Data," allowing customers to enjoy a comprehensive digital financial service experience.

◆ DIGITAL TRADING PLATFORM

To create a complete intelligent service ecosystem, Yuanta Futures leverages its independent development capabilities to build diversified financial management platforms, enabling investors to utilize various order strategies and trading auxiliary tools, reducing trading noise and enabling real-time market monitoring.

Mr. Investment

- Provides comprehensive market quotes covering Taiwan equities, funds, overseas bonds, and domestic and overseas futures and options.

Leverage Global Winners

- Intuitive charting interface with built-in margin calculation and pre-set stop-loss and take-profit orders.

Futures Wizard

- Industry-first technical charts + order placement interface
- Multiple order placement methods including lightning orders

iTRADER Trading Expert

- Supports all market futures and options products
- Customizable order window combinations
- Cloud intelligence, chart drawing, strategy orders

eWinner

- A dedicated all-product trading platform with automatic module updates, providing real-time order placement and data inquiry functions.

3-2 RELATED TECHNOLOGICAL RESEARCH AND DEVELOPMENT

The Yuanta Futures Consulting Department is dedicated to trading strategy research and the provision of advisory services, helping investors establish systematic trading mechanisms, enhancing overall platform performance and services, and managing and reducing trading risks in advance.

In addition, the Company's IT department is staffed with a number of R&D personnel whose research and development work is divided according to their professional fields to enhance performance and services. Most members hold master's and bachelor's degrees from IT-related programs and have many years of R&D experience in the financial sector. The following technology and product developments were completed in 2025:

◆ THE TAIFEX 2025 INFORMATION PROJECT

To support the internal system modifications and functional expansions required by TAIFEX's Information Project, Yuanta Futures completed development of its front-office trading system and back-office accounting system in 2025, implementing new mechanisms including the inclusion of financial futures and mini financial futures in after-hours trading, as well as the launch of Friday-settled options products, enhancing trading efficiency and transparency.

◆ TABLET-BASED FUTURES ACCOUNT OPENING SYSTEM

Yuanta Futures actively provides customers with diverse account opening services and channels. In addition to its ongoing paperless and process automation policies, in 2025 the Company built a tablet-based futures account opening system to replace existing manual over-the-counter processing, saving overall service time and streamlining procedures.

◆ EXPANSION OF ONLINE ACCOUNT OPENING SERVICES

Yuanta Futures actively provides customers with diverse account opening services and channels. In 2025, in addition to adding an online securities account opening function, the Company completed optimization of its English-language official website and introduced the application of the EDDA online identity verification mechanism, providing customers with a faster and more convenient online account opening experience.

◆ CLOUD BACKUP FOR CORE SYSTEMS

In view of the frequency of cyber threat incidents in recent years, Yuanta Futures completed the migration of its core system offline backups to a cloud backup mechanism in 2025. This ensures that in the event of an attack, an isolated and secure copy of data is immediately available to restore system operations in a timely manner, achieving the goal of uninterrupted operations.



3-3 CUSTOMER SERVICE AND RIGHTS PROTECTION

From the perspective of customer needs, our Company has been continuously implementing the BS 10012:2017 Personal Information Management System (PIMS) international standard certification since 2021 to ensure the full protection of customer rights. In addition, we are dedicated to customer relationship management, providing considerate and customized services.



THE PRINCIPLE OF TREATING CLIENTS FAIRLY

Yuanta Futures adheres to the spirit of providing "thoughtful services" and implements the principle of treating clients fairly with customer experience as the core. The Company has established a Treating Clients Fairly Committee, under which there are Customer Rights Care Groups, Consumer Dispute Resolution Groups, and Administrative Groups that hold quarterly meetings to optimize various initiatives and strengthen consumer rights protection.

In the scope of our business, we are enhancing friendly financial services for all demographics. In 2023, we officially launched measures such as friendly service counters and gender-friendly restrooms. At the same time, in line with the Financial Supervisory Commission's promotion of the "Accessible Communication Environment Action Plan," our company has implemented accessibility codes for our website and became the first futures commission merchant to receive the "AA Level Certification Stamp," providing a friendly financial website experience for people with disabilities, further promoting a more humane and convenient financial service environment.

Official Website Services

- Establishing a Financially Friendly Service Section
- Completely Revamped Anti-Fraud Section
- Added anti-fraud warnings, information websites, and case studies to protect customers with important anti-fraud information

Accessible facilities

- All five branch offices are equipped with accessible facilities and are staffed by dedicated personnel.
- Special production manuals for setting up accounts for vulnerable and special customers to enhance internal staff education and training

Elderly Care Services

- The account opening counter provides magnifying glasses and reading glasses.
- Obtaining the government-issued certification badge for Dementia-Friendly Financial Institutions
- The Company has built an accessible website featuring text enlargement and high-contrast display functions to meet the needs of visually impaired and elderly users, reducing difficulties in using online applications and realizing financial inclusion and friendly financial services.

CLIENT RISK MANAGEMENT

Yuanta Futures places great importance on the risk management of client transactions and is committed to attentive client care. We strive to ensure compliance and efficiency in operational processes by leveraging our accumulated risk management expertise. By strengthening intraday risk control and enhancing the client experience, we aim to safeguard client interests. Through a rigorous and reliable risk management framework. In addition to establishing a correct understanding of the risks of trading options on futures contract beforehand, the Company provides technical tools for risk control after positions are entered, and finally assists in building trading models with ideal returns.

Risk Management Framework

Expanding the scope of oversight to align with enterprise risk.



Risk Management System

Enhancing digital capabilities for comprehensive risk surveillance.

Market Risk Alerts

Monitoring potential risks to safeguard both internal and external security.

At the same time, to ensure the completeness, effectiveness, and reasonableness of the Company's risk management, the "Yuanta Futures Risk Management Policy" has been formulated as the highest guiding principle for the Company's risk management.

The Company's risk management system covers the Company's major operating risks, including financial risk, operational risk, legal and compliance risk, and climate change risk. Subsidiaries shall establish risk management systems appropriate to their business portfolios, business scale, and capital size in accordance with the Company's risk management policy and the regulations of their local competent authorities, in order to effectively manage the various risks they undertake.

Risk Management Policy

Business Risk Management Procedures

Financial Risk

- Market Risk
- Financial Transaction Credit Risk
- Market Liquidity Risk
- Funding Liquidity Risk
- Large Exposure Management
- Operational Risk
- Capital Adequacy Risk

Operating Risk

- Information Security Risk
- Human Resources Risk
- Integrity Management Risk
- Reputational Risk
- Strategic Risk
- Emerging Risk

Legal and Compliance Risk

- Legal Compliance Risk
- Legal Risk
- Money Laundering and Terrorism Financing Risk

Climate Change Risk

- Climate Risk in Investments
- Climate Risk in Own Operations

CUSTOMER SATISFACTION

Yuanta Futures strives to protect the rights and interests of customers. We take a positive attitude in facing customer problems and understanding the causes of customer complaints. Through horizontal contact and communication between departments, we track and evaluate whether customers are satisfied with the results of customer complaints. In addition, through education and training courses and daily guidance from supervisors, we strengthen our communication and handling skills in dealing with customers. Since 2021, Yuanta Futures has been annually obtaining the service verification for the "ISO 10002:2018 Customer Grievance Management System," making it the first futures broker in Taiwan to pass this verification. We expect to strengthen the analysis of the causes of customer complaints through independent third-party certification, improve customer satisfaction in all aspects, and demonstrate a high standard of service quality.

Table : Customer Satisfaction

Satisfaction Survey	2023 Goals (%)	2023 (%)	2024 Goals (%)	2024 (%)	2025 Goals (%)	2025 (%)
Yuanta Futures Customer Satisfaction	95.50	97.63	96.00	98.28	96.00	97.74

PERSONAL INFORMATION PROTECTION POLICY

Yuanta Futures was certified by the International Assurance Standard "BS10012 (PIMS) :2017 Personal Information Management System" in 2022 for the first time. In order to implement personal information protection, Yuanta Futures has established six operating rules and regulations related to "personal information protection", including "Personal Data Protection Policy", "Personal Data Management Measures", "Personal Data Management Regulations", "Personal Data Protection Team Implementation and Operation Regulations", "Procedures for the Exercise of the Personal Data Rights" and "Procedures for the Establishment of a Personal Data Inventory and Impact Analysis". In addition, the Company has set up a cross-unit "Personal Data Protection Team" as a dedicated unit to conduct annual risk assessments of the security of personnel information and personal data inventory to protect customers' rights and interests and fulfill our duty to protect the confidentiality of customers' personal information, providing stable, safe and convenient financial services.

INFORMATION SECURITY MANAGEMENT MECHANISM

Yuanta Futures has established an "Information Security Policy" as the basis for establishing an information security management system and setting up related information security management regulations and procedures. In order to achieve the objectives of "protecting the security of information assets" and "maintaining business continuity for sustainable operation", The ISO 27001 : 2022 Information Security Management System (ISMS) certification was also completed in 2025 and has been certified by the British Standards Institution (BSI) to comprehensively strengthen the Company's information security and personal data protection mechanism to protect the rights and interests of customers' transactions. There were no data breaches for Yuanta Futures in 2025. The percentage of data breaches involving personally identifiable information out of total data breaches for Yuanta Futures was 0% in 2025. There were no holders affected by data breaches for Yuanta Futures in 2025.

The rise of internet technologies has transformed traditional transaction and service models. In light of the increasing cybersecurity threats, the evolving nature of risks and attacks brought by technological advancements, and the need to respond to ever-changing external attack methods, the challenges of information protection have also escalated. Our company regularly reviews and updates its information security management policies to comply with regulations and the latest cybersecurity standards. We also strengthen employees' competencies and crisis awareness through cybersecurity threat response exercises, backup drills, and training programs, thereby enhancing our information security management framework.

To further strengthen cybersecurity, the following initiatives have been planned:

1. Cloud EDR/MDR Project

To strengthen the Group's endpoint security protection and threat detection capabilities in response to new forms of cyberattacks, the Company has planned a cloud-based EDR solution, paired with MDR for coordinated monitoring and technical support, to enhance overall defense capabilities.

2. Zero Trust Architecture Implementation

To deepen information security governance and strengthen information security protection capacity, the Company completed its zero trust architecture implementation planning in accordance with the FSC's "Reference Guidelines for the Adoption of Zero Trust Architecture in the Financial Industry" and formulated a phased implementation plan based on the enhancement recommendations. With high-risk environments as priority implementation targets, the Company is progressively establishing more rigorous mechanisms for identity verification, device authentication, network access, application authorization control, and data protection, with a view to gradually advancing and strengthening its information security governance mechanisms and raising its overall level of information security defense.

3. Breach and Attack Simulation (BAS)

To strengthen information security monitoring and protection mechanisms against hacker attacks, and in accordance with the implementation measures of the FSC's "Financial Cyber Security Action Plan 2.0," the Company has planned to use Breach and Attack Simulation (BAS) to test the effectiveness of its information security monitoring and protection mechanisms using real-world hacker attack techniques.

In addition to establishing independent information security protection measures, the Company also participates in Taiwan's Financial Information Sharing and Analysis Center (F-ISAC), utilizing intelligence provided by this organization for internal information security awareness and integrating threat intelligence by importing announced Indicators of Compromise (IOCs) into relevant information security defense equipment to achieve joint defense synergy. In recent years, responding to competent authorities' relaxation of cloud service usage, information security personnel continue to advance by participating in international information security certification courses. As of December 2025, our information security/information officers have collectively obtained 22 internationally recognized information security certifications approved by competent authorities.



ANTI-FRAUD EDUCATION

With the increasing prevalence of financial fraud cases and increasingly diverse illegal methods, to effectively protect customers from harm and create a safer and more convenient financial environment, Yuanta Futures launched a completely revamped anti-fraud section on its official website in 2024, adding anti-fraud warnings and providing the latest anti-fraud knowledge, anti-fraud information website and fraud case awareness campaigns, from institutions such as the Taiwan Futures Exchange, Taiwan Stock Exchange, and National Police Agency. This helps customers comprehensively understand fraud methods, strengthen prevention awareness, and through case studies, enables customers to effectively respond to and handle fraud incidents when encountering suspicious situations.



MARKETING AND LABELING

To protect the rights and interests of customers, the Company's marketing and labeling measures are in accordance with the "Regulations on Advertising and Sales Promotion Activities in the Financial Services Industry" of the FSC, the "Regulations on Advertising and Sales Promotion Activities of Members and Futures Trust Fund Sales Organization" of the Chinese National Futures Association, and the "Management Guidelines on Advertising and Sales Promotion Activities" of the Company. The Company's products, marketing activities and services shall avoid misleading financial consumers' judgment, shall clearly indicate relevant information on the MOPS and publications, and shall comply with the principles of ethical conduct, ethical principals, and the spirit of protecting financial consumers to maintain fair futures trading. The Company provides relevant information or explanations on its official website and marketing publications and complies with the 22 information and disclosure principles and 3 reasonable explanation rules in accordance with the Company's "Management Guidelines on Advertising and Sales Promotion Activities". In 2025, our Company complied with all marketing and communication regulations.

The Company also operates as a leverage trader. In accordance with the Company's "Management Guidelines on the Review of the Transaction of Leverage Contracts", the Company shall conduct a review of new products prior to the issuance, initial trading, or underwriting (hereinafter collectively referred to as pre-issuance) of new products. The review procedures of the pre-issuance of new products include :

1. The leverage trader prepares the prospectus and customer notices, and the business unit fills out the "Transaction of Leverage Contract Review and Inspection Form", which states the product nature, management strategy and business policy, and protection of customer rights and interests.
2. The executive vice president or above shall be the convener and convene the dedicated business unit, Risk Management Department, and Legal Compliance Department to form a product review team and hold a review meeting to review the product nature, protection of customer rights and interests, management strategy and business policy, risk management, and compliance with laws and regulations one by one.
3. After compiling the review opinions, it is reported to the President for approval before undertaking or authorization.

3-4 FINANCIAL INCLUSION

In response to the FSC and Yuanta Group's financial inclusion policy, the Company ensures that the disadvantaged and low-income people and micro, small and medium-sized enterprises have access to new financial services, eliminating the lack of services that are common in rural areas or among economically vulnerable groups. The core concepts of financial inclusion include the three aspects of Access, Usage, and Quality. Yuanta Futures strives to integrate the concept of financial inclusion into the development of related products and services by combining its core functions in order to achieve the long-term development goal of realizing the vision of inclusive finance.



CFD Products

In 2021, Yuanta Futures was approved by the competent authorities to launch the CFD products. In addition to the existing foreign exchange, gold and crude oil, CFD products for foreign stock index, individual stocks (foreign) and silver have been added, and the smallest-scale foreign index commodities in Taiwan have been introduced, which can be traded in the international market at a minimum of around NT$300, enabling people with mediocre incomes to participate in the bulk option market in order to achieve the long-term development goal of increasing the population's participation in the financial market.



DAX Index Futures

In 2025, Yuanta Futures launched the “European Futures Journey” campaign in partnership with Eurex to promote products including Mini-DAX, Micro-DAX, standard EURO STOXX 50, and Micro-EURO STOXX 50 futures. During the campaign period, new customers and dormant account holders who participated received gift rewards, and accumulated trading qualified them for travel fund drawings and generous prizes.



Financial Education Activities

With the increasing diversity of financial services and products, in order to reduce information asymmetry and enhance fairness and transparency, the Company has organized various financial knowledge courses through various channels in recent years, including the "National Colleges and Universities Transaction of Leverage Simulation Competition" with Fu Jen Catholic University in 2025. Through this industry-academia collaboration, the Company promotes financial literacy on campus while enhancing young students' practical financial skills.

3-5 SUSTAINABLE FINANCE

Yuanta Financial Holdings is a member of the Sustainable Leaders Alliance. Yuanta Futures, in coordination with Group policies, follows the Principles for Sustainable Finance, incorporates ESG factors into daily operations and decision-making considerations, manages social and environmental risks in investment portfolios, and supports the development of enterprises with sustainable concepts.

- The Company complies with the Group's "Sustainable Financial Guidelines" and has established the "Marketable Securities Mid and Long Term Investment Guidelines" and the "Operational Guidelines for Environmental, Social, and Corporate Governance (ESG) Investment Evaluation in the Proprietary Trade Department." ESG factors are integrated into daily operations and decision-making processes. ESG risks are assessed before investment decisions are made, and efforts are made to support proactive industries. Additionally, the Company also follows the Group's "Industry-Specific Environmental and Social Risk Management Guidelines" to regulate the avoidance of doing business with certain companies.

