

**Yuanta Financial Holding Company
2023 Human Rights Risk Assessment Management Table**

Assessment Completion Date: March 15, 2024

Assessment Target	Risk Assessment Percentage (%)	Issues of Concern	Groups at Risk	Human Rights Risk Percentage (%)	Risk Mitigation Measures	Number of Risk-Mitigated Persons (Person)	Risk Mitigation Implementation Percentage (%)	Actual Percentage of Risk Occurrence (%)	Impact Compensation Measures	Risk Compensation Percentage (%)	Results	
Employees	100.00	Workplace Inclusivity	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.46	1. Managing the statutory number and proportion of employees with physical and mental disabilities, each insured unit shall employ the full amount of employees with physical and mental disabilities as required by law. 2. Planning the appointment and management procedures for employees with physical and mental disabilities, and having dedicated staff to care for their working conditions on a regular basis. 3. Building a barrier-free working environment that is friendly to persons with physical disabilities.	53	100.00	0.00	—	—	The total number of employees with physical and mental disabilities employed by the Yuanta Group has exceeded the total number of employees required by law to be employed.	
		Forced Labor	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.00	1. We comply with the regulations of the <i>Employment Service Act</i> , honestly reveal recruitment advertisements, and do not retain the identity documents of employees or job seekers, nor do we withhold property or receive security deposits. 2. We provide a formal notice of appointment, clearly stating the terms and conditions of appointment, and have employees confirm their consent to serve; no involuntary labor is used. 3. We ensure that the actual working conditions and wages provided to employees are consistent with labor contracts and work rules, and that they comply with relevant labor laws and regulations.	--	--	--	—	—	There were no cases of forced labor violations during the year.	
		Human Trafficking	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	0.00	1. We ensure that all sources of labor are directly employed or legally dispatched, and that no methods are used to engage workers against their will in work that is in violation of laws and regulations, or in work that is not commensurate with their labor and compensation. 2. We ensure that no illegal activities such as sex trafficking or human organ harvesting are involved in any of our business activities.	—	—	—	—	—	—	There were no cases of human trafficking violations during the year.
		Sexual Harassment	-Own employees -Women	100.00 [Note 1]	1. We comply with the relevant regulations of the <i>Act of Gender Equality in Employment</i> , and provide an equal workplace environment by explicitly prohibiting gender discrimination and sexual harassment in our work rules and related personnel regulations. 2. Organizing regular sexual harassment prevention and advocacy courses to raise the awareness of gender equality among supervisors and employees. 3. Providing relevant grievance channels (e.g. employee grievance bulletin and sexual harassment complaint hotline and email) to enable employees to express their views in a timely manner. 4. A sexual harassment complaint handling committee was established to ensure that when a complaint occurs, the complaint case can be handled fairly and the rights and interests of the victim are protected.	11,463	100.00	0.00	--	--	1. There were no incidents of sexual harassment during the year. 2. The Company has been named to the Bloomberg Gender-Equality Index (GEI) from 2020 to 2023 and has received a perfect score on the anti-sexual harassment policies component for four consecutive years.	

Assessment Target	Risk Assessment Percentage (%)	Issues of Concern	Groups at Risk	Human Rights Risk Percentage (%)	Risk Mitigation Measures	Number of Risk-Mitigated Persons (Person)	Risk Mitigation Implementation Percentage (%)	Actual Percentage of Risk Occurrence (%)	Impact Compensation Measures	Risk Compensation Percentage (%)	Results
		Unlawful Assault at Workplace	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.00 [Note 1]	<ol style="list-style-type: none"> In accordance with the law, we have formulated and implemented the "Plan for the Prevention of Unlawful Assault in the Performance of Duties," and the responsible person of the Company has signed a statement on the prevention of workplace violence, declaring zero tolerance for workplace violence. We hold regular workplace assault prevention courses to enhance the concept of workplace violence prevention for supervisors and employees. We provide grievance channels (such as employee grievance bulletin, grievance hotline and e-mail address) for employees to express their opinions immediately. We establish procedures for handling cases of workplace assault to ensure that when a complaint occurs, it can be handled fairly to protect the rights and interests of the victim. 	11,463	100.00	0.00	--	--	There were no incidents of unlawful workplace assault of employees in the performance of their duties during the year.
		Overtime Work	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.00 [Note 1]	<ol style="list-style-type: none"> The <i>Labor Standards Act</i> is followed, and the regulations on working hours are specified in the work rules and related personnel regulations. Periodically reviewing the overtime situation of each unit. Through information management, we can record employees' attendance time and overtime intention, and set up automatic reminders for employees' off-time and extended working hours. Assisting employees and supervisors in keeping track of the overtime situation through working hours management related reports and sending weekly overtime confirmation notices. Continuing to raise awareness of the Company's normal working hours and requirements for extending working hours. 	11,463	100.00	0.41	<ol style="list-style-type: none"> Compensation for overtime or compensatory time off due to employees. Assisting in understanding the workload of employees and the reasons for overtime, and making appropriate adjustments to their work or helping to improve efficiency as appropriate. 	100.00	For the actual impact, overtime pay or compensatory time off has been granted in accordance with the compensation measures, and the reasons for overtime work have been grasped.
		Child Labor	Children	0.00	<ol style="list-style-type: none"> Prohibiting the employment of persons under the age of 16. The documents required to be completed during the recruiting and interview process require the candidate to state the date of birth and ensure the accuracy of the information, as well as to review the identity card at the time of reporting for duty. 	--	--	--	--	--	There were no cases of child labor during the year.
		Personal Data Protection	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.0 [Note 1]	<ol style="list-style-type: none"> We have formulated a Personal Data Protection Policy and Personal Data Management Regulations and established a Personal Data Protection Team to implement personal data protection matters. Personal data risk assessment is performed regularly, and each department establishes and maintains a personal data inventory to improve personal data management. If personal data protection is involved in the processing of business, we must implement privacy impact analysis procedures to ensure that the business process does not violate personal data protection-related regulations. Regularly conducting training on personal data protection laws and regulations. 	11,463	100.00	0.00	--	--	There were no violations of personal data protection laws and regulations during the year.

