

Yuanta Financial Holding Company
Personal Data Protection Policy

Approved by the Board of Directors on August 28, 2012 (30th meeting of the 5th board)

Approved by the Board of Directors on March 25, 2014 (14th meeting of the 6th board)

Chapter 1 (General Provisions)

Article 1 In order to comply with relevant laws and regulations, and to establish a sound personal data protection system, to ensure that the collection, processing, and use of the Company's personal data are properly handled, this Policy is specially formulated.

Chapter 2 (Personal Data Protection Policy Objectives)

Article 2 The Company's operating procedures regarding the collection, processing, and use of personal data shall be designed to prevent theft, falsification, destruction, loss, leakage, or other unreasonable use of personal data in order to protect the rights and interests of the parties concerned.

Chapter 3 (Execution and Implementation of Personal Data Protection Policy)

Article 3 In order to implement the protection of personal data, the Company shall establish the "Personal Data Management Regulations" to effectively manage the personal data protection measures.

Article 4 To ensure that personal data protection policies and measures comply with relevant regulations, the Company shall review the execution and implementation of personal data protection policies at least once a year, and the results of the review shall be submitted to the chairperson of the board of directors for approval.

Chapter 4 (Privacy and Personal Data Protection Measures)

Article 5 The Company shall establish and publish a privacy protection statement, which includes information about the Company's measures to protect personal data and privacy, and shall publish an online privacy statement

Disclaimer: This document is a translation from the original Chinese version. In the case of any discrepancy, the original document shall supersede this version.

on the Company's website that includes appropriate protection mechanisms for all personal data.

Article 6 In order to protect the rights and interests of the parties concerned and to comply with relevant regulations on personal data protection, the Company shall establish a management system for the collection, processing, use, and security maintenance of personal data.

The aforementioned security maintenance and management system in the preceding paragraph shall include emergency response measures in the event that personal data is stolen, altered, destroyed, lost, leaked or otherwise unjustifiably exploited.

Article 7 In order to ensure the proper custody and protection of the Company's personal data documents and files, and to ensure the security, accuracy, and integrity of personal data handled by the Company's information system, the Company shall establish an appropriate personal data and file security maintenance plan.

Article 8 The Company shall respect the rights of the parties concerned to protect their personal data in accordance with the law, and shall establish channels and procedures for handling complaints.

Article 9 The Company shall specify the retention period for personal data documents and files, and establish procedures for the deletion or destruction of documents and files that exceed the retention period.

Article 10 The Company shall include the management of personal data protection as an internal control and internal audit item.

Article 11 The Company shall plan and organize training courses on personal data protection every year to enhance the knowledge of all employees on personal data protection.

Article 12 If an employee of the Company is found to have violated this Policy and related regulations, the Company shall comply with the relevant disciplinary regulations in handling the violation.

Chapter 5 (Supplementary Provisions)

Article 13 In accordance with the spirit of the Company's Personal Data Protection Policy, the subsidiaries of the Company shall establish a personal data protection management system commensurate with the scale and complexity of their business in order to ensure that the collection, processing, and use of personal data comply with laws and regulations.

Article 14 Matters not covered in this Policy shall be handled in accordance with relevant laws and regulations and the Company's related regulations.

Article 15 This Policy shall be implemented as approved by the board of directors and as amended.