- In 2025, the Company's medium- and long-term investments amounted to a total of NT$634 million, of which 100% of the total investment amount was in compliance with the Principles for Sustainable Investment. In addition, the Company has no revenue from underwriting and securitization transactions due to the relevant regulations, and only provides research and analysis opinions or recommendations on transactions or investments related to projects announced or approved by the competent authorities. The Company's income from consultancy amounted to NT$8.069 million in 2025. The Company also conducts futures market-making activities, in 2025, it recorded a trading volume of 55,335 contracts and received annual incentive payments of NT$2,538 thousand.

- In March 2021, the Company exclusively launched the Europe 600 ESG futures and continued to develop the "FTSE4GOOD" on the Taiwan Futures Exchange in an effort to promote the concept of ESG sustainable investment. The turnover of "FTSE4GOOD" is 1,061 lots in 2025. This turnover represented the largest market share among the futures commission merchants for six consecutive years. This effort underscores our commitment to advancing the concept of ESG sustainable investment.

Amount and Percentage of Sustainable Investment

Investment Industry	Investment Amount (NT$100 million)	Investment Percentage
Steel	2.25	36%
Computer and Peripheral Equipment Manufacturing	3.63	57%
Electronic Components	0.46	7%
Amount of investment meeting the Principles for Sustainable Finance	**6.34**	**100%**
Total	**6.34**	**100%**



04

EMPLOYEE CARE & DEVELOPMENT

4-1 BASIC HUMAN RIGHTS PROTECTION OF EMPLOYEES AND EMPLOYMENT STRUCTURE

◆ HUMAN RIGHTS PROTECTION AND POLICIES

In order to protect and safeguard basic human rights, Yuanta Futures recognizes and supports the spirit and basic principles of human rights protection disclosed in the "Universal Declaration of Human Rights", the "United Nations Global Compact", the "International Labour Convention", and other international human rights conventions to fulfill the responsibility of respecting and protecting human rights and comply with the labor-related laws and regulations of the Company's location. Yuanta Futures' human rights policy is as follows.

◆ HUMAN RIGHTS RISK ASSESSMENT

To implement its "Human Rights Policy," the Company identifies risks associated with human rights issues and establishes corresponding management measures. The issues addressed include workplace inclusion, occupational safety and health, discrimination and sexual harassment, working hours, and labor-management disputes. The Company regularly evaluates the effectiveness of these measures and adjusts them based on the assessment results to control and mitigate risks and strengthen human rights protection across these areas.

Table : Human Rights Policy of Yuanta Futures

Protect human rights at the workplace	Prohibit forced labor, child labor, sexual harassment, and other human rights violations, and do not treat employees differently or discriminate against employees in any way due to any factor, in order to ensure the protection of employees' human rights at the workplace and provide a respectful and equal workplace environment.
Promote harmonious labor and employer relations	Care about and manage issues related to employees' labor rights and interests and implement communication between employers and employees to protect and enhance employees' rights and interests through regular labor-management meetings and providing channels for employees to propose complaints or suggestions.
Implement equal pay for equal work	Salaries are paid to employees without discrimination against gender or sexual orientation. Employees are paid the same salary for the same work or value. However, this is not the case for legitimate reasons of the lengthen of work, rewards and punishments, performance, or other reasons not based on gender or sexual orientation.
Personal information protection	Comply with laws and regulations regarding personal information protection, ensure that the collection, processing, and use of personal information comply with legal requirements, and protect and safeguard the rights and interests of personal information.
Provide a healthy and safe workplace	Comply with relevant laws and regulations on occupational safety and health, take care of the physical and mental health of employees through safety and health work, education and training, employee health checkups or health promotion activities, improve and enhance the safety and health conditions of the workplace environment, and reduce the risk of occupational disaster.
Human rights policy promotion	In addition to supporting and practicing human rights protection, we have established the "Human Rights and Environmental Sustainability Provisions" to encourage our partners, including suppliers, to work together to pay attention to human rights issues and manage relevant risks.
Support freedom of association	Respect the right of employees to form and join various clubs and organizations and provide appropriate and diversified activities to enhance the work-life balance of employees.

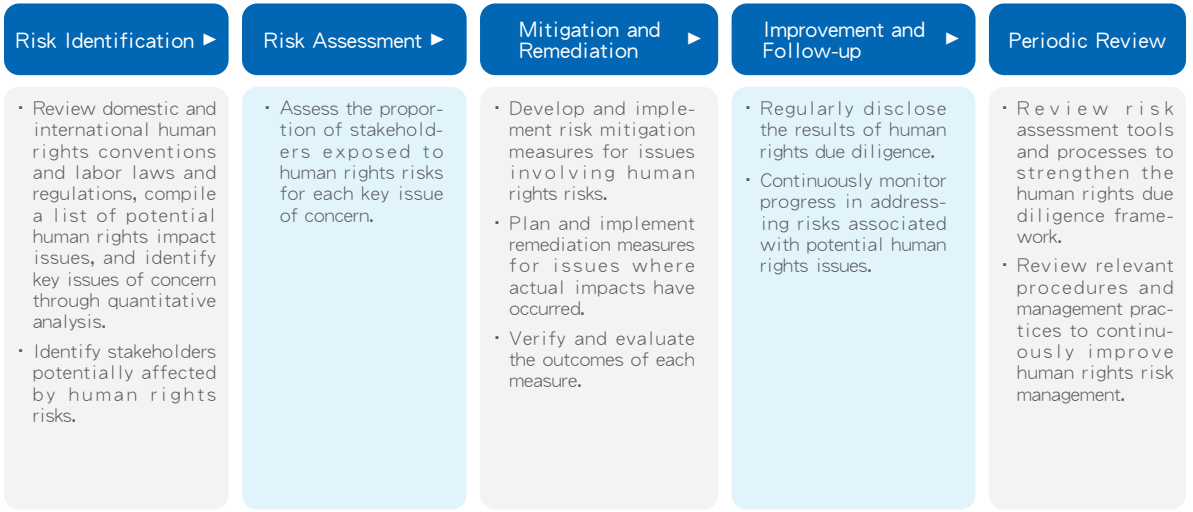
Note : Please refer to the official website of Yuanta Futures for the complete Human Rights Policy : https://www.yuantafutures.com.tw/csr_07

◆ HUMAN RIGHTS DUE DILIGENCE

The Company fully complies with and implements the "Human Rights Policy" established by Yuanta Financial Holding Co., Ltd. and participates in the Group's human rights due diligence annually. By reviewing domestic and international human rights issues and Taiwan's labor laws and regulations, the Company comprehensively identifies potential human rights risks, their sources, and affected stakeholders. Based on these findings, the Company develops and refines risk mitigation measures and follow-up monitoring mechanisms to prevent and minimize the risk of human rights violations.

HUMAN RIGHTS DUE DILIGENCE PROCESS

Scope and Stakeholders Covered: Employees, suppliers/business partners, customers, and local communities.



◆ HUMAN RIGHTS MANAGEMENT AND GENDER EQUALITY

MANAGEMENT MECHANISMS AND GRIEVANCE CHANNELS

The Company has established the "Guidelines for Workplace Sexual Harassment Prevention, Complaints, and Disciplinary Action" and the "Plan for the Prevention of Unlawful Infringement in the Performance of Duties," which apply to all full-time employees, dispatched workers, interns, and job applicants. These policies clearly define the procedures for reporting, investigating, and handling incidents of unlawful infringement, as well as the applicable remediation measures.

Employees who experience unlawful infringement may file complaints through multiple channels, including a dedicated telephone hotline, email, and the Human Resources Department. Upon receiving a complaint, the Company initiates the relevant investigation and handling procedures according to the nature of the incident, upholding the principles of timeliness, impartiality, and confidentiality. For cases involving sexual harassment, a "Sexual Harassment Complaint Handling Committee" is established in accordance with applicable requirements to investigate and address the complaint. The Company also proactively arranges referrals or provides psychological counseling and legal assistance based on the victim's physical and mental condition.

To ensure gender equality, objectivity, and impartiality, the Company requires women to account for at least half of the members of the Sexual Harassment Complaint Handling Committee. The head of the Human Resources Department serves as an ex officio member, while the remaining members are appointed or selected by the President from among current employees on a case-by-case basis. No substantiated cases of unlawful infringement in the workplace occurred at the Company in 2025.

TRAINING AND AWARENESS

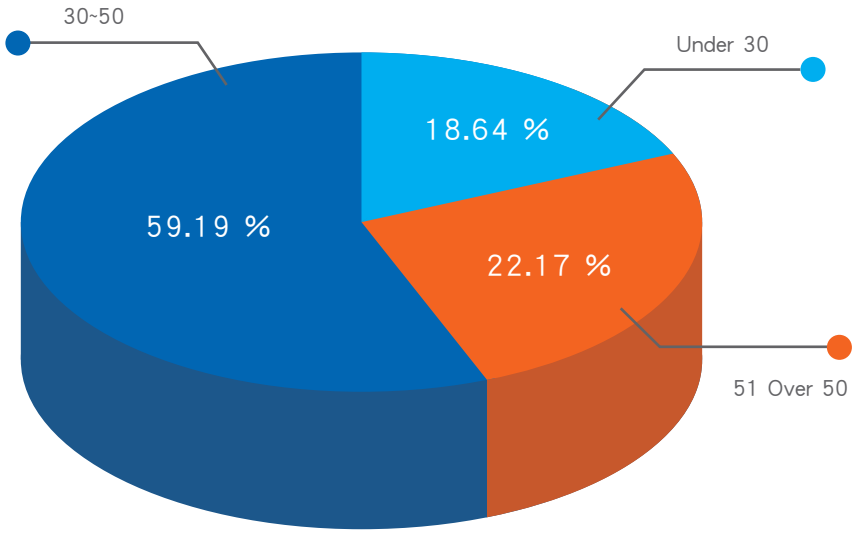
To strengthen understanding of human rights and embed these principles in daily operations and management practices, the Company conducts annual "Safe Workplace" training for all full-time employees. The training covers the prevention of unlawful infringement in the workplace, workplace bullying prevention, gender equality, sexual harassment prevention, and compliance with relevant laws and regulations. These courses help employees develop a sound understanding of these issues and enhance their risk awareness. In 2025, the training completion rate among all full-time employees reached 100%.

In addition to training, the Company continues to communicate workplace unlawful infringement prevention measures, grievance mechanisms, and information on relevant rights and interests through multiple channels, including employee gatherings, emails, and internal announcements. These efforts ensure that all employees fully understand their rights and available avenues for redress, helping to foster a safe, respectful, equitable, and supportive working environment.

◆ EMPLOYEE STRUCTURE

Yuanta Futures is based in Taiwan and recruit mainly Taiwanese employees. 100% of the senior management are Taiwanese. As of December 31, 2025, the Company had a total of 397 full-time employees. Yuanta Futures is based in Taiwan and recruit mainly Taiwanese employees. The Company strives for a balanced employee structure, with 49.6% of male employees and 50.4% of female employees, of which the percentage of middle and senior female supervisors accounted for over 40%. The Company has work rules reported lawfully and disclosed on the Company's internal website, held labor-management meetings regularly, and actively recruited handicapped and aboriginal people to show respect for internationally recognized principles of basic labor rights.

Table：The percentage of employee by age



(Note：The average age of employee is 41)

Table：The number of gender representation for managerial position and non-managerial position

	Managerial	Non-managerial
Male	38	159
Female	32	168

(Note: "Management position" refers to a position with departmental management responsibilities and the authority to make decisions on internal matters within the department.)

Table：Total number of employees classified by gender and employment contract type excluding part-time employee

	Full-time	Temporary
Male	197	0
Female	200	0

Table：Total Number of Employees by Region and Employment Contract Type (Full-time employees only, excluding interns)

	Full-time	Temporary
Taiwan	397	0
Hong Kong	0	0

Table：Total Number of Employees by Gender and Employment Type (Including full-time and part-time interns)

	Full-time	Temporary
Male	197	0
Female	*203	0

(Including 3 full-time interns)

Table : Average Age, Years of Service, and Educational Background Distribution of Full-Time Employees in 2025

Average Age And Years Of Service

Year	Number of employees	Average age	Average years of service
2024	396	40.99	10.85
2025	397	41.56	11.46

Distributions by Education (%)

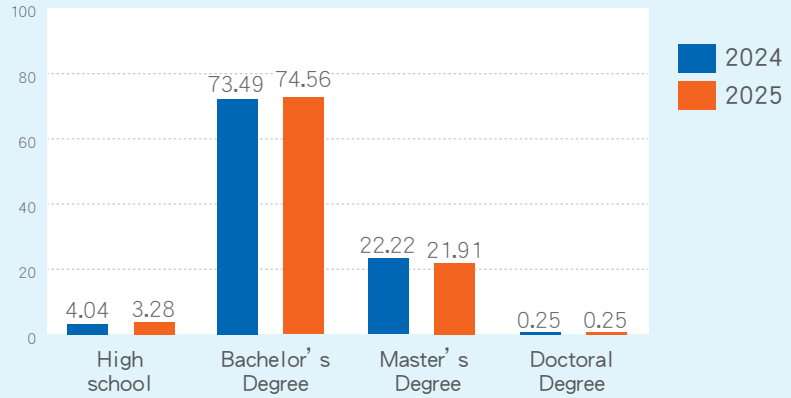


Table : Statistics of new full-time employees in 2024, 2025

Category	Male			Male Total	Female			Female Total	Total Number of New Employee Hires	Total Number of Employee	Percentage of New Employees Hires In 2025
	Under 30	30 - 50	Over 51		Under 30	30 - 50	Over 51				
Number of Employees in 2024	18	11	0	29	10	9	1	20	49	396	11.62 %
Number of Employees in 2025	9	6	1	16	16	8	1	25	41	397	9.32%

*The proportion of new hires excludes employees transferred from other Group companies (3 in 2024 and 4 in 2025).

Table : Statistics of departing full-time employees in 2024, 2025

Category	Male			Male Total	Female			Female Total	Total Number of Employee Turnover	Total Number of Employee	Percentage of Employee Turnover In 2025
	Under 30	30 - 50	Over 51		Under 30	30 - 50	Over 51				
Number of Employees in 2024	9	14	1	24	10	13	2	25	49	396	9.60%
Number of Employees in 2025	9	14	3	26	9	3	2	14	40	397	8.56%

* The employee turnover rate excludes employees transferred to other Group companies (11 in 2024 and 6 in 2025).
The employee turnover rate decreased from 9.6% in 2024 to 8.56% in 2025, a decline of 1.04 percentage points. This modest change reflects normal workforce movements, indicating a stable overall workforce and healthy employee retention.

