

2023 Operation of the Risk Management Committee

- Prior to the March 15, 2023 reorganization, one (1) meeting was convened (A), and the attendance of the committee members was as follows:

Title	Name	Number of Actual Attendance (B)	Number of Attendance by Proxy	Actual Attendance Rate (%) (B/A)	Remarks
Convener	Tony Shen	1	0	100	Chairperson, Yuanta Financial Holdings
Committee Member	Vincent Chen	1	0	100	Chairperson, Yuanta Securities
Committee Member	Chien Weng	1	0	100	Then Chairperson, Yuanta Bank
Committee Member	Chao Kuo Chiang	1	0	100	Chairperson, Yuanta Life
Committee Member	Tsung Sheng Liu	1	0	100	Chairperson, Yuanta Funds (Investment Trust)
Committee Member	Tien Fu Lin	1	0	100	Chairperson, Yuanta Futures
Committee Member	Christine Hu	1	0	100	Chairperson, Yuanta Securities Investment Consulting
Committee Member	Arthur Chen	1	0	100	Chairperson, Yuanta Venture Capital
Committee Member	Daniel Y.M. Song	1	0	100	Chairperson, Yuanta Asset Management Company
Committee Member	I Ju Wei	1	0	100	Then Acting Chief Risk Officer, Yuanta Financial Holdings

The important motions and their implementation results are set out below:

The 1st meeting of the risk management committee in 2023 on February 7

A. Operational risk monitoring report.

B. The motion for the financial risk management implementation and risk analysis report.

C. Discussion on the amendments to some provisions of the Company's Risk Management Policy.

*Minutes of proceedings reported to the 10th meeting of the 9th audit committee on February 21, 2023 and the 12th meeting of the 9th board of directors on March 15, 2023

- After the reorganization to a functional committee on March 15, 2023, the risk management committee convened five (5) times during the most recent (2023) year (A), with the following committee member attendance:

Title	Name	Number of Actual Attendance (B)	Number of Attendance by Proxy	Actual Attendance Rate (%) (B/A)(Note)	Remarks
Convener	Sheau Wen Yang	5	0	100	On March 15, 2023, the risk management committee was reorganized into a functional committee, and on the same day, the
Committee Member	Tony Shen	5	0	100	
Committee Member	Hsing Yi Chow	5	0	100	

					board of directors elected three directors as members of the 9th committee.
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Other items which should be recorded:

1. In cases where the board of directors does not adopt or amend the proposal by the risk management committee, the minutes concerned shall clearly state the meeting date of the board of directors, term, contents of motions, resolutions, and the Company's handling of the risk management committee's opinions: None.
2. For resolutions reached by the risk management committee, if there were any objections or reservations expressed by committee members which were recorded in the minutes or in written statements, the minutes concerned shall clearly state the meeting date of the risk management committee, term, contents of motions, opinions of all members and actions taken on these opinions: None.
3. Other important motions and their implementation results are set out below:
 - (1) The 1st risk management committee meeting of the 9th board of directors on March 15, 2023
 - A. Election of the convener of the risk management committee of the 9th board of directors of the Company.
 - B. Drafting of the "2023 Schedule of Actions" and "2023 Scheduled Meeting Schedule" of the risk management committee of the Company.

*Minutes of proceedings reported to the 14th meeting of the 9th board of directors on April 26, 2023
 - (2) The 2nd risk management committee meeting of the 9th board of directors on May 16, 2023
 - A. The Company's financial risk management and risk analysis report for the first quarter of 2023.
 - B. The Company's operational risk monitoring report for the first quarter of 2023.
 - C. Amendments to the Company's Regulations Governing Large-Volume Risk Exposure Management; Regulations Governing Market Liquidity Risk Management; Regulations Governing Market Risk Management; Investment and Financing Climate Change Risk Management Measures; Regulations Governing Credit Risk Management of Financial Transactions; Specific Stock Quota Management Regulations; Operational Risk Management Regulations; Capital Adequacy Management Regulations; and Liquidity Risk Management Regulations.

*Minutes of proceedings reported to the 16th meeting of the 9th board of directors on June 28, 2023
 - (3) The 3rd risk management committee meeting of the 9th board of directors on August 15, 2023
 - A. The Company's financial risk management and risk analysis report for the second quarter of 2023.
 - B. The Company's operational risk monitoring report for the second quarter of 2023.

*Minutes of proceedings reported to the 19th meeting of the 9th board of directors on September 27, 2023
 - (4) The 4th risk management committee meeting of the 9th board of directors on November 21, 2023
 - A. The Company's financial risk management and risk analysis report for the third quarter of 2023.
 - B. The Company's operational risk monitoring report for the third quarter of 2023.
 - C. Establishment of the Asset-Liability Matching Risk Management Measures of Yuanta Financial Holding Co., Ltd.

*Minutes of proceedings reported to the 22nd meeting of the 9th board of directors on December 27, 2023
 - (5) The 5th risk management committee meeting of the 9th board of directors on December 19, 2023
 - A. Evaluation and management report of the operational risks in 2024
 - B. 2023 risk management mechanism evaluation report.
 - C. Drafting of the "2024 Schedule of Actions" and "2024 Scheduled Meeting Schedule" of the risk management committee of the Company.
 - D. Establishment of the Company's various risk limits for 2024.
 - E. Establishment of the operational risk monitoring indicators and thresholds for 2024.

*Minutes of proceedings reported to the 23rd meeting of the 9th board of directors on January 31, 2024

Note: (1) If a committee member resigns before the end of the year, the date of resignation shall be indicated in the Remarks column. The actual attendance rate (%) is calculated based on the number of meetings of the risk management committee

and their actual attendance during their term of office.

- (2) If there is a re-election of committee members before the year-end, both new and former directors of the board shall be listed, and the directors shall be marked as former, new, or re-elected, and the date of re-election shall be indicated in the Remarks column. The actual attendance rate (%) is calculated based on the number of meetings of the risk management committee and their actual attendance during their term of office.