Assessment Target	Risk Assessment Percentage (%)	Issues of Concern	Groups at Risk	Human Rights Risk Percentage (%)	Risk Mitigation Measures	Number of Risk-Mitigated Persons (Person)	Risk Mitigation Implementation Percentage (%)	Actual Percentage of Risk Occurrence (%)	Impact Compensation Measures	Risk Compensation Percentage (%)	Results
		Occupational Safety Management	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.0 [Note 1]	<ol style="list-style-type: none"> A complete occupational safety and health management system is established through the formulation of safety and health work rules, occupational safety and health management manuals, and work plans for human-caused hazard prevention, maternal health protection, and prevention of diseases caused by abnormal workloads. Regularly inspecting the workplace environment (e.g., implementing workplace environment monitoring, and quality inspection of workplace drinking water, carbon dioxide, lighting, fire-fighting equipment, etc.) to ensure that the workplace complies with legal regulations. Regularly organizing occupational safety and health education and training courses for employees to enhance their awareness of hazard identification and knowledge of occupational hazard prevention. Strengthening the promotion of occupational safety and health through internal publicity. 	11,463	100.00	0.36	<ol style="list-style-type: none"> Activating occupational disaster notification and handling procedures. Proactively providing care and related insurance information to help employees understand how to apply for related compensation. Adjusting the work schedule according to the physical and mental recovery of the employee. 	100.00	<ol style="list-style-type: none"> The actual occurrence percentage of occupational safety management risks decreased by 0.02% compared with the previous year. For the actual impact, we have followed the compensation measures to handle the related occupational disaster notification procedures and agreed to the employees' leave of absence for recuperation. The Company and its subsidiaries in securities, banking, insurance, futures, and investment trust (funds) have all implemented the international occupational health and safety management systems "ISO45001" and have passed the third-party certification by the British Standards Institution (BSI).
		Employment and Occupational Discrimination	-Own employees -Women -Indigenous people -Migrant workers -Employees with physical and mental disabilities	100.0 [Note 1]	<ol style="list-style-type: none"> The <i>Employment Service Act</i> and other laws and regulations regarding gender, age, mental and physical disabilities, and indigenous rights are followed, and discriminatory and differential treatment of employees is prohibited. Regularly reviewing the Company's internal rules, regulations, and work procedures to ensure that they are not potentially discriminatory. Through the formulation of human rights policies, the implementation of education and training, and internal promotion, we enhance the concepts of "diversity, equity, and inclusion" among our supervisors and employees. When an incident of suspected discrimination occurs, the victim can protect his/her rights and interests through the channels and procedures for filing a complaint of unlawful assault or sexual harassment in the workplace, depending on the nature of the incident. 	11,463	100.00	0.00	--	--	There were no violations of laws and regulations related to employment and occupational discrimination during the year.

Note 1: Some issues may be rated as 100% because they involve all assessment targets, but this does not mean that the issue is actually or significantly at risk of human rights issues.

Note 2: The following 15 human rights issues were included in our human rights risk identification program: forced labor, human trafficking, child labor, employment and occupational discrimination, workplace inclusiveness, sexual harassment, unlawful assault at workplace, overtime work, fair compensation, occupational safety management, employee health management, maternity protection, freedom of association, freedom of expression, and personal data protection. After risk identification, the significant concerns were identified as the 9 items listed in the table.