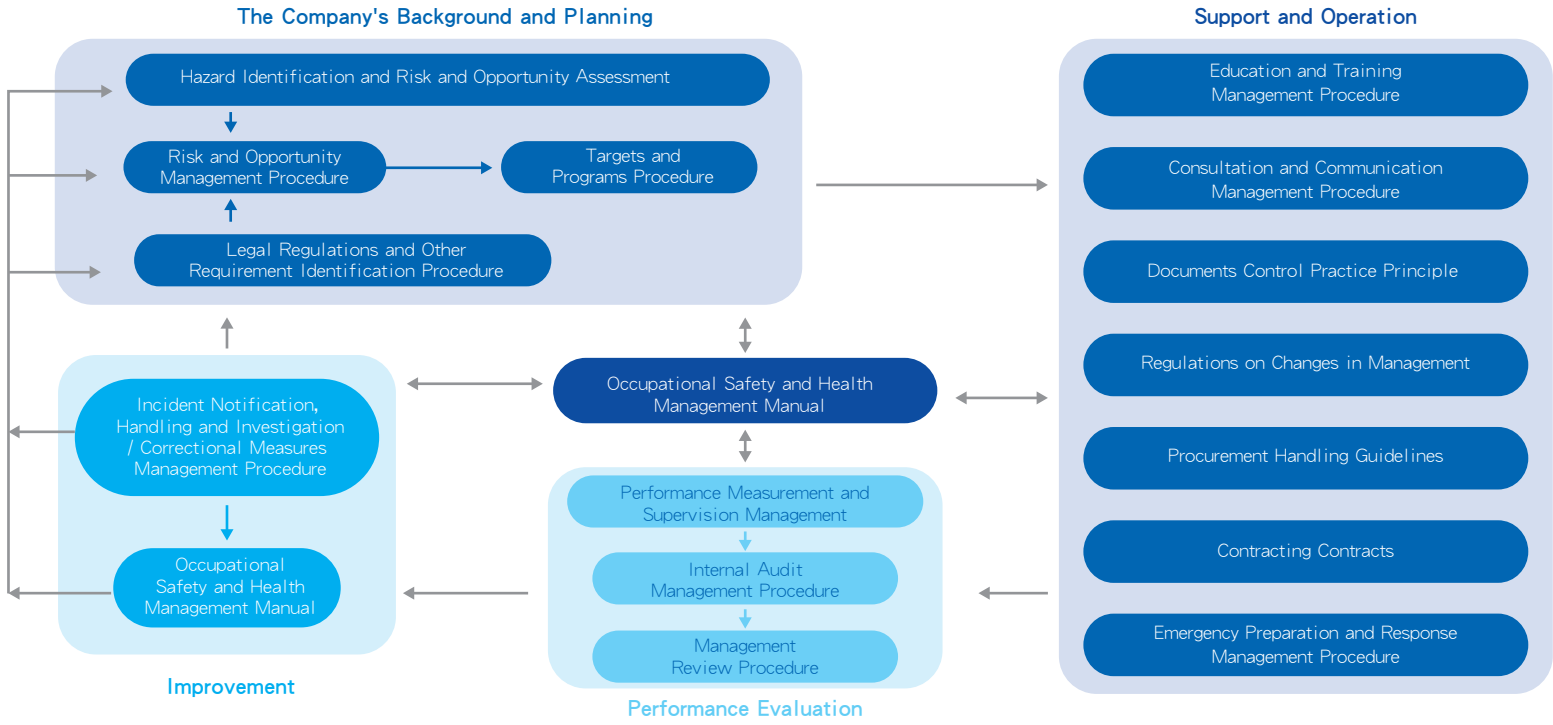
4-2 SAFE AND SECURE WORKING ENVIRONMENT AND PROTECTION

4-2-1 OCCUPATIONAL SAFETY AND HEALTH MANAGEMENT

In order to systematize the Company's occupational safety and health management activities, we have introduced the ISO 45001 : 2018 occupational safety and health management system since 2021 and have established the "Occupational Safety and Health Management Manual" and "Occupational Safety and Health Policy", as well as a Certified Administrator of Occupational Safety and Health affairs-Class A and several First Aid Personnel. In addition to complying with laws and regulations, we also ensure compliance with the Company's occupational safety and health policy, conduct regular monitoring and measurement, and continuously improve occupational safety and health performance and achieve occupational safety and health goals. The Company conducts internal and external audits and follow-up corrections every year and convenes "Annual Occupational Safety Management Review Committee Meetings". Quarterly labor-management meetings are also convened to discuss relevant occupational safety and health management issues. The meetings are attended by the employer, including the President, executive vice president, department heads, and Certified Administrator of Occupational Safety and Health affairs-Class A and several First Aid Personnel, as well as labor representatives. We will also keep records of our deliberations, coordination and recommendations on safety and health-related matters and make public announcements.

The operation of our occupational safety and health management system is summarized as follows. Except for the "Hazard Identification and Risk and Opportunity Assessment Management Procedures", which are only participated by employees, all other procedures are negotiated and communicated between employers and employees.

Figure : Flow Chart of the Occupational Safety and Health Management System Operation



4-2-2 SAFE WORKING ENVIRONMENT AND EMPLOYEE CARE SYSTEM

The Company has established the relevant Occupational Safety and Health Regulations in accordance with the Occupational Safety and Health Policy and issues of concern of the stakeholders to conduct a comprehensive occupational safety and health management. The Company also provides occupational compensation and related insurance payments to colleagues for any incident that occurred during their reporting to work and getting off work. The Company had reported zero occupational accidents in 2025, which were disclosed on the Company's internal website.

In addition to the physical work environment, our company also cares for the holistic health of employees, providing comprehensive insurance and medical care support. We are committed to creating a safe and happy corporate environment.

Table：Working environment and employee personal safety

Item	Content
Entrance Security	1. Our office building has Strict access control monitoring system during the daytime and the night time. 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	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. In accordance with the Fire Services Act, inspections of fire protection, evacuation facilities, and firefighting equipment are conducted on a monthly basis. In addition, an external qualified service provider is commissioned each year to inspect firefighting equipment and other related facilities, and to complete the required inspection reporting procedures. 3. According to the Company’s Occupational Safety and Health Work Guidelines, the filter should be replaced, and water quality tested every three months. Workplace environmental monitoring is conducted every six months, air-conditioning systems are maintained annually, and company vehicles are serviced at regular mileage intervals.
Prevention and response actions	1. The Company has formulated the “Directions for Attendance Management during Natural Disasters or Other Incidents,” Directions for Filing Material Contingencies,” and “Safety and Health Work Rules” to prepare disaster prevention and rescue precautions and accident and occupational disaster notification procedures in advance. The responsibilities and tasks of personnel at all levels of the company before and after responding to material events such as natural disasters, material injuries, and other major emergencies are clearly regulated. 2. The Company has one Level-A occupational safety and health manager, two Category B managers, two Category C managers, one nurse, and several first aid personnel assigned to maintain workplace safety and health, and to promote related services.
Physical health	1. Health Checkups : In compliance with the Occupational Safety and Health Act, the Company provides all employees with annual health examinations that exceed statutory requirements. The Company also offers health consultations and psychological assessment and counseling services provided by physicians. 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	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: An Employee Assistance Program (EAP) section has been established to offer comprehensive support for employee well-being, including psychological counseling, medical support, workplace mental wellness, caregiver consultation, and legal advice. 3. Sexual harassment prevention : Ratify the guideline on sexual harassment prevention, complaint, and discipline
Insurance and medical condolences	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 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.

※Please refer to the official website of Yuanta Futures for the complete details of work environment and employee safety related regulations.

◆ ADVANCE NOTICE PERIOD FOR MAJOR OPERATIONAL CHANGES OF THE COMPANY

In accordance with the Company's business development and to protect the rights and interests of employees, the minimum notice period for operational changes is set out in the work rules and personnel regulations in accordance with the Labor Standards Act in compliance with the five principles of adjustments as regulated by law, allowing employees a reasonable period of time to prepare for business transfer and new assignments. In the event of the occurrence of Articles 11, 13, and 16 of the Labor Standards Act, the notice period shall be conducted for collective bargaining as follows.

1. Where a worker has worked continuously for more than three months but less than one year, the notice shall be given ten days in advance.
2. Where a worker has worked continuously for more than one year but less than three years, the notice shall be given twenty days in advance.
3. Where a worker has worked continuously for more than three years, the notice shall be given thirty days in advance.
4. For employees with less than 3 months of service, matters shall be handled as agreed upon in advance by both parties.

◆ LABOR-MANAGEMENT COMMUNICATION

The Company values communication with its employees and holds regular labor-management meetings every 3 months to discuss issues related to promoting labor-management harmony with labor representatives, thereby strengthening the cooperative relationship between labor and management. The content of labor-management agreements applies to 100% of employees. In addition, to safeguard employees' employment rights, the Company complies with Article 16 of the Labor Standards Act, exercising the statutory minimum notice period for terminating employment contracts to help minimize the impact.

4-3 FOUR MAJOR TALENT PROMOTION AND CULTIVATION POLICIES : RECRUITING, EDUCATING, APPLYING, RETAINING

Yuanta Futures is committed to developing financial talent and upholds a people-oriented attitude by planning the four major talent promotion and cultivation policies of "recruiting, educating, applying, and retaining" to assist employees in continuously strengthening their professional knowledge, ability, efficiency, and quality.

4-3-1 RECRUITING : DIVERSIFIED RECRUITMENT

To support the Company's organizational development and employer branding, Yuanta Futures focused its campus engagement efforts on three areas in 2025: the "International Broker and Joint Recruitment Program," which the Company voluntarily participated in; the "Campus Financial Promotion and Internship Recruitment Program" in collaboration with universities; and the "From Campus to Workplace – Creating the Future Together with the Futures Industry" campaign, "Campus Lecture on the Future Development of the Futures Industry and Career Opportunities," organized in collaboration with the Chinese National Futures Association. With international broker recruitment as its primary recruitment focus, the Company actively visited universities to recruit talent and promote its employer brand. The Company also continued to actively engage in industry – academia collaboration with universities and successfully recruited 20 students into its internship program, further strengthening its employer brand among university students.

4-3-2 EDUCATING : TALENT DEVELOPMENT

◆ TALENT CULTIVATION GOALS

Based on the 2025 development strategy and operational objectives with the core theme of "Cross-Domain Integration, Intelligent Navigation," combined with the Group's comprehensive development strategy of "Stabilizing the Core and Driving Growth" and corporate sustainability thinking, the Company has established "Employee Education and Training Management Guidelines" to stimulate employee potential and cultivate outstanding talent by training employees to build effective career capabilities.

◆ EDUCATION AND TRAINING

To enhance employees' professional knowledge and work skills, improve work ability, efficiency, and quality to meet the Company's human resource development needs, the Company has established "Employee Education and Training Management Guidelines." The total education and training budget for 2025 was NT$1,540,205. To enhance audit professionalism, auditors participate in internal audit practical training courses and relevant seminars ; financial personnel also attend training courses organized by competent authorities and related institutions.

Yuanta Futures continues to enhance the promotion of money laundering control, compliance with laws and regulations, risk management and internal audit and internal control, financial consumer protection, fair dealing, intellectual property rights, ESG, and other related trainings with a total of 5,193 hours and 5,484 participants involved. The training on personal data protection and information security is arranged for a total of 1,647 hours and 1,321 participants involved. In addition, the cultivation of new recruits, financial professionals, corporate sustainable development, ethical corporate management, and other organizational culture value is arranged according to the Company's operation and development strategy with a total of 2,379 hours and 2,050 participants involved.

TABLE : KEY POINTS OF EMPLOYEE TRAINING AND DEVELOPMENT MANAGEMENT

Orientation
- Department guidance

Department training
- Professional skills training
- Work guidance
- Workshops
- Department meetings
- Reading group

Outsourced training
- Out-stationed training
- Internal training with hired speakers

Nurtured training
- Managerial talents nurturing program
- Internal speakers nurturing program
- Certificate examination

Foreign training
- Foreign inspection
- Foreign education
- Foreign workshop

Project training
- Intensive training for managerial staffs

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



The average number of training hours per employee per year (by gender)

Gender	2024		2025	
	Number of person	Average hour	Number of person	Average hour
Male	206	48.91	197	41.94
Female	190	45.85	200	41.95

The average number of training hours per employee per year (by employee category)

Category	2024		2025	
	Number of person	Average hour	Number of person	Average hour
Managerial position	67	53.21	70	49.52
Non-managerial position	329	46.26	327	40.33

Note : 'Management position' refers to individuals who have departmental management responsibilities and decision-making authority over internal matters within the department.

Table：The employee trainings of the company in 2025 are as follows

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	0.5~3	8,289
Reserve supervisors	Yuanta Financial Holding Co., Ltd.	Yuanta MBA -Section supervisor training	90~120	3
Department Head / Management Trainee	Yuanta Futures Co., Ltd.	Supervisor training course	4	28
Senior manager	Taiwan Securities Association	Financial Consumer Protection Act and fair treatment of customers	3	8
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	785
Senior manager	Institute for Financial Law and Crime Prevention	Sharing on Development Trends in Anti-Money Laundering and Countering the Financing of Terrorism and Practical Insider Trading Prevention	3	9
AML Supervisor/designated personnel	Chinese National Futures Association	Analysis and Case Study on AML/CFT Conference	3	11
AML Supervisor/designated personnel	Taiwan Securities Association	Anti-money laundering and countering the financing of terrorism on-job workshop	12	27
AML Supervisor/designated personnel	Securities and Futures Development Foundation	Acquisition of AML/CTF qualifications	12	4
Registered practitioners	Chinese National Futures Association	On-the-job training programs for futures salespeople (including futures/consultation/proprietary trading/leverage business)	6~15	213
Registered practitioners	Taiwan Securities Association	On-job training for securities salespersons (including general, intermediate, and advanced)	12	75
Employees from various departments	Securities and Futures Development Foundation	Mandatory orientation for new entrants (including securities and futures/consulting/and leverage)	5~18	39
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	125
IT Department	Yuanta Financial Holding Co., Ltd.	Information security functional trainin	2~3	55
Incoming employees	Yuanta Financial Holding Co., Ltd.	Training of occupational safety and health for the new entrants	3	36
Incoming employees	Yuanta Futures Co., Ltd	Education and training for new recruits/e-courses for new recruits	4~6	66

Note：These training participant figures represent unified batch training conducted by Yuanta Financial Holdings, covering new employees whose employment period ranges from October 1, 2024, to September 30, 2025, hence the difference in numbers.

Table：The employees' certification of the company in 2025 are as follows

Certificate and license name	2024	2025
Futures Practitioner, China	20	19
Futures Practitioner, Hong Kong	4	3
Futures Associated Persons	310	316
Futures Trading Analyst	23	20
Securities sales personnel	185	184
Senior securities sales personnel	115	115
Certified Securities Investment Analyst	7	6
Certified Securities Investment Trust and Consulting Professional	58	63
CFP Certified Financial Planner	0	2
CAMS Certified Anti-Money Laundering Specialists	1	1
CISA Certified Information Systems Auditor	1	1
CISSP Information Security System Expert	0	0
Trust Personnel	78	79

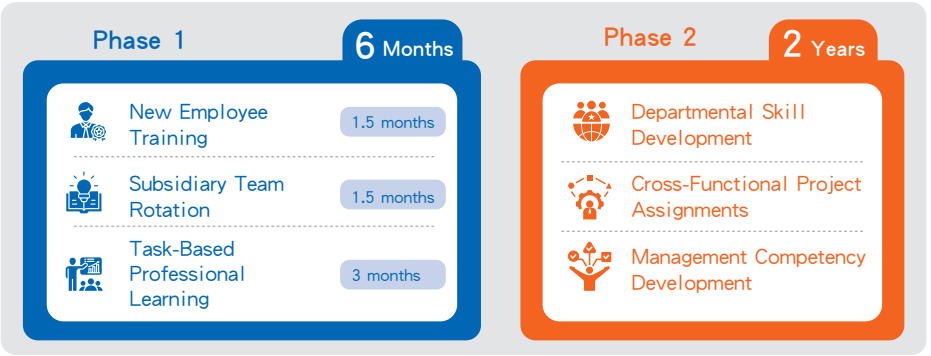
Certificate and license name	2024	2025
The bank's internal controls and internal auditors	23	24
Derivative financial instruments salespeople	35	42
Structured instruments salespersons	84	80
Investment insurance salespersons	19	20
Certified Financial Planner	26	27
Wealth management salespersons	22	23
Bills personnel	2	2
Certified Life Insurance Representative	54	57
Certified Property Insurance Representative	29	30
Enterprise Sustainability Manager	1	1
Basic ability test for sustainable development	2	75
Nursing Specialist	1	1
Domestic lawyers	1	1

Note: The number of employees passing the Sustainable Development Basic Competency Test rose significantly in 2025, mainly because the Company, in line with Yuanta Financial Holdings' system, actively encouraged employees to participate in sustainability-related courses and competency assessments to strengthen the organization's overall foundation of sustainability expertise.

◆ MANAGEMENT ASSOCIATE PROGRAM (HEREINAFTER REFERRED TO AS MA)

Following the Group's corporate system, education and training system, and career development plan, Yuanta Futures continues to conduct the MA every year to build up successful teams and quality partners. Highlights of the MA include the following :

1. Every year, the Company organizes with the Group to hold large-scale recruitment activities, such as campus career expos and job briefings.
2. We provide a total of 2.5 years of collective training for the MA, including professional training courses and rotational internships, to lead MAs to quickly capture the core business and accumulate practical experiences.
3. During the training period, the Company arranges coaches to provide professional guidance and human resources mentorship to help MAs acquire financial practices, accelerate the development of a professional managerial mindset, and invite senior executives to serve as mentors in an attempt to enhance career visibility and broaden horizons.



