

# Yuanta Securities Co., Ltd.

## Scope of Duties for Directors

Approved at the 2nd meeting of the 6th Board of Directors on August 21, 2007

Amended at the 39th meeting of the 6<sup>th</sup> Board of Directors on June 24, 2010

Amended at the 17th meeting of the 7th Board of Directors on August 25, 2011

Amended at the 26th meeting of the 7th Board of Directors on March 22, 2012

Amended at the 31st meeting of the 8th Board of Directors on July 30, 2015

Amended at the 19th meeting of the 9th Board of Directors on November 30, 2017

Amended at the 19th meeting of the 11th Board of Directors on July 27, 2023

Amended at the 24th meeting of the 11th Board of Directors on November 30, 2023

Article 1 In order to ensure that the Company's directors faithfully execute their duties and exercise the due care of a good administrator, these Guidelines are prescribed in compliance with related regulations such as the Company Act and "Corporate Governance Guidelines of Yuanta Securities Co., Ltd.".

Article 2 Unless it is otherwise provided by law or the Company's Articles of Incorporation, the matters regarding duties of the Company's directors shall be handled in compliance with these Guidelines.

In addition to these Guidelines, the Company's independent directors shall also comply with "Scope of Duties for Independent Directors of Yuanta Securities Co., Ltd.".

If a director of the Company resigns, or is changed, the resigning director or corporate shareholder shall give immediate notice to the company and its chief corporate governance officer. The company or the Corporate Governance Officer shall proceed in accordance with applicable laws and regulations upon receipt of the notice.

The