

2024 Operation of the Audit Committee

The audit committee convened 13 (A) meetings in the most recent year (2024), and the attendance of the independent directors is as follows:

Title	Name	Number of Actual Attendance (B)	Number of Attendance by Proxy	Actual Attendance Rate (%) [B/A](Note 3)	Remarks
Independent Director	Ming Ling Hsueh	13	0	100	
Independent Director	Kuang Si Shiu	13	0	100	
Independent Director	Hsing Yi Chow	13	0	100	
Independent Director	Sheau Wen Yang	13	0	100	

Other items which should be recorded:

1. In cases where the operation of the audit committee meets any of the following circumstances, the minutes concerned shall clearly state the meeting date of the board of directors, term, contents of motions, resolutions of the audit committee, and the Company's handling of the audit committee's opinions:

(1) Items listed in Article 14-5 of the *Securities and Exchange Act* (All proposals related to items listed in Article 14-5 of the *Securities and Exchange Act* shall be stated clearly.)

1. The 22nd meeting of the 9th audit committee on January 23, 2024

Motion: Evaluation of the independence of the Company's certified public accountants (CPAs) and the audit quality indicators, and the appointment and remuneration for 2024.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 23rd meeting of the 9th board of directors on January 31, 2024.

2. The 23rd meeting of the 9th audit committee on February 27, 2024

Motion: For the joint sale of Chengde Building through subsidiaries Yuanta Securities and Yuanta Bank.

Audit committee's resolution: This motion was voted on and approved by separate division.

Company's handling of the audit committee's opinions: At the 24th meeting of the 9th board of directors held on March 14, 2024, the Company's board of directors had a total of nine seats, and nine seats of directors were present in this motion. This motion was voted on individually by division and passed as a whole.

3. The 24th meeting of the 9th audit committee on March 14, 2024

Motion: The Company's 2023 consolidated financial statements.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 24th meeting of the 9th board of directors on March 14, 2024.

4. The 24th meeting of the 9th audit committee on March 14, 2024

Motion: The Company's distribution of earnings for 2023.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 24th meeting of the 9th board of directors on March 14, 2024.

5. The 24th meeting of the 9th audit committee on March 14, 2024

Motion: The Company's issuance of new shares for converting earnings into new capital for the year 2023.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 24th meeting of the 9th board of directors on March 14, 2024, and presented for discussion at this year's Annual General Meeting of Shareholders.

6. The 25th meeting of the 9th audit committee on March 19, 2024

Motion: The Company's Statement on the Internal Control System for the year 2023.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 25th meeting of the 9th board of directors on March 27, 2024.

7. The 26th meeting of the 9th audit committee on April 16, 2024

Motion: The change of the Company's auditor-general

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 26th meeting of the 9th board of directors on April 24, 2024.

8. The 27th meeting of the 9th audit committee on May 21, 2024

Motion: The Company's consolidated financial statements for the first quarter of 2024.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 27th meeting of the 9th board of directors on May 22, 2024.

9. The 29th meeting of the 9th audit committee on July 16, 2024

Motion: The Company's planning to participate in the subscription of the cash capital increase processed by its subsidiary, Yuanta Life Insurance Co., Ltd. for the year 2024.

Audit committee's resolution: Apart from the stakeholder, Independent Director Sheau Wen Yang, who recused herself, the remaining directors present agreed to pass the motion.

Company's handling of the audit committee's opinions: At the 29th meeting of the 9th board of directors held on July 26, 2024, this motion was approved with the consent of the remaining directors present, except for Director Wei Chen Ma, Director Daniel YM Song, and Independent Director Sheau Wen Yang, who were stakeholders and recused from participating in the discussion and voting.

10. The 29th meeting of the 9th audit committee on July 16, 2024

Motion: The Company's issuance of new shares from converting earnings to increase capital in 2023 and the setting of the base date for stock dividend distribution and the base date for the capital increase and issuance of new shares.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 29th meeting of the 9th board of directors on July 24, 2024.

11. The 30th meeting of the 9th audit committee on August 20, 2024

Motion: The Company's consolidated financial statements for the second quarter of 2024.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 30th meeting of the 9th board of directors on August 23, 2024.