YUANTA FUTURES 3O TRAINING MODEL

Upholding the Group's original intention of nurturing talent and meeting the needs of financial industry and Group business development, Yuanta Futures cultivates financial talent. This year, with a foundation in Taiwan and vision toward Asia-Pacific, the Company expanded cultivation of "cross-border international futures talent," creating an innovative 3O training model (Online Training, Offline Training, On-the-job Training) to build employees' DNA (Develop New Ability).

ONLINE TRAINING

- **Professional Academy**
  Regulatory Finance Courses, General Finance Education, Advanced Financial Training, Annual Special Topic Seminars
- **Management Academy**
  Management Competency Courses, Leadership Development, Communication Skills Articles
- **Lifestyle Academy**
  Health Knowledge, Socio-Political and Economic Insights

OFFLINE TRAINING

- **Management Academy**
  Leadership Summit Forum, Executive Leadership Training, Mid-Level Manager Training, Frontline Supervisor Training
- **Professional Academy**
  Financial Regulatory Courses, General Finance Curriculum, Professional Finance Training, Annual Thematic Seminars
- **Certification Academy**
  License Preparation Programs, External Training Courses
- **Lifestyle Academy**
  Lifestyle Seminars, Health Seminars, Art & Culture Lectures

ON-THE-JOB TRAINING

- **Mentorship Program**
  Colleagues learn on the job under the guidance of senior employees to deepen professional capabilities.
- **Job Rotation**
  Internal job rotation within departments or across the group to broaden work scope and experience.
- **Global Exchange**
  International exchanges through business trips and cross-border training to expand global perspectives.

SUCCESSION LEADERSHIP COMMUNICATION AND DEVELOPMENT

To enhance new-generation functional productivity, the Company plans to reshape management mindset and learn new management skills. For newly promoted business supervisors, the Company provides three major directions for job competency, strengthening their sense of identification, mindset, and skills, enabling them to quickly master job duties, avoid risks, and achieve goals, helping supervisors lead with confidence and drive colleagues to achieve performance.

IMPLEMENTATION OF SUCCESSORS TRAINING

Based on key talent's professional qualifications, work performance, development potential, corporate core value inclination, and personal development willingness, the Company arranges to have department deputy supervisors participate in the Company's important meetings regularly and serve as the substitutes of the main managerial officers for a diversified development, in order to understand in depth the Company's overall development strategy, cross-company communication and coordination mechanism, decision-making and thinking, policy implementation operations, and other management practices. The "successor training" has also been incorporated as an important indicator of supervisor performance assessment, and the Company regularly measures the development achievements and succession maturity of each substitute position annually.

4-3-3 APPLYING : ALIGNING TALENT WITH THE RIGHT ROLES

Yuanta Futures not only makes good use of the resources of Yuanta Financial Holdings but also provides employees with opportunities to transfer between subsidiaries and rotate within the Company, so that each employee's expertise can be fully utilized and outstanding employees can be retained. The Company also places emphasis on on-the-job training for employees, adopting "learning by doing" as the cultivation concept, providing multiple learning resources and channels to encourage employees to learn on their own and enhance personal performance and potential, together with systematic job rotations to cultivate future talent.

◆ EVALUATION AND PERFORMANCE APPRAISAL TRACKING AND REWARD MECHANISM

The performance management system of Yuanta Futures is based on the "Performance Management Regulations" of Yuanta Futures to evaluate the performance of employees during the year and improve the overall operating efficiency by setting targets at the beginning of the period, reviewing performance feedback during the period, and following up on improvements at the end of the period. The evaluation results are used as a reference for human resources decision-making such as performance bonuses, promotion and salary adjustments, and talent cultivation.

Yuanta Futures conducts performance appraisals for all employees every six months. The percentage of employees who received regular performance appraisals in 2025 was 100%. All employees of the Company are subject to performance appraisal, excluding : ① work-study students, probationary employees, and employees on fixed-term contracts ; ② employees who resign or retire during the appraisal, however, employees who are transferred to financial holdings, companies directly owned by financial holdings or the Company and their investees with controlling shareholdings shall complete the performance evaluation for the period of employment before the effective date of resignation ; ③ new employees who have worked for less than one month, employees who have resumed employment after leave without pay, and employees who have been transferred from financial holdings, companies directly owned by financial holdings or the Company and their investees with controlling shareholdings ; ④ employees who have been reported to the Chairman for approval through a project.

4-3-4 RETAINING : RETAINING TALENT WITH CARE

◆ REASONABLE COMPENSATION

The Company provides a fair, reasonable, and competitive salary system. It provides annual promotions and salary raise to outstanding employees according to the employee performance management rules; also, appropriates performance bonuses according to the Company's annual operating results, as well as the employee's performance evaluation and job performance. Additionally, Yuanta Futures complies with Financial Supervisory Commission's (FSC) regulations by disclosing the average and median salaries of full-time employees not in supervisory positions over the past two years, jointly enhancing salary transparency in the labor market.

Table： Salary of Full-Time Employees Not Holding Supervisory Positions

Item	2024	2025	Compared to the previous year (Presented in absolute figures or percentage)
Number of full-time employees (People)	366	358	Average annual number of employees decreased by 8 person
Average salary of full-time employees (NTD thousand)	1,591	1,607	Average annual salary increased by 1.01%
Median salary of full-time employees (NTD thousand)	1,379	1,434	Average median salary increased by 3.99%

EXCELLENT BENEFITS

The Company provides a diversified welfare system and 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. In 2025, we spent NT$1.197 billion on employee benefits, with the average costs of benefits per employee of NT$3.015 million

Table：Salary of Full-Time Employees Not Holding Supervisory Positions

Employees' Welfare Committee

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

The Company provides

- Group accident insurance
- Year-end bonus
- Remuneration to employees (according to the Company's Articles of Association)
- Monthly pension contributions in accordance with the Labor Standards Act
- Annual health check-up
- Year-end lucky draw banquet

Government regulations

- Mandatory participation in the Labor and Health Insurance Schemes
- Compensation for occupational hazards according to the Labor Standards Act
- Any other requirements under the Labor Standards Act, the Labor Insurance Act, and the National Health Insurance Act

Table : Health Workplace Promotion Measures

Item	Content
Holding the "Slim Summer! Muscle Gain and Fat Loss" Program	The program encourages employees to manage weight, reduce body fat, and build muscle, helping them establish sound concepts of diet and exercise, develop good dietary and exercise habits, and thereby prevent the onset of chronic diseases, realizing a healthy and happy workplace.
Implementation of Work-Life Balance Program	Focusing on "employee stress relief," "family-friendly," and "retirement preparation and adjustment assistance for middle-aged and elderly employees," enabling colleagues to work with peace of mind while enhancing corporate competitiveness and productivity to achieve physical and mental balance. The Company has applied to the Ministry of Labor for the "Subsidy Project of Advocating for Work-Life Balance," actively promoting work-life balance initiatives and receiving relevant funding from the Ministry of Labor.
Protection of Middle-Aged and Elderly Workers	To cooperate with government encouragement of employment for middle-aged and elderly workers and improve human resource utilization, the Company has established the "Adaptive Work Plan for Middle-Aged and Elderly Workers" and implemented employee assistance programs, strengthening occupational safety and health management measures to prevent occupational disasters and care for middle-aged and elderly colleagues.
Maternal Health Care	Provide "Yuan Mama Trendy Baby Gift" to pregnant and postpartum women, caring for female colleagues' needs for postpartum breastfeeding and child-rearing ; arrange one-on-one health consultations with doctors at the company during pregnancy and postpartum periods, and establish breastfeeding rooms to provide employees with a secure and friendly child-rearing environment, receiving "Excellent Breastfeeding Room - Outstanding" certification from Taipei City Government Department of Health.

◆ RETENTION POLICY ON PARENTAL LEAVE

The Company provides employees with a marriage and childcare system, subsidies, and care plans that are superior to regulations, including physiological leave for women, maternity leave, paternity leave, family care leave, and parental leave without pay. The Company also assists employees in returning to work upon expiration of parental leave without pay. We help employees balance work and family and retain talent through a diverse and flexible benefits system.

Table：The percentage of Yuanta staff in reinstatements and retaining after parental leave in 2025

Item	Female	Male	Total
Total Number of Employees Eligible for Parental Leave	14	9	23
Total Employees Who Took Parental Leave in 2025	6	0	6
Total Number of Employees Scheduled to Return to Work in 2025 Following Parental Leave (A)	2	0	2
Total Number of Employees Who Returned to Work in 2025 Following Parental Leave (B)	2	0	2
Reinstatement percentage (%) (B/A*100%)	100%	NA	100%
Total Number of Employees Who Returned to Work in 2024 Following Parental Leave (C)	1	0	1
Total Number of Employees Who Remained Employed 12 Months After Returning to Work in 2024 (D)	1	0	1
Retaining percentage (%) (D/C*100%)	100%	NA	100%

◆ RETIREMENT SYSTEM

The Company encourages colleagues to save long-term and plan retirement in advance. In addition to contributing pension funds to Bank of Taiwan according to Labor Standards Act regulations, the Company also follows the Labor Pension Act implemented since July 1, 2005, adopting a defined contribution system. After implementation, employees may choose to apply the pension provisions of the Labor Standards Act or the pension system under the Act while retaining work experience applicable to the Act.

◆ EMPLOYEE STOCK OWNERSHIP TRUST

Since August 2003, Yuanta Financial Holdings has established the Employee Stock Ownership Association, in which the employees of the Group contribute a fixed amount every month and the Company allocates the same amount to reward them for holding shares and becoming shareholders of the Company. Employee stock ownership not only enhances employees' financial security after retirement or resignation and accumulates future retirement assets, but also enhances employees' sense of cohesion and self-worth, creates a diversified welfare mechanism, attracts and retains outstanding talent, and shares the Company's operating achievements.



05

CLIMATE CHANGE RISKS MANAGEMENT & GREEN ACTION

With the development of the global economy and the continuous high-speed operation of society and the environment, many environmental issues have emerged, prompting international society and enterprises to gradually prioritize environmental protection issues. To implement environmental protection and green actions in business operations, Yuanta Futures has established various policies and guidelines to manage environmental systems, climate risks, water resources and waste, green supply chain, and other aspects, continuously promoting measures to reduce environmental impact and actively fulfilling our commitment to environmental sustainability. Additionally, in 2025, the Company did not receive any significant fines or non-monetary sanctions for violations of environmental laws and regulations.

5-1 CLIMATE CHANGE RISKS DISCLOSURE

In recent years, the risks and unpredictability associated with the intensification of climate change have gradually increased. Yuanta Futures has incorporated environmental and climate change issues into its risk management policy and has followed the Yuanta Financial Holding Group's climate risk management mechanism, and the Risk Management Department participates in the Yuanta Financial Holding Group's TCFD team to further review and assess the impacts of climate change on the Company's finances in order to enhance continuously our company's management of climate risks and reduce the potential operational impacts of climate change.

◆ GOVERNANCE

Responsible Unit	Board of Directors	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. It incorporates climate issues into corporate governance and management strategy, and incorporates sustainable performance and reward mechanisms into the annual performance evaluation of each unit, so that climate risk management is integrated into our organizational culture.
	Audit Committee	The Audit Committee of the Company is composed of all independent directors. The main responsibilities are to assist the Board of Directors in supervising the implementation of the climate-related risk management system, deciding annual risk limits, monitoring indicator thresholds, ensuring that risk management is compatible with the Company's policies, operations and development to help the Company achieve its objectives.
	Sustainable Development Committee	In 2025, the Company established the Sustainable Development Committee, whose members are nominated by the Chairman and appointed by resolution of the Board of Directors. The Committee is responsible for formulating, promoting, and strengthening the Company's sustainable development policies, assisting in overseeing matters related to the Company's Sustainable Development Best Practice Principles, and carrying out sustainability work as resolved by the Board of Directors. Six functional task forces are established under the Committee: Corporate Governance, Sustainable Finance, Customer Care, Employee Care, Environmental Sustainability, and Social Participation. These task forces assist the Committee in implementing sustainability initiatives and regularly report on implementation results.
	Risk Management Department Management & Department General Planning Department	It is responsible for the implementation of internal operations and energy climate targets, and reports to the Audit Committee and the Board of Directors on responsible matters in order to control the progress and effectiveness of implementation. The Risk Management Department of the Company participates in Yuanta Financial Holdings' Task Force on TCFD established in 2021, which was formed by the Risk Management Department of Yuanta Group, to facilitate the Group's comprehensive management of climate-related issues and impacts, identify climate-related risks and opportunities, as well as evaluate, analyze, monitor, and formulate adaptation strategies and indicators.
	Climate Change Related Financial Disclosure Project Team	In response to Yuanta Financial Holdings' climate risk management mechanism, the Company established a Task Force on Climate-Related Financial Disclosure to study the "Climate-related Financial Disclosure Recommendation" issued by the International Financial Stability Board that requires enterprises to provide stakeholders with relevant and reliable financial measurement information, and to develop and adapt responsive strategies and adjustment measures through the identified climate change related risks and opportunities.

◆ STRATEGY

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. 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).

Table : Methodology for Assessing Climate-Related Financial Impacts at Yuanta Futures

Scenario analysis / Assessment Items	Scenario analysis of the overall investment position (Top Down)	Scenario analysis of individual firm (Bottom Up)	
		Transformation Risk Scenario Analysis[1]	Physical Risk Scenario Analysis[2]
Object of assessment	The Company's not-held for trade investment position.	Issuing companies of the equity investment positions in high climate risk industries in Taiwan and abroad that are held by the Company	All business offices of the Company located nationwide in Taiwan.
Assessment method	Climate Valuation at Risk (VaR) Method	Stock price valuation model.	Disaster risk model.
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 :	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℃ / <2℃).	With reference to the flood potential maps for townships and districts across Taiwan under the RCP 4.5 and RCP 8.5 scenarios published by the National Science and Technology Center for Disaster Reduction on its Climate Change Disaster Risk Adaptation Platform, the Company conducted a flood potential scenario analysis of physical risks.
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.	• Among the company's equity investment positions, only the iron and steel and biotechnology 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℃ scenario is more significant than that in the <2℃ scenario. • According to the further analysis, the iron and steel is more significantly affected by climate change. Under the 1.5℃ scenario and the 2030 time horizon, the industry's impact ratio (the ratio of the expected loss amount divided by the industry's asset scale) is 4.8%, which remains within an acceptable range.	• 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.

Note 1 : Quantitative assessment of the impact of carbon fees on equity investment positions.
Note 2 : Quantitative assessment of flooding impacts on operational sites across Taiwan.

The Company's quantitative financial analysis of climate change is conducted in accordance with the Yuanta Financial Holdings Group's TCFD report. According to the Group's TCFD report, the quantitative financial analysis of climate change focuses primarily on the Group's overall investment positions. However, as the Group's overall investment positions are mainly concentrated in three subsidiaries, namely Yuanta Bank, Yuanta Life Insurance, and Yuanta Securities, there is no direct impact on Yuanta Futures.

1. CLIMATE OPPORTUNITIES

Opportunities	Time Horizon	Financial Impact	Countermeasures
The attempts of the operating stations in improving energy efficiency	Long-term	Improve energy efficiency and reduce operating costs by adopting green buildings, using renewable energy, switching to energy saving equipment, and introducing energy management systems.	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.
Green Procurement and Supplier Management	Medium-term	Support enterprises with low-carbon and sustainable instrument through green procurement and supplier management in order to reduce operating costs.	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 forementioned contracts into the procurement process comprehensively.
Develop and promote low-carbon products and services	Long-term	Promote low-carbon products and services to meet investor needs and to increase operating income.	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.
Discuss and agree the concept of sustainable and green consumption with customers	Long-term	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.	Encourage customers to respond to energy conservation and carbon reduction or to make green investments through multiple channels, such as the official website and APP. Discuss and agree with the investing juridical person verbally or in a meeting to implement ESG actions actively.
Sustainable financial market	Long-term	Formulate relevant action plans and specifications through credit and investment, actively direct funds to flow into sustainable enterprises, and increase operating income.	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.
Natural Disaster Crisis Management and Alarm Measures	Long-term	Formulate and ensure the effectiveness of adaptative measures, provide stable services for all businesses, enhance customer trust, and reduce operating losses.	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 emergencies.

