

**Yuanta Financial Holding Company**  
**Statement on Lobbying and Policy Engagement**

**I. Purpose**

In order to comply with the national 2050 Net-Zero Emissions Policy and respond to the initiatives of the Paris Agreement, Yuanta Financial Holding Company, Ltd. (hereinafter referred to as the “Company”) and its subsidiaries shall follow the spirit of the Company’s Net-Zero Declaration in participating in the sustainability lobbying activities or policies promoted by industry associations and be guided by regulations and rules such as the “Sustainable Finance Guidelines,” “Climate Finance Operations Guidelines,” “Environmental and Energy and Climate Change Management Policy,” “Supplier Sustainable Procurement Guidance,” etc., to actively exert influence, so as to ensure that the Company’s participation in the sustainability lobbying activities or policies promoted by industry associations is consistent with the Paris Agreement.

**II. Scope**

The scope of this Statement covers the Company and its subsidiaries directly or indirectly controlled by the Company and their operating locations in all regions.

Representatives of the relevant authorized units of the Company or subsidiaries participating in the industry associations shall follow this Statement to assist them in the smooth promotion of sustainability policy development.

Industry associations referred to in this Statement include all public associations and advocacy organizations.

**III. Operating Mechanism**

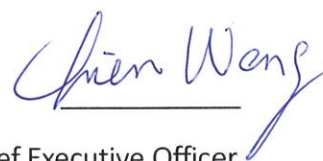
The Company or each of its subsidiaries shall set up an internal task force based on lobbying activities or policy nature promoted by industry associations, and delineate the authority and responsibility of each relevant unit to participate in the operation.

#### **IV. Implementation Strategy**

- (1) When the Company or its subsidiaries participate in new lobbying activities or policies, in addition to those required by law, if it involves a major sustainability issue related to climate, the responsible unit shall state the reason for participation, follow the internal approval procedures, and submit it to the chief executive officer or above for approval before it can be implemented.
- (2) For lobbying activities or policies that involve major sustainability issues related to climate, the responsible unit shall periodically review whether they are in compliance with the relevant norms of this Statement and the spirit of the Paris Agreement, and may report them to the chief executive officer or above for review as necessary.
- (3) If the Company or any of its subsidiaries discovers that any of the lobbying activities or policies in which it has participated are in violation or are inconsistent with the relevant norms of this Statement or the Paris Agreement, the responsible unit shall immediately communicate with the unit in charge of the drafting of the lobbying issue or with the industry association. If the industry association fails to make improvements after communication, the Company shall continue to evaluate whether to continue to participate, withdraw financial support, or terminate the membership, except for those industry associations in which the Company is required to participate by law.

#### **V. Disclosure of Results**

The Company shall publicly disclose annually the actual results of its lobbying activities or policies related to the Paris Agreement promoted by industry associations, including, but not limited to, by means of an ESG report, an official website, or other appropriate means available to the public.



Chief Executive Officer

July 2024