12. The 33rd meeting of the 9th audit committee on November 19, 2024

Motion: The Company's consolidated financial statements for the third quarter of 2024.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 33rd meeting of the 9th board of directors on November 20, 2024.

13. The 33rd meeting of the 9th audit committee on November 19, 2024

Motion: For the purpose of centralized management of software licenses for Yuanta Group's SAP financial accounting system, the Company intends to purchase the software licenses held by Yuanta Securities Co., Ltd., a stakeholder.

Audit committee's resolution: This motion was approved with the consent of the remaining committee members present, except Independent Director Hsing Yi Chow, who was a stakeholder and recused from participating in the discussion and voting.

Company's handling of the audit committee's opinions: At the 33rd meeting of the 9th board of directors held on November 20, 2024, the Company's board of directors had a total of nine seats, and nine seats of directors were present in this motion. This motion was approved with the consent of the remaining directors present, except for Chairman Tony Shen, Director Wei Chen Ma, and Independent Director Hsing Yi Chow, who were stakeholders and recused from participating in the discussion and voting.

14. The 34th meeting of the 9th audit committee on December 17, 2024

Motion: The Company intends to subscribe for a portion of the 30 million shares of Yuanta Futures Co., Ltd. by way of cash capital increase in the year 2024 at the Company's original shareholding ratio and in the capacity of a specified person. The tentative price range per share is NT\$65 to NT\$85 (subject to the final issue price), and the maximum subscription amount is NT\$2.295 billion.

Audit committee's resolution: Approved by all the committee members present.

Company's handling of the audit committee's opinions: Approved by all the directors of the board present at the 34th meeting of the 9th board of directors on December 25, 2024.

(2) Apart from aforementioned, resolution(s) which were approved with the consent of two thirds of the board of directors but were not approved by the audit committee: None.

2. In cases where an independent director recused himself/herself due to a conflict of interest, the minutes shall clearly state the independent director's name, contents of motions, reason for recusing him/herself, and final voting status:

(1) 23rd meeting of the 9th audit committee on February 27, 2024

The motion for the joint sale of Chengde Building through subsidiaries Yuanta Securities and Yuanta Bank.

Supplementary notes: This motion was discussed and voted on individually by division:

1. Independent Directors Ming Ling Hsueh and Kuang Si Shiu recused themselves with respect to the part involving Yuanta Bank. Independent Director Hsing Yi Chow was appointed as acting chairman.
2. Independent Director Hsing Yi Chow recused himself with respect to the part involving Yuanta Securities.

Resolution: This motion was voted on and approved by separate division and reported to the board of directors for resolution.

(2) 29th meeting of the 9th audit committee on July 16, 2024

The motion for the Company's planning to participate in the subscription of the cash capital increase processed by its subsidiary, Yuanta Life Insurance Co., Ltd. for the year 2024.

Resolution: Except for Independent Director Sheau Wen Yang, who was a stakeholder and recused from taking part in the discussion and voting, the motion was approved by the remaining committee members present and reported to the board of directors for resolution.

(3) 33rd meeting of the 9th audit committee on November 19, 2024

The motion for the purpose of centralized management of software licenses for Yuanta Group's SAP financial accounting system, the Company intends to purchase the software licenses held by Yuanta Securities Co., Ltd., a stakeholder.

Resolution: Except for Independent Director Hsing Yi Chow, who was a stakeholder and recused from taking part in the discussion and voting, the motion was approved by the remaining committee members present and reported to the board of directors for resolution.

Note 1: The Company's independent directors were elected on June 29, 2007, and the audit committee was set up on the same day.

Note 2: The Company's independent directors of the 9th board of directors were elected on June 10, 2022.

Note 3: (1) Where an independent director may be relieved from duties before the end of the fiscal year, the date of discharge shall be specified in the "Remark" section. Actual attendance rate (%) was calculated based on the number of audit committee meetings held during each independent director's term and the number of meetings actually attended by that independent director.

(2) Where a reelection may be held for filling the vacancies of independent directors before the end of the fiscal year, both the new and the discharged directors shall be listed, and they shall be specified in the "Remark" section if they are the former directors, newly-elected, or re-elected, and the date of the reelection shall also be specified. Actual attendance rate (%) was calculated on the basis of the number of audit committee meetings held during each independent director's term and the number of meetings actually attended by that independent director.