Note: Impact horizon: short-term: 1 to 3 years; medium-term: 3 to 5 years; long-term: more than 5 years.

2. CLIMATE-RELATED RISKS

Risk	Time Horizon	Financial Impact	Countermeasures
Carbon Reduction Policy and Regulatory Response Costs -invesment	Medium-term	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.	By establishing climate change risk monitoring indicators, the Company regularly assesses the degree to which investment targets are affected by climate change risks and formulates response measures for those subject to greater impact.
Cost of response to carbon reduction policies and regulations -proprietary operations	Medium-term	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.	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.
Industrial green energy and environmental protection transformation cost.	Medium-term	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 in the transformation.	Observe the market demand for low carbon transformation continuously, and assist the invested company in low carbon transformation.
The investment in highly polluting industries has impacted the company's reputation.	Medium-term	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.	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.
The invested company's business operation is disrupted by extreme weather.	Long-term	The invested company suffers property loss or operation interruption due to extreme weather, causing the reduction of the company's assets.	Enhance due diligence investigation on invested companies, and understand the resilience of business partners against extreme weather.
Flooding causes damage and loss to the operation base and collateral.	Long-term	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.	Take the factor of flooding into consideration for the operation of the operating bases and proprietary property investment.
Rising sea levels cause loss of operating base and collateral.	Long-term	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.	Operating bases and proprietary property investments will be handled with the factors causing sea level to rise due to climate change taken into consideration.

◆ CLIMATE RISK MANAGEMENT PROCESS

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. 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 warming and resource depletion, and fully responds to the trend of energy conservation and carbon. Reduction with adequate mitigation and adaptation plans implemented:

Risk Identification

- The Company conducts climate risk identification according to its business characteristics every year.
- Refer to the climate risk reports of international organizations.

Risk Measurement

- The Company bases business characteristics on it to evaluate the impact and influence of various risks.
- The scope of measurement includes impact path, impact time and geographical scope, impact value chain position, and financial impact.
- 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.

Risk Control

- Incorporate the environmental and social risk factors of each industry into the industry risk level assessment mechanism.
- 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 to ensure that they meet the requirements of authorization.

Risk Report

- Develop responsive strategies for various risks and submit them to the Audit Committee and the Board of Directors for deliberation and resolution.
- The Company reports the application of various risk indicators or limits to the Audit Committee and the Board of Directors regularly.
- The Company reports the climate risk related information to the Audit Committee and the Board of Directors occasionally



◆ RESPONSE STRATEGIES

In response to climate change, the Company has developed the following business models and management measures to prevent losses caused by climate change:

1. Based on the analysis results, and to ensure the availability and flexibility of financial resources for addressing climate change risks, the Company has established climate risk value monitoring indicators and thresholds. The Risk Management Department monitors the utilization of climate risk values on a monthly basis and reports material climate risk-related information to the Audit Committee and the Chairman.

2. When the climate change risk of an investment target reaches the climate risk value monitoring threshold, the Company's Risk Management Department will assess the degree of climate change risk exposure and submit the reasons and proposed handling measures to the Chairman for approval.

3. The Company continues to reduce the impact of market risk factors on the market value of financial products through portfolio diversification, and continues to optimize its investment portfolio by targeting investments in highly rated, highly liquid, and low-volatility products, thereby reducing additional credit losses and liquidity losses to the value of financial products caused by climate impacts.

◆ TARGETS AND OBJECTIVES

In line with the Group's policy, Yuanta Futures has established an environmental management system for the financial industry in accordance with the ISO 14001 Environmental Management System. Yuanta Futures has set short-, medium-, and long-term targets for greenhouse gas emissions, waste reduction, water consumption reduction, and renewable energy response. The Company implements corporate environmental operations through a sustainable management system. Please refer to the following table for the short-, medium-, and long-term key targets for environmental protection of the Company.

Environment goal	2021 Goal	2023 Goal	2025 Goal	Achievement Status in 2025
Scope I and II carbon reduction targets (2017 is the base year)	Reduce Carbon emissions per unit of revenue by 4% compared to the base year.	Reduce carbon emissions per unit of revenue by 6% compared to the base year.	Reduce carbon emissions per unit of revenue by 8% compared to the base year.	2025 achieved a 71.85% reduction compared to the base year, meeting the target.
Waste reduction goal (2019 is the base year)	Reduce the volume by 1% per capita compared to the base year.	Reduce the volume by 2% per capita compared to the base year.	Reduce the volume by 3% per capita compared to the base year.	2025 achieved a 8.76% reduction compared to the base year, meeting the target.
Reduce water consumption (2019 is the base year)	Reduce water consumption by 1% per square meter compared to the base year.	Reduce water consumption by 2.5% per square meter compared to the base year.	Reduce water consumption by 4% per square meter compared to the base year.	2025 achieved a 13.11% reduction compared to the base year, meeting the target
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.	There will be at least two business offices with green power in use by 2023.	Green electricity use at all FCM locations in Taiwan	In 2025, Yuanta Futures' 5 FCM locations achieved 100% green power usage; green power usage ratio increased by 4% compared to 2024, meeting the target.

Note : The above targets are performance targets of Yuanta Group.

Environment goal	Short-term go	Mid-term go	Long-term goal
Scope 1 and 2 carbon reduction targets (2020 is the base year)	Reduce carbon emissions per unit of revenue by 9% in 2026 compared to the base year.	Reduce carbon emissions per unit of revenue by 11% in 2028 compared to the base year.	Reduce carbon emissions per unit of revenue by 42% in 2030 compared to the base year.
Waste reduction goal (2020 is the base year)	Reduce the volume by 11% per capita in 2026 compared to the base year.	Reduce the volume by 12% per capita in 2028 compared to the base year.	Reduce the volume by 13% per capita in 2030 compared to the base year.
Reduce water consumption (2020 is the base year)	Reduce water consumption by 4.1% per square meter in 2026 compared to the base year.	Reduce water consumption by 4.3% per square meter in 2028 compared to the base year.	Reduce water consumption by 4.5% per square meter in 2030 compared to the base year.
Respond to renewable energy use (2020 is the base year)	Increase renewable energy use by 11% from the base year by 2026.	Increase renewable energy use by 13% from the base year by 2028.	Increase renewable energy use by 40% from the base year by 2030.

Note: The above targets are all Yuanta Group performance targets. As the Yuanta Group's carbon emissions consist primarily of emissions from electricity use, the use of renewable energy is its main carbon reduction measure. Given that the renewable energy market is expected to see greater supply released in 2027 to 2028, the Group plans to expand renewable energy procurement and use in 2029 to 2030.

5-2 GHG Inventory and Energy Management

◆ GHG INVENTORY

The Company operates in the financial services industry, with greenhouse gas emissions primarily sourced from electricity consumption, water usage, and transportation fuel. The Company jointly responds with the Group to the International Carbon Disclosure Project (CDP), continuously inventorying greenhouse gas emissions from the aforementioned energy sources. Since 2017, we have introduced the ISO 14064-1 Greenhouse Gas Inventory, passing external verification by ISO 14064-3 certification annually. In 2025, we achieved an "A Leadership Level" rating from the International Carbon Disclosure Project (CDP). We will continue to compile annual greenhouse gas emissions statistics and control greenhouse gas emissions through review of historical data.

Statistics of Greenhouse Gas Emissions by Category Over the Past Three Years

Yuanta Futures - Greenhouse Gas Emissions			
Year	2023 (metric tons CO_2e)	2024 (metric tons CO_2e)	2025 (metric tons CO_2e)
Direct Emissions (Scope 1)			
Category 1 : Direct Greenhouse Gas Emissions and Removals	31.0136	45.8034	36.8275
Indirect Emissions (Scope 2)			
Category 2 : Indirect Greenhouse Gas Emissions from Imported Energy	499.0529	446.3552	258.2366
Other Indirect Emissions (Scope 3)			
Category 3 : Indirect Greenhouse Gas Emissions from Transportation	17.2631	10.687	15.7514
Category 4 : Indirect Greenhouse Gas Emissions from Products Used by the Organization	105.0368	98.3496	70.6915
Total Emission	652.3664	601.1961	381.507

Greenhouse Gas Inventory and Assurance Status of the Company Over the Past Three Years

Year	2023	2024	2025
Scope I (metric tons CO_2e)	31.0136	45.8034	36.8275
Scope II (metric tons CO_2e)	*499.1717	*446.4145	258.2366
Total (metric tons CO_2e)	530.1853	492.2179	295.0641
Intensity (metric tonsCO_2e/million)	0.1571	0.1249	0.0820
Assurance Agency	SGS Taiwan Ltd.	SGS Taiwan Ltd.	SGS Taiwan Ltd.
Description of assurance situation	The Company's 2023 greenhouse gas inventory and scope of assurance : Operating bases in Taiwan (including SYF Information Co., LTD.). The auditor issued an unqualified opinion.	The Company's 2024 greenhouse gas inventory and scope of assurance : Operating bases in Taiwan (including SYF Information Co., LTD.). The auditor issued an unqualified opinion.	The Company's 2025 greenhouse gas inventory and scope of assurance : Operating bases in Taiwan. The auditor issued an unqualified opinion.

Note: The Company conducts its GHG inventory and assurance in accordance with the ISO 14064-1 standard. In addition, Yuanta Futures' Scope 2 greenhouse gas emissions are calculated using both the market-based and location-based methods, with identical results under both approaches.

1. The Company had no greenhouse gas emissions from biofuel in 2023, 2024 and 2025.
2. The organizational boundary of this report is the headquarters and domestic branches of Yuanta Futures Co., Ltd., which consists of 5 units.
3. The method of setting the organizational boundary for greenhouse gas emissions is based on the operation control method, and 100% of the emission sources covered by the organizational boundary are owned and controlled by the Company.
4. The types of gases included in the greenhouse gas emissions calculation are CO_2 , methane, nitrous oxide, hydrofluorocarbons, perfluorocarbons, sulfur hexafluoride, and nitrogen trifluoride.
5. Direct greenhouse gas emissions and removal (CAT1) : Including three types of emissions : Mobile combustion sources (such as gasoline official vehicles), Stationary combustion source (diesel emergency generator) and fugitive emission sources (such as CO_2 fire extinguishers, septic tanks, and equipment using HFCs refrigerants).
6. Indirect greenhouse gas emissions include the following category :
   (1) Indirect greenhouse gas emissions caused by input energy (CAT2) : e.g., input electricity (purchased electricity).
   (2) Indirect greenhouse gas emissions caused by transportation (CAT3) : employee business trips.
   (3) Indirect greenhouse gas emissions arising from the products used by the Company (CAT3): purchased electricity, waste disposal.
7. The Company's base year is 2021, and the total carbon emissions for the base year amounted to 852.37 tons.
8. The global warming potential (GWP) values of various greenhouse gases in the IPCC's sixth assessment report in 2021 are adopted.
9. The Company's greenhouse gas emission calculation method mainly uses the GHG Emissions Registry Guidelines. Emission factors mainly refer to the latest emission factors published by the Ministry of Environment or relevant competent authorities, such as the Ministry of Environment's Greenhouse Gas Emission Factor Management Table (version 6.0.4) and the electricity emission factors announced by the Bureau of Energy, Ministry of Economic Affairs. The electricity carbon emission factor used for 2025 is 0.474 kg CO_2e /kWh, while the factor for 2024 is 0.494 kg CO_2e /kWh and the factor for 2023 is 0.495 kg CO_2e /kWh.
10. To ensure the consistency of organizational boundaries, the 2023 and 2024 emissions data related to the subsidiary, Sheng Yuan Qi Co., Ltd., have been excluded from this table.

◆ CARBON PRICING FRAMEWORK

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 model to assist each subsidiary in assessing the benefits of energy-saving and carbon-reduction projects, and integrates it with the ISO 50001 energy management system. The Company incorporates 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. The Company's internal carbon price for 2025 was NT$2,200 per metric ton. This approach shifts the evaluation from purely economic considerations (such as equipment and labor costs) to environmental impact considerations. 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.

◆ RENEWABLE ENERGY CERTIFICATE SUBSCRIPTION

Yuanta Futures follows the "Environmental Policy" and "Energy and Climate Change Management Policy" established by Yuanta Financial Holdings as the principles of internal energy management within the Company. Yuanta Futures cooperates with the Yuanta Group in subscribing to green energy certificates in 2025, the subscribed green electricity and renewable energy certificates amounted to 572,714 kWh. From 2018 to 2025, the total subscription of green electricity and renewable energy certificates accumulated to 1,730,000 kWh. In 2023, the Company successfully achieved a milestone by implementing green electricity wheeling across all operational sites in Taiwan, making it the futures commission merchant with the broadest green energy coverage in the industry, we strive for the sustainability and conservation of the Earth and environment.

◆ ENERGY CONSERVATION REGULATIONS

In 2025, Yuanta Futures headquarters and branch offices had total electricity consumption of 544,803 kWh of gray power and 572,714 kWh of green power. The Company continuously promotes various energy conservation regulations through regular management meetings and employee education, strengthening employees' awareness of energy conservation, carbon reduction, and environmental protection. The following are the Company's energy conservation policy regulations :

Item	Energy Conservation Regulations
Air conditioning equipment	1. Office air conditioning temperature is regulated to maintain an average setting of no lower than 26℃ to reduce energy consumption. 2. Sunshades and blinds are installed in sunlit areas to minimize solar heat gain.
Office machines, lighting and photocopying paper	1. Employees are encouraged to unplug equipment not in use for extended periods and to turn off lights when leaving the office. 2. Multifunctional office machines are configured to automatically enter energy-saving standby mode. 3. Business cards, stationery, and courier request forms are submitted via OA digital systems, reducing paper consumption.
Others	1. Resource recycling is actively promoted, alongside the implementation of green procurement practices. 2. Employees are encouraged to use stairs instead of elevators between adjacent floors for both health and energy conservation. Elevators are programmed for alternate floor stops to reduce energy use from frequent stops and door operations. 3. Sensor-activated water-saving faucets are installed throughout the premises to conserve water. 4. Video conferencing is promoted to reduce travel-related energy consumption and carbon emissions. 5. Materials for Board of Directors meetings are presented digitally on tablets. Internal and external document workflows are largely conducted via electronic approvals and online systems, significantly reducing the use of paper and toner.

5-3 WASTE AND WATER RESOURCES

◆ WASTE MANAGEMENT

Yuanta Futures strives to promote waste recycling and reduction by implementing the "3R management measures", and the waste management principles of Reduce, Reuse, and Recycle. The Company also carefully selects various waste treatment companies to ensure a legal waste disposal process. The Company's waste mainly comes from general household waste. The relevant waste management measures are as follows :

1 Continue to promote the waste reduction and recycling classification system, and manage waste according to general waste, recyclable waste, and food waste.

2 General waste is transported to incineration plants by qualified waste removal companies, while recyclable waste and food waste are notified to recycle companies for removal.

3 In 2025, the total weight of general waste was 13.7955 tons, the total weight of recyclable waste and food waste was 8.133 tons.

◆ WATER RESOURCES MANAGEMENT

In 2025, the Company consumed 4,248 m3 of water, 100% of which was fresh water. The main operating areas in Taiwan are supplied by the Taiwan Water Corporation. The Company's water resources are provided to employees and customers in all office buildings and service locations. All used waste water is legally discharged to the sewers. In order to save water resources, we not only conduct regular education and training and communication with our employees to encourage water conservation, but also replace water-consuming equipment in offices, business premises, or factories to avoid water wastage. The Company introduces ISO 14046 - Environmental management - Water footprint - A practical guide for SMEs to achieve water efficiency management through comprehensive inventory.

5-4 GREEN SUPPLY CHAIN

◆ SUPPLY CHAIN PARTNER COMMITMENT SIGNING AND MANAGEMENT

Yuanta Futures supports enterprises that provide low-carbon and sustainable instrument through green procurement and supplier management. We also work with suppliers to promote sustainable environmental policies and invite suppliers to sign the "Human Rights And Environmental Sustainability Commitment Letter", which is regularly reviewed every year, resulting in an overall compliance rate of 100%. In addition, we have added green procurement provisions to our procurement management guidelines to practically integrate with suppliers to fulfill green procurement, hoping that green procurement can lead to green production and promote environmental protection. Since 2020, the Company has also required all suppliers to include an "agreement" in procurement contracts. In addition, to implement sustainable procurement and strengthen supply chain management, the Company has completed the introduction of ISO 20400 Sustainable Procurement Guidance.

◆ GREEN PROCUREMENT

In order to implement green procurement, Yuanta Futures prioritizes the procurement of products or resources with government-approved environmental protection labels, energy and water conservation labels, and other environmentally friendly products, as well as office renovation projects that comply with green building materials. In addition, since the 2020 edition of sustainability reports, we have been using FSC-certified environmentally friendly paper materials and printing with environmentally friendly soy ink.

With respect to personnel training, we continue to promote the concept of "green procurement" to all employees and conduct education and training for procurement personnel and exchange of relevant information in order to implement green procurement decision-making that is beneficial to products or services. Through procurement and business cooperation, we continue to promote the concept of environmental sustainability and green consumption to our suppliers through the use of various environmental labels as supply materials, and encourage partners to follow the concept together in order to build a wider market for green consumption. The total amount of the Company's 2025 purchases with domestic and foreign energy efficiency labels was NT$17,580,000.



06

SOCIAL INVOLVEMENT & PUBLIC WELFARE ACTION

In line with Yuanta Financial Holdings' social care philosophy of "Taking from the society and giving back to the society", Yuanta Futures is deeply involved in the areas of "Financial Inclusion · Innovative Development", "Disadvantaged Support and Child Care", "Medical Care and Elderly Care", striving to bring our employees together to promote various public welfare and educational activities.

For many years, the Company has supported the mobilization and organizational efforts of Yuanta Foundation. During the year, the Company also donated NT$4.2 million to the Yuanta Cultural and Educational Foundation and called on employees of subsidiaries across Taiwan to take part in a wide range of charitable initiatives. In 2025, the Company donated NT$375,000 to the Taiwan Financial Services Roundtable to support the 2025 Financial Services Industry Public Welfare Education Fund, thereby continuing the financial sector's long-standing commitment to fulfilling corporate social responsibility. In addition, the Company donated NT$2.5 million to the Ministry of Health and Welfare's 2025 Typhoon Danas disaster relief fundraising program, supporting disaster victim assistance, emergency medical care, shelter and resettlement, and recovery and reconstruction, contributing to the rebuilding of affected areas.

◆ FINANCIAL TALENT DEVELOPMENT · INDUSTRY-ACADEMIA COLLABORATION

In response to the financial inclusion policy of the competent authorities, Yuanta Futures not only continues to develop convenient financial services and products but also promotes options knowledge through industry-academia cooperation. Over the years, Yuanta Futures has signed industry-academia cooperation plans with leading colleges and universities in Taiwan, organized seminars and courses, and provided internship opportunities to promote the correct concept of options trading and cultivate future financial talent.

Cooperation with Fu Jen Catholic University to Hold the "Transaction of Leverage Simulation Competition"

In 2025, Yuanta Futures co-hosted the 19th "Transaction of Leverage Simulation Competition" with Fu Jen Catholic University, offering nearly NT$150,000 in total prize money. A total of 1,414 students from 64 colleges and universities across Taiwan participated in the competition.

In line with the Ministry of Education's "University Programming Education Promotion Plan", the competition also introduced a programming group trading category, enabling students with basic programming knowledge to apply more diverse investment techniques. Through the competition, participating students attempted to apply classroom theories to actual investment trading environments, enhancing their practical financial operation capabilities.

Involving in Industry-Academic Cooperation with Various Colleges and Universities

Taking into account the Company's organizational operations and employer's branding, Yuanta Futures arranged campus cultivation with a focus on three directions in 2025, 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 16 campus expositions and 3 briefing sessions. A total of 20 students were successfully recruited to join the Company's intern program.



◆ CHILD CARE · SOCIAL PARTICIPATION

Employees' Participation in Various Activities of the Yuanta Cultural and Educational Foundation

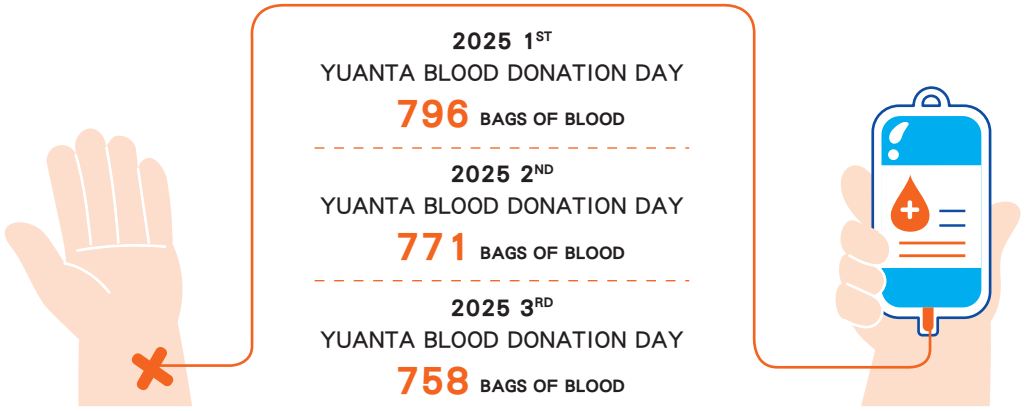
The employees of Yuanta Futures actively participate in public welfare activities. In 2025, they served as volunteers for the Yuanta Cultural and Educational Foundation, accumulating a total of 89.5 service hours. The "Yuanta Happiness Day" entered its 14th year in 2025. This year, with environmental education as the theme, a total of 128 schoolchildren from rural elementary schools in central Taiwan were invited to Janfusun Fancy World, where guided ecological tours of the environmental education park and amusement facility experiences helped the children understand the importance of soil and water conservation and protecting natural resources. Additionally, this year's Happiness Day activities reached 24 schools and institutions, presenting 900 customized "Happiness Gift Packages" to children, hoping that students would bravely pursue their dreams after the warm Yuanta Happiness Day experience. In addition, the Company's volunteers also visited three rural elementary schools this year to serve as "Yuanta Wealth Management Day" volunteers, drawing on their financial expertise to design money management board game cards that help children develop sound money concepts through play. A total of 113 schoolchildren participated in the three sessions.



Employees' Active Participation in the "Yuanta Blood Donation Day"

The Company actively responded to the Yuanta Financial Holdings' "Yuanta Blood Donation Day". The Company's Chairman Tien-Fu Lin, Vice Chairman Pin-Cheng Chen, and President I-Jui Kao led the employees of Yuanta Futures to participate in the event and invited the public and suppliers to donate blood together. The event is now in its 15th year. As of now, a total of 30,582 bags of blood have been donated, amounting to a cumulative total of 7.64 million c.c.





Delivering Supplies to Homes to Ensure a Cozy Winter

Since December 2022, Yuanta Futures has partnered with the Chinese Christian Relief Association's Corporation Aggregate of The Resurrection Food Bank Holistic Care Association and the 1919 Service Center to participate in the "1919 Food Bank" material transportation charity event. Every two months, they personally deliver two months' worth of supplies to families in need, ensuring continuous warmth and nourishment. As of 2025, a total of 111 volunteer person-times have participated, actively engaging with community sites to provide care.



"Yuanta LOVE Book FUN Love Express" Book Donation Campaign

The Yuanta Cultural and Educational Foundation launched the "Yuanta LOVE Book FUN" secondhand book collection campaign in 2015. In addition to collecting books and educational resources across Taiwan, the Foundation actively trains "storytelling instructor" volunteers who inspire the imagination of children in rural areas through creative storytelling sessions, helping them build greater self-understanding. Yuanta Futures also actively supported this year's secondhand goods donation drive, with 44 employees participating and a total of 389 books, 1 tablet, and 2 mobile phones collected. In addition to putting the spirit of the circular economy into practice by keeping resources in circulation, the campaign further promotes knowledge sharing and educational equality, creating a positive impact on society.

◆ COMMUNITY SERVICE · ENVIRONMENTAL PROTECTION

In Response to "The Taiwan Good Air Cultivation and Welfare Field Public Action" Campaign by International Nature Restoration Action Association

To support farmers in implementing the sustainable practice of returning rice straw to the fields, our Company has contributed 20 hectares of farmland to the "Stop Burning Rice Straw Environmental Project".This initiative aims to reduce carbon emissions by 180 metric tons by allowing the rice straw to decompose on-site and serve as organic fertilizer for the soil. Additionally, it helps address the air pollution crisis caused by burning rice straw, positioning Taiwan as a leading advocate for "Zero Rice Straw Burning" in Asia. The Company has continuously responded to and contributed to this initiative for four consecutive terms since the program's inception, implementing ESG corporate sustainable operation and social citizenship responsibility.



Responding To The "Earth Hour" Campaign

The Company responded to the "Earth Hour" campaign by turning off lights for one hour at 8:30 p.m. on March 22, 2025, demonstrating the influence of "small actions, big changes" and calling on the public to "turn off lights for one hour, go outdoors for one hour". We also connected colleagues and suppliers through social networks to advocate joining the efforts of turning off lights and reducing carbon emissions to protect the Earth.



Run For Wildlife

Yuanta Futures advocates outdoor activities to reduce energy consumption, practice green living and respond to the SDGs biodiversity goals. To raise awareness about wildlife protection and habitat loss issues, 96 colleagues and their families participated in the "2025 Run for Wildlife", enhancing team cohesion and health through connecting with nature, enabling the Company to continue toward the long-term goal of sustainable operation.

Sustainability Family Day: Putting Green Vision Into Practice

To continue embedding a culture of sustainability within the organization, Yuanta Futures held its first Sustainability Family Day in December 2025, promoting ESG concepts to employees and their families through fun, educational activities. The event centered on three key themes: environmental education, charitable support, and employee care. Through activities such as water quality testing, DIY tree seedling cultivation and charity meal box orders, the event brought the Company and families together to put public welfare participation into practice.





APPENDIX 1: GRI STANDARDS

Using statements	Yuanta Futures has reported the information cited in this GRI content index 2025 for the period from Jan 1, 2025 to Dec. 31, 2025 with reference to the GRI Standards.
Application of GRI 1	GRI 1: Foundation 2021

GRIStandards		Disclosure Items	Chapter	Page Number
GRI 2 General Disclosures 2021	2-1	Organizational details	About report 1-1 Brand Introduction 1-3 Overseas and Domestic Service Network	02 08 10
	2-2	Entities included in the organization's sustainability reporting	About report	02
	2-3	Reporting period, frequency and contact point	About report	02
	2-4	Restatements of information	About report 5-2 GHG Inventory and Energy Management	02 76
	2-5	External assurance	About report	02
	2-6	Activities, value chain and other business relationships	1-1 Brand Introduction 3-1 Financial Innovation Products and Services	08 42
	2-7	Employees	4-1 Basic Human Rights Protection of Employees and Employment Structure	56-57
	2-8	Workers who are not employees	Our company primarily employs non-employee workers, including interns and contractors(cleaning staff and security personnel). In 2025, we had a total of 3 interns and 7.5 contractors. Note 1 : Our office is located in the Yuanta Building, which we share with Yuanta Securities and Yuanta Financial Holdings. The number of contractors is calculated based on the proportion of office space occupied by each company. Note 2 : In 2025, the number of interns decreased by 19 compared to 2024, primarily due to lower manpower demand across departments, resulting in fewer internship positions. The number of contractors remained relatively stable with no significant fluctuations compared to 2024.	-
	2-9	Governance structure and composition	1-5 Corporate Sustainability Promotion and Implementation Mechanism 2-1 Corporate Governance 2-1-2 Board of Directors and Functional Committees	11-12 23 24-32

GRI Standards		Disclosure Items	Chapter	Page Number
GRI 2 General Disclosures 2021	2-10	Nomination and selection of the highest governance body	2-1-2 Board of Directors and Functional Committees	24
	2-11	Chair of the highest governance body	2-1 Corporate Governance	23
	2-12	Role of the highest governance body in overseeing the management of impacts	1-5 Corporate Sustainability Promotion and Implementation Mechanism	11-12
	2-13	Delegation of responsibility for managing impacts	1-5 Corporate Sustainability Promotion and Implementation Mechanism	11-12
	2-14	Role of the highest governance body in sustainability reporting	About report	02
	2-15	Conflicts of interest	2-1-2 Board of Directors and Functional Committees	28
	2-16	Communication of critical concerns	2-1-2 Board of Directors and Functional Committees	32
	2-17	Collective knowledge of the highest	2-1-2 Board of Directors and Functional Committees	28-31
	2-18	Evaluation of the performance of the highest governance body	2-1-2 Board of Directors and Functional Committees	32
	2-19	Remuneration policies	2-1-2 Board of Directors and Functional Committees	33-34
	2-20	Process to determine remuneration	2-1-2 Board of Directors and Functional Committees 4-3-4 Retaining: Retaining Talent with Care	33 65
	2-21	Annual total compensation ratio	Due to the sensitive nature of compensation information, it will be categorized as Undisclosed Information for this fiscal year.	-
	2-22	Statement on sustainable development strategy	Chairman’ s Message	03-04
	2-23	Policy commitments	2-2 Ethical Corporate Management 2-3 Legal Compliance and Internal Control and Audit System 4-1 Basic Human Rights Protection of Employees and Employment Structure	35 36 54-55
	2-24	Embedding policy commitments	2-2 Ethical Corporate Management 2-3 Legal Compliance and Internal Control and Audit System 4-1 Basic Human Rights Protection of Employees and Employment Structure	35 36 54-55

GRI Standards		Disclosure Items	Chapter	Page Number
GRI 2 General Disclosures 2021	2-25	Processes to remediate negative impacts	2-3 Legal Compliance and Internal Control and Audit System 3-3 Customer Service and Rights and Interests Protection 4-1 Basic Human Rights Protection of Employees and Employment Structure	36 47 54-55
	2-26	Mechanisms for seeking advice and raising concerns	2-2 Whistleblower System and Investigation Mechanism 2-5 Investor Relations Maintenance	35 38
	2-27	Compliance with laws and regulations	2-3 Legal Compliance and Internal Control and Audit System	36
	2-28	Membership associations	1-8 Participation in Domestic and International Organizations Participation of International Parties	21
	2-29	Approach to stakeholder engagement	1-6 Stakeholders' Issues of Concerns and Communication Channels	13-16
	2-30	Collective bargaining agreements	The Company has no employees participating in a labor union. However, regular labor-management meetings are held quarterly in accordance with the "Regulations for Implementing Labor-Management Meetings."	60
GRI 3 Material Topics 2021	3-1	Process to determine material topics	1-7 Summary of Major Themes of Yuanta Futures	16-17
	3-2	List of material topics	1-7 Summary of Major Themes of Yuanta Futures	18
	3-3	Management of material topic	1-7 Summary of Major Themes of Yuanta Futures	19-20

GRI Standards		Disclosure Items	Chapter	Page Number
Material Issues				
Information and Transaction Security				
Material Issues Identified by Yuanta Futures	-	-	3-3 Customer Service and Rights and Interests Protection	48-49
Economic Performance				
GRI 201 Economic Performance 2016	201-1	Direct economic value generated and distributed by the organization	1-1 Brand Introduction	09
	201-3	Define employee benefit obligations and other retirement plans	4-3-4 Retaining: Retaining Talent with Care	66-67
	201-4	Financial assistance received from the government	No financial assistance was received from the government in 2025	-

GRI Standards		Disclosure Items	Chapter	Page Number
Customer Privacy				
GRI 418 Customer Privacy 2016	418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	3-3 Customer Service and Rights and Interests Protection	48
Legal compliance				
Material Issues Identified by Yuanta Futures	-	-	2-3 Legal Compliance and Internal Control and Audit System	36
Customer Service				
Material Issues Identified by Yuanta Futures	-	-	3-3 Customer Service and Rights and Interests Protection	46-50
Risk Management and Internal Control				
Material Issues Identified by Yuanta Futures	-	-	2-4 Risk Management	37
Energy and Climate Change				
GRI 305 Emissions 2016	305-1	Direct (Scope 1) GHG emissions	5-2 Greenhouse Gas Inventory and Energy	75-76
	305-2	Energy indirect (Scope 2) GHG emissions	5-2 Greenhouse Gas Inventory and Energy	75-76
	305-3	Other indirect (Scope 3) GHG emissions	5-2 Greenhouse Gas Inventory and Energy	75-76

GRI Standards		Disclosure Items	Chapter	Page Number
Other Topic standards				
GRI 207 Tax 2019	207-1	Approach to tax	2-6 Tax Governance	39-40
	207-2	Tax governance, control, and risk management	2-6 Tax Governance	39
	207-3	Stakeholder engagement and management of concerns related to tax	2-6 Tax Governance	40
	207-4	Country-by-country reporting	2-6 Tax Governance	40

GRI Standards		Disclosure Items	Chapter	Page Number
Other Topic standards				
GRI 401 Employment 2016	401-1	New employee hires and employee turn-over	4-1 Basic Human Rights Protection of Employees and Employment Structure	57
	401-2	Benefits provided to full-time employees that are not provided to temporary or part time employees	4-2-2 Safe Working Environment and Employee Care System 4-3-4 Retaining: Retaining Talent with Care	59 66-67
	401-3	Parental leave	4-3-4 Retaining: Retaining Talent with Care	67
GRI 402 Labor/Management Relations 2016	402-1	Minimum notice periods regarding opera-tional changes	4-2-1 Occupational Health and Safety Management	60
GRI 404 Training and Education 2016	404-1	Average hours of training per year per employee	4-1 Basic Human Rights Protection of Employees and Employment Structure	60-63
	404-2	Programs for upgrading employee skills and transition assistance programs	4-3-2 Educating: Talent Development 4-3-4 Retaining: Retaining Talent with Care	60-64 66-67
	404-3	Percentage of employees receiving regular performance and career development reviews	4-3-3 Applying: Full Utilization of Talent	65
GRI 417 Marketing and Labeling	417-1	Requirements for product and service information and labeling	3-3 Customer Service and Rights and Interests Protection	50
	417-2	Incidents of non-compliance concerning product and service information and label-ing	3-3 Customer Service and Rights and Interests Protection	50
	417-3	Incidents of non-compliance concerning marketing communications	3-3 Customer Service and Rights and Interests Protection	50

APPENDIX 2: SASB STANDARDS (SECTOR: INVESTMENT BANKING AND BROKERAGE SERVICES)

SASB Standards	Disclosure Metrics	Code	Page Number	Note
Employee Diversity & Inclusion	Percentage of (1) gender and (2) diversity group representation for (a) executive management, (b) non-executive management, (c) professionals, and (d) all other employees	FN-IB-330a.1	56-57	
Incorporation of Environmental, Social, and Governance Factors in Investment Banking and Brokerage Activities	Revenue from (1) underwriting, (2) advisory and (3) securitization transactions incorporating integration of environmental, social and governance (ESG) factors, by industry	FN-IB-410a.1	52	
	(1) Number and (2) total value of investments and loans incorporating integration of environmental, social and governance (ESG) factors, by industry	FN-IB-410a.2	52	
	Description of approach to incorporation of environmental, social and governance (ESG) factors in investment banking and brokerage activities	FN-IB-410a.3	52	
Business Ethics	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, antitrust, anticompetitive behaviour, market manipulation, malpractice, or other related financial industry laws or regulations	FN-IB-510a.1	-	In 2025, Yuanta Futures has no monetary losses as a result of legal proceedings associated with fraud, insider trading, anti-trust, anti-competitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations.
	Description of whistleblower policies and procedures	FN-IB-510a.2	35	For details, please refer to the Company's 2025 Annual Report (EN) P166
Professional Integrity	(1) Number and (2) percentage of licensed employees and identified decision-makers with a record of investment-related investigations, consumer-initiated complaints, private civil litigations, or other regulatory proceedings	FN-IB-510b.1	-	For details, please refer to the Company's 2025 Annual Report (EN) P166
	Number of mediation and arbitration cases associated with professional integrity, including duty of care, by party	FN-IB-510b.2	-	For details, please refer to the Company's 2025 Annual Report (EN) P166
	Total amount of monetary losses as a result of legal proceedings associated with professional integrity, including duty of care	FN-IB-510b.3	-	For details, please refer to the Company's 2025 Annual Report (EN) P166
	Description of approach to ensuring professional integrity, including duty of care	FN-IB-510b.4	35-36	

SASB Standards	Disclosure Metrics	Code	Page Number	Note
Systemic Risk Management	Global Systemically Important Bank (G-SIB) score, by category	FN-IB-550a.1	-	The Company is not a systemically important bank.
	Description of approach to integrate results of mandatory and voluntary stress test into capital adequacy planning, long-term corporate strategy, and other business activities	FN-IB-550a.2	36 69-73	
Employee Incentives & Risk Taking	Percentage of total remuneration that is variable for Material Risk Takers (MRTs)	FN-IB-550b.1	-	Information about this indicator will be further disclosed in the future
	Percentage of variable remuneration of Material Risk Takers (MRTs) to which malus or clawback provisions were applied	FN-IB-550b.2	-	No clawback provisions apply to the Group's senior management.
	Discussion of policies around supervision, control, and validation of traders' pricing of Level 3 assets and liabilities	FN-IB-550b.3	-	For details, please refer to the Company's 2025 Consolidated Financial Statement (EN) P64~P68
Activity Metrics	(1) Number and (2) value of (a) underwriting, (b) advisory, and (c) securitization transactions	FN-IB-000.A	52	
	Number and value of proprietary investments and loans by sector	FN-IB-000.B	52	
	(1) Number and (2) value of market making transactions in (a) fixed income, (b) equity, (c) currency, (d) derivatives, and (e) commodity products	FN-IB-000.C	52	

APPENDIX 3: CLIMATE-RELATED IMPLEMENTATION STATUS OF TPEx LISTED COMPANIES

Implementation of climate-related information

Item	Description	Chapter	Page
1	Describe the supervision and governance of the board of directors and management over the climate-related risks and opportunities.	5-1 Climate Change Risks Disclosure	69
2	Describe how the identified climate risks and opportunities affect the business, strategy, and finances of the enterprise in the short-term, mid-term, and long-term.	5-1 Climate Change Risks Disclosure	70-72
3	Describe the financial impact of extreme climate events and transformational action.	5-1 Climate Change Risks Disclosure	70-72
4	Describe how climate risk identification, assessment, and management processes are incorporated into the overall risk management system.	5-1 Climate Change Risks Disclosure	73-74
5	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.	5-1 Climate Change Risks Disclosure	70-72
6	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.	5-1 Climate Change Risks Disclosure	71-75
7	If internal carbon pricing is used as a planning tool, the pricing basis should be detailed.	5-2 GHG Inventory and Energy Management	77
8	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 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.	5-1 Climate Change Risks Disclosure 5-2 GHG Inventory and Energy Management	74-75 76
9	GHG inventory and assurance status, and reduction targets, strategies, and specific action plans.	5-1 Climate Change Risks Disclosure 5-2 GHG Inventory and Energy Management	74-75 76

Item	Description	Chapter	Page
1-1-1	GHG Inventory Information: Describe greenhouse gas emissions (metric tons CO_2e), intensity (metric tons CO_2e/million NT$), and data coverage scope for the most recent two years.	5-2 GHG Inventory and Energy Management	76
1-1-2	GHG Assurance Information: Describe assurance status for the most recent two years, including assurance scope, assurance institution, assurance criteria, and assurance opinion.	5-2 GHG Inventory and Energy Management	76
1-2	GHG Reduction Targets, Strategies, and Specific Action Plans: Describe the base year and data for greenhouse gas reduction, reduction targets, strategies and specific action plans, and achievement status of reduction targets.	5-1 Climate Change Risks Disclosure	74-75

APPENDIX 4: SUSTAINABILITY DISCLOSURE METRICS : FINANCIAL SECTOR

No.	Metric	Selected Key Performance Indicators	Page	Note
1	Number of data breaches, percentage involving personally identifiable information (PII), and number of customers affected	In 2025, Yuanta Futures experienced no data breaches. As a result, the percentage of data breaches involving personally identifiable information (PII) was 0%, no customers were affected, and no complaints related to customer privacy violations were received.	48	All sustainability-related disclosure indicators for the financial sector have been assured by PwC Taiwan through a limited assurance engagement. Please refer to Appendix 5 for the assurance report
2	Number and amount of loans to support small businesses and community development	This metric is not applicable to Yuanta Futures.		
3	Number of individuals provided with financial education related to underserved or unbanked populations	In 2025, Yuanta Futures volunteers visited three elementary schools in rural areas to hold "Yuanta Wealth Management Day" sessions, helping children develop sound money concepts through games, with a total of 113 students participating.	81	
4	Description of products and services designed to promote environmental or social benefits	In 2025, the Company donated NT$2.5 million to the Ministry of Health and Welfare's Typhoon Danas disaster relief fundraising program, contributing to reconstruction efforts in the affected areas.	80	
		Purchased 572,714 kWh of green electricity in 2025. Purchased a cumulative total of 1.73 million kWh of green electricity from 2018 to 2025.	77	
		1061 contracts traded in Taiwan Sustainability Futures in 2025, The Company has ranked first in market share among futures commission merchants for six consecutive years.	52	

APPENDIX 5: SUPPLIER MANAGEMENT AND HUMAN RIGHTS DUE DILIGENCE

To enhance its supplier management processes, the Company focuses on strengthening supplier risk assessments and implementing supplier evaluations. As part of the supplier selection and evaluation processes, suppliers are required to comply with the relevant policies and regulations of each Group company, including those governing ethical corporate management, confidentiality, personal data protection, sustainable development, and information security. Their compliance is also considered in supplier evaluations.

To identify supplier sustainability risks, the Company's human rights due diligence covers all Class A, B, and C suppliers with which it maintains business relationships. During the reporting year, the Company also conducted a risk self-assessment questionnaire for key suppliers. The questionnaire comprehensively addresses three dimensions: environmental matters (E), labor practices and human rights (S), and corporate governance (G), enabling the Company to assess suppliers' sustainability performance. Responses are analyzed to classify suppliers as high, medium, or low risk. Selected high-risk suppliers are then subject to document reviews and on-site audits. The Company subsequently provides recommendations on risk mitigation and remediation measures and monitors corrective actions and outcomes relating to identified risks and regulatory violations. Follow-up and verification of the implementation of risk mitigation and remediation measures were completed in 100% of applicable cases.

Supplier Human Rights Due Diligence Process

After assessing compliance with the Labor Standards Act among key and significant suppliers in its supply chain, the Company conducts human rights risk assessments and human rights due diligence—a process through which the Company identifies and assesses the adverse human rights impacts of its operations on stakeholders. A human rights due diligence report is then prepared, with content consistent with that disclosed on the corporate website.

Results of the 2025 Supplier Human Rights Due Diligence Conducted in 2026

Human Rights Issue	Risk Mitigation	Remediation Measures
Forced Labor	1. The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. It also incorporates the "Supplier Sustainable Procurement Clauses" into contracts to prohibit all forms of forced labor, safeguard employees' physical and mental well-being and freedom of movement, and proactively prevent human rights violations. 2. As part of supplier engagement, the Group provides training on human rights and labor practices to ensure that suppliers fully understand a broad range of human rights issues and strengthen their management practices.	No incidents occurred in 2025.
Environmental Health and Safety	The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. It also incorporates the "Supplier Sustainable Procurement Clauses" into contracts. Suppliers are required to comply with applicable occupational safety and health laws and regulations and provide employees with clean and sanitary environments, including restrooms, employee dormitories, storage facilities, and rest areas, as well as safe drinking water and hygienically prepared food.	A total of 10 suppliers were found to have violated applicable laws and regulations during the review period. The Group proactively contacted these suppliers to ensure that all identified violations were properly addressed and corrective actions completed.
Personal Data and Privacy	The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. It also incorporates the "Supplier Sustainable Procurement Clauses" into contracts. Suppliers are required to maintain confidential information and respect intellectual property rights. When collecting consumer information, suppliers must explain the purpose of collection, uphold ethical business practices, limit collection to the minimum information necessary, and establish mechanisms to ensure that such information is properly safeguarded.	One supplier was found to have violated applicable laws and regulations during the review period. The Group required the supplier to provide an explanation of the incident and progress updates on the measures taken to address it.

Human Rights Issue	Risk Mitigation	Remediation Measures
Discrimination	1. The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. It also incorporates the "Supplier Sustainable Procurement Clauses" into contracts. Suppliers are required to comply with local laws and regulations and are prohibited from engaging in any discriminatory practices during recruitment or employment that may adversely affect employees' rights and interests. 2. As part of supplier engagement, the Group provides training on human rights and labor practices to ensure that suppliers fully understand a broad range of human rights issues and strengthen their management practices.	No identified risks materialized in 2025.
Child Labor and Young Workers	1. The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. It also incorporates the "Supplier Sustainable Procurement Clauses" into contracts. 2. The Group prohibits suppliers from employing workers under the age of 15. When employing young workers, suppliers must comply with the Labor Standards Act to safeguard these workers' labor rights and physical and mental well-being in the workplace. 3. As part of supplier engagement, the Group provides training on human rights and labor practices to ensure that suppliers fully understand a broad range of human rights issues and strengthen their management practices.	No identified risks materialized in 2025.
Right to Collective Bargaining	1. The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. It also incorporates the "Supplier Sustainable Procurement Clauses" into contracts. 2. Suppliers are required to comply with local laws and regulations and proactively prevent human rights violations. 3. As part of supplier engagement, the Group provides training on human rights and labor practices to ensure that suppliers fully understand a broad range of human rights issues and strengthen their management practices.	No identified risks materialized in 2025.
Freedom of Association	1. The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. 2. Suppliers must respect employees' rights to form and join trade unions, engage in collective consultation and bargaining, and participate in peaceful assembly, as well as their right to refrain from such activities. 3. As part of supplier engagement, the Group provides training on human rights and labor practices to ensure that suppliers fully understand a broad range of human rights issues and strengthen their management practices.	No identified risks materialized in 2025.

Human Rights Issue	Risk Mitigation	Remediation Measures
Human Trafficking	1. The Group has established the "Supplier Sustainable Procurement Guidelines and Guidance" and requires suppliers to comply with them. 2. Suppliers must ensure that employment is freely chosen. The use of forced, bonded, indentured, involuntary, or exploitative labor, or the labor of enslaved or trafficked persons, is prohibited. 3. As part of supplier engagement, the Group provides training on human rights and labor practices to ensure that suppliers fully understand a broad range of human rights issues and strengthen their management practices.	No identified risks materialized in 2025.

To strengthen accountability for supplier management and better align with the intent of occupational safety and health laws and regulations, the Group has developed Chinese and English versions of the "Letter of Undertaking for Safety and Health by Supplier," available at:

https://www.yuanta.com/Res/Doc/Policies/ES/Letter_of_Undertaking_for_Safety_and_Health_by_Supplier.pdf

A. The Company requires staffing agencies and labor service contractors to comply with applicable laws and regulations and promotes their compliance with labor laws. Existing measures include the establishment of Chinese and English versions of the "Letter of Undertaking for Safety and Health by Supplier." Under the Company's procurement procedures, suppliers entering service procurement contracts are required to submit a signed undertaking, committing to comply with the Occupational Safety and Health Act, the Labor Standards Act, and other applicable requirements concerning occupational safety and health and labor rights. Suppliers must also commit to providing safety education and training, health protection, and health insurance for their workers. The signing and implementation of the undertaking are among the factors considered in the Company's procurement decisions.

B. The Company requires contracts to incorporate the "Supplier Sustainable Procurement Clauses," under which all contracted suppliers must comply with applicable gender equality legislation, the Labor Standards Act, and other relevant requirements, or the local laws and regulations applicable to the suppliers. These clauses cover freely chosen employment, child labor, discrimination, violent treatment, wages and working hours, freedom of association, and occupational injuries and diseases.

C. As described in Item 3 above, the Company distributes a supplier sustainability self-assessment questionnaire to key suppliers annually. The assessment includes an analysis of suppliers' regulatory compliance over the preceding year. Where violations are identified, including violations of the Labor Standards Act or the Occupational Safety and Health Act, the Company conducts document reviews or on-site visits and requires suppliers to explain the causes of the violations and the measures taken to address them. The Company also uses on-site visits to understand suppliers' compliance status and sustainability practices and to engage with them on these matters.

APPENDIX 6 : ACCOUNTANTS' LIMITED ASSURANCE REPORT

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Independent Limited Assurance Report

To Yuanta Futures Co., Ltd.

We have been engaged by Yuanta Futures Co., Ltd. ("Company") to perform assurance procedures in respect of the key performance indicators identified by the Company and reported in the 2025 Sustainability Report (hereinafter referred to as the "Identified Key Performance Indicators") and have issued a limited assurance report based on the result of our work performed.

Subject Matter Information and Applicable Criteria

The subject matter information is the Identified Key Performance Indicators of the Company. The Identified Key Performance Indicators and the respective applicable criteria are stated in the "Summary of Subject Matter Assured" of the Sustainability Report. The scope of the Identified Key Performance Indicators is set out in the "Scope and Boundary" of the Sustainability Report.

The respective applicable criteria referred to above are the Taipei Exchange Rules Governing the Preparation and Filing of Sustainability Reports by TPEx Listed Companies and related laws and regulations, the latest edition of the GRI Sustainability Reporting Standards (GRI Standards) and the GRI Sector Disclosures published by the Global Reporting Initiative (GRI) and the other criteria referred to or designed by the Company based on the Company's industry characteristics and sustainability performance information reported (hereinafter referred to as the "Applicable Criteria").

Management's Responsibility

The Management of the Company is responsible for the preparation of the Identified Key Performance Indicators disclosed in the Sustainability Report in accordance with the Applicable Criteria. This responsibility includes the design, implementation and maintenance of internal control relevant to the preparation of the Identified Key Performance Indicators that are free from material misstatement, whether due to fraud or error.

Inherent Limitation

Certain subject matter information assured involves non-financial data which is subject to more inherent limitations than financial information. Qualitative interpretations of the relevance, materiality and the accuracy of data are more dependent on individual assumptions and judgments.

Compliance of Independence and Quality Management Requirement

We are independent of the Company in accordance with the Norm of Professional Ethics for Certified Public Accountant of the Republic of China, which is founded on fundamental principles of integrity, objectivity, professional competence and due care, confidentiality and professional behavior.

資誠聯合會計師事務所 PricewaterhouseCoopers, Taiwan
110208 臺北市信義區基隆路一段 333 號 27 樓
27F, No. 333, Sec. 1, Keelung Rd., Xinyi Dist., Taipei 110208, Taiwan
T: +886 (2) 2729 6666, F: +886 (2) 2729 6686
www.pwc.tw

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Our firm applies the Standard on Quality Management 1, "Quality Management for Public Accounting Firms" of the Republic of China, which requires the firm to design, implement and operate a system of quality management including policies or procedures regarding compliance with ethical requirements, professional standards and applicable legal and regulatory requirements.

Our Responsibility

Our responsibility is to express a limited assurance conclusion on the Identified Key Performance Indicators based on the procedures we have performed and the evidence we have obtained. We conducted our limited assurance engagement in accordance with the Standard on Assurance Engagements 3000, "Assurance Engagements other than Audits or Reviews of Historical Financial Information" of the Republic of China. This standard requires that we plan and perform this engagement to obtain limited assurance about whether the Identified Key Performance Indicators are free from material misstatement.

Under the requirements of the aforementioned standards, our limited assurance engagement involves assessing the suitability in the circumstances of the Company's use of the criteria as the basis for the preparation of the Identified Key Performance Indicators, assessing the risks of material misstatement of the Identified Key Performance Indicators whether due to fraud or error, responding to the assessed risks as necessary in the circumstances and evaluating the overall presentation of the Identified Key Performance Indicators. A limited assurance engagement is substantially less in scope than a reasonable assurance engagement in relation to both the risk assessment procedures, including an understanding of internal control, and the procedures performed in response to the assessed risks.

The procedures we performed were based on our professional judgment and included inquiries, observation of processes performed, inspection of documents, and agreeing or reconciling with underlying records.

Given the circumstances of the engagement, in performing the procedures listed above, we:

- Made inquiries of the persons responsible for the Identified Key Performance Indicators to obtain an understanding of the processes, and the relevant internal controls relating to the preparation of the aforementioned information, to identify the areas where there may be risks of material misstatement; and
- Based on the above understanding and the areas identified, selected samples from the Identified Key Performance Indicators and performed substantive testing on a selective basis, including inquiries, observation and inspection to obtain evidence for limited assurance.

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The procedures performed in a limited assurance engagement vary in nature and timing from, and are less in extent than for, a reasonable assurance engagement. Consequently, the level of assurance obtained in a limited assurance engagement is substantially lower than the assurance that would have been obtained had we performed a reasonable assurance engagement. Accordingly, we do not express a reasonable assurance opinion about whether the Company's Identified Key Performance Indicators have been prepared, in all material respects, in accordance with the respective applicable criteria.

We also do not provide any assurance on the Sustainability Report as a whole or on the design or operating effectiveness of the relevant internal controls.

Limited Assurance Conclusion

Based on the procedures we have performed and the evidence we have obtained, nothing has come to our attention that causes us to believe that the Identified Key Performance Indicators in the Sustainability Report are not prepared, in all material respects, in accordance with the Applicable Criteria.

Other Matter

The Management of the Company is responsible for maintaining the Company's website. We have no responsibility to re-perform any procedures regarding the Identified Key Performance Indicators after the date of our assurance report, even if the Identified Key Performance Indicators or the Applicable Criteria have been subsequently modified.

Lo, Chiao-Sen

Lo, Chiao-Sen
For and on behalf of PricewaterhouseCoopers, Taiwan
August 7, 2026

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According to "Taipei Exchange Rules Governing the Preparation and Filing of Sustainability Reports by TPEx Listed Companies" Article 4 Paragraph 1 ("Rules") emphasizing the information disclosure and statement of summary.

No.	Subject Matter Information	Page	Applicable Criteria
1.1	There were no data breaches for Yuanta Futures in 2025.	48	In accordance with "Operational Guidelines for Circulating Reports on the Information and Communication Security Related Events Occur in Securities and Futures Markets", Yuanta Futures uses the information and communication-security-related events notification systems to report relevant events to the competent authority (Securities and Futures Bureau) and check whether these events involve data breaches or not. The total number of data breaches of Yuanta Futures is counted in 2025. The data breach is based on whether the data leak of Yuanta Futures and the data breach violate the policies of Yuanta Futures of non-disclosure and information security.
1.2	The percentage of data breaches involving personally identifiable information out of total data breaches for Yuanta Futures was 0% in 2025.	48	In accordance with "Operational Guidelines for Circulating Reports on the Information and Communication Security Related Events Occur in Securities and Futures Markets", Yuanta Futures uses the information and communication-security-related events notification systems to report relevant events to the competent authority (Securities and Futures Bureau) and check whether these events involve data breaches or not. And in accordance with "Regulation on Personal Information Management", the percentage of data breaches involving personally identifiable information out of total data breaches for Yuanta Futures is calculated in 2025. Note: "Personal data" in accordance with "Personal Information Working Guidelines" refers to a natural person's name, data of birth, ID Card number, passport number, features, fingerprints, marital status, family information, education background, occupation, contact information, financial conditions, data concerning a person's social activities, special personal information and any other information that may be used to directly or indirectly identify a natural person.
1.3	There were no holders affected by data breaches for Yuanta Futures in 2025.	48	In accordance with "Operational Guidelines for Circulating Reports on the Information and Communication Security Related Events Occur in Securities and Futures Markets", Yuanta Futures uses the information and communication-security-related events notification systems to report relevant events to the competent authority (Securities and Futures Bureau) and check whether these events involve data breaches or not. Number of account holders affected by data breaches of Yuanta Futures is counted in 2025.
2	In 2025, Yuanta Futures held the "Yuanta Wealth Management Day" program at three rural elementary schools. A total of 113 students registered for the program.	81	The number of student applicants for the "Yuanta Wealth Management Day" educational program held by Yuanta Futures at three rural elementary schools in 2025. Note: According to FAQs of "Taiwan Stock Exchange Corporation Rules Governing the Preparation and Filing of Sustainability Reports by TWSE Listed Companies", disadvantaged groups are those without adequate banking services with reference to the definition of SASB. Disadvantaged groups include but not limited to students, teenagers, new immigrants, the elderly, minorities, low-income households, and those considered to be appropriate by the financial and insurance companies.
3	The turnover of "FTSE4GOOD" is 1,061 lots in 2025.	52	The turnover of the trading brokerage services for "FTSE4GOOD" provided by Yuanta Futures in 2025.
4	Yuanta Futures donated NT$2.5 million to the Ministry of Health and Welfare's Disaster Relief Fund.	13	The total amount of donations from Yuanta Futures to the Ministry of Health and Welfare's Disaster Relief Fund in 2025.
5	Yuanta Futures cooperates with the Yuanta Group in subscribing to green energy certificates in 2025, the subscribed green electricity and renewable energy certificates amounted to 570,000kWh.	77	Yuanta Futures subscribed to green energy power and obtained the power generation degree of the renewable energy certificates issued by the Bureau of Standards, Metrology and Inspection, M.O.E.A. and the National Renewable Energy Certification Center.

APPENDIX 7 : INDEPENDENT ASSURANCE OPINION STATEMENT

INDEPENDENT ASSURANCE OPINION STATEMENT

2025 Yuanta Futures Sustainability Report

The British Standards Institution is independent to Yuanta Futures Co., Ltd. (hereafter referred to as Yuanta Futures in this statement) and has no financial interest in the operation of Yuanta Futures other than for the assessment and verification of the sustainability statements contained in this report.

This independent assurance opinion statement has been prepared for the stakeholders of Yuanta Futures only for the purpose of assuring its statements relating to its sustainability report, more particularly described in the Scope below. It was not prepared for any other purpose. The British Standards Institution will not, in providing this independent assurance opinion statement, accept or assume responsibility (legal or otherwise) or accept liability for or in connection with any other purpose for which it may be used, or to any person by whom the independent assurance opinion statement may be read.

This independent assurance opinion statement is prepared on the basis of review by the British Standards Institution of information presented to it by Yuanta Futures. The review does not extend beyond such information and is solely based on it. In performing such review, the British Standards Institution has assumed that all such information is complete and accurate.

Any queries that may arise by virtue of this independent assurance opinion statement or matters relating to it should be addressed to Yuanta Futures only.

Scope

The scope of engagement agreed upon with Yuanta Futures includes the followings:

1. The assurance scope is consistent with the description of 2025 Yuanta Futures Sustainability Report.
2. The evaluation of the nature and extent of the Yuanta Futures's adherence to AA1000 AccountAbility Principles (2018) in this report as conducted in accordance with type 1 of AA1000AS v3 sustainability assurance engagement and therefore, the information/data disclosed in the report is not verified through the verification process.

This statement was prepared in English and translated into Chinese for reference only.

Opinion Statement

We conclude that the 2025 Yuanta Futures Sustainability Report provides a fair view of the Yuanta Futures sustainability programmes and performances during 2025. The sustainability report subject to assurance is free from material misstatement based upon testing within the limitations of the scope of the assurance, the information and data provided by the Yuanta Futures and the sample taken. We believe that the performance information of Environment, Social and Governance (ESG) are fairly represented. The sustainability performance information disclosed in the report demonstrate Yuanta Futures's efforts recognized by its stakeholders.

Our work was carried out by a team of sustainability report assurors in accordance with the AA1000AS v3. We planned and performed this part of our work to obtain the necessary information and explanations we considered to provide sufficient evidence that Yuanta Futures's description of their approach to AA1000AS v3 and their self-declaration in accordance with GRI Standards were fairly stated.

Methodology

Our work was designed to gather evidence on which to base our conclusion. We undertook the following activities:

- a review of issues raised by external parties that could be relevant to Yuanta Futures's policies to provide a check on the appropriateness of statements made in the report.
- discussion with managers on approach to stakeholder engagement. However, we had no direct contact with external stakeholders.
- 5 interviews with staffs involved in sustainability management, report preparation and provision of report information were carried out.
- review of key organizational developments.
- review of the findings of internal audits.
- review of supporting evidence for claims made in the reports.
- an assessment of the organization's reporting and management processes concerning this reporting against the principles of Inclusivity, Materiality, Responsiveness, and Impact as described in the AA1000AP (2018).

Conclusions

A detailed review against the Inclusivity, Materiality, Responsiveness, and Impact of AA1000AP (2018) and GRI Standards is set out below:

Inclusivity

This report has reflected a fact that Yuanta Futures has continually sought the engagement of its stakeholders and established material sustainability topics, as the participation of stakeholders has been conducted in developing and achieving an accountable and strategic response to sustainability. There are fair reporting and disclosures for the information of Environment, Social and Governance (ESG) in this report, so that appropriate planning and target-setting can be supported. In our professional opinion the report covers the Yuanta Futures's inclusivity issues.

Materiality

Yuanta Futures publishes material topics that will substantively influence and impact the assessments, decisions, actions and performance of Yuanta Futures and its stakeholders. The sustainability information disclosed enables its stakeholders to make informed judgements about the Yuanta Futures's management and performance. In our professional opinion the report covers the Yuanta Futures's material issues.

Responsiveness

Yuanta Futures has implemented the practice to respond to the expectations and perceptions of its stakeholders. An Ethical Policy for Yuanta Futures is developed and continually provides the opportunity to further enhance Yuanta Futures's responsiveness to stakeholder concerns. Topics that stakeholder concern about have been responded timely. In our professional opinion the report covers the Yuanta Futures's responsiveness issues.

Impact

Yuanta Futures has identified and fairly represented impacts that were measured and disclosed in probably balanced and effective way. Yuanta Futures has established processes to monitor, measure, evaluate, and manage impacts that lead to more effective decision-making and results-based management within the organization. In our professional opinion the report covers the Yuanta Futures's impact issues.

GRI Sustainability Reporting Standards (GRI Standards)

Yuanta Futures provided us with their self-declaration of in accordance with GRI Standards 2021 (For each material topic covered in the applicable GRI Sector Standard and relevant GRI Topic Standard, comply with all reporting requirements for disclosures). Based on our review, we confirm that sustainable development disclosures with reference to GRI Standards' disclosures are reported, partially reported, or omitted. In our professional opinion the self-declaration covers the Yuanta Futures's sustainability topics. However, the future report will be improved by the following areas:

- The organization currently cites "confidentiality constraints" as the reason for omitting disclosure of GRI 2-21: Annual total compensation ratio. It is encouraged to align with the disclosure requirements in the future to enhance the transparency of the organization's sustainability reporting.

Assurance level

The moderate level assurance provided is in accordance with AA1000AS v3 in our review, as defined by the scope and methodology described in this statement.

Responsibility

The sustainability report is the responsibility of the Yuanta Futures's chairman as declared in his responsibility letter. Our responsibility is to provide an independent assurance opinion statement to stakeholders giving our professional opinion based on the scope and methodology described.

Competency and Independence

The assurance team was composed of auditors experienced in relevant sectors, and trained in a range of sustainability, environmental and social standards including AA1000AS, ISO 14001, ISO 45001, ISO 14064, and ISO 9001. BSI is a leading global standards and assessment body founded in 1901. The assurance is carried out in line with the BSI Fair Trading Code of Practice.

For and on behalf of BSI:

Joe Hsieh, Managing Director Northeast Asia, APAC Assurance

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Taiwan Headquarters: 2nd Floor, No. 37, Ji-Hu Rd., Nei-Hu Dist., Taipei 114, Taiwan, R.O.C.

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Headquarters / Branch Contact Information

(02) 2717-6000 2F.(Partial) & 3F.~5F., No. 77, Sec. 2, Nanjing E. Rd., Zhongshan Dist., Taipei City 10457, Taiwan (R.O.C.)

(03) 666-2558 B1F.-1, No.373, Sec. 1, Guangfu Rd., East Dist., Hsinchu City 30074, Taiwan (R.O.C.)

(04) 3703-3368 4F.-1, No.8, Sec. 2, Ziyou Rd., Central Dist., Taichung City 40045, Taiwan (R.O.C.)

(06) 235-5999 4F., No. 165, Sec. 1, Minsheng Rd., West Central Dist., Tainan City 70048, Taiwan (R.O.C.)

(07) 215-7777 7F.-1, No.143, Zhongzheng 4th Rd., Qianjin Dist., Kaohsiung City 80147, Taiwan (R.O.C.)

Yuanta Futures (HK) Co., Limited

+852-2293-9688 23/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong

Yuanta Global (Singapore)

+65-6228-8268 9 Temasek Boulevard #08-01C,Suntec Tower 2,Singapore

yuantafutures.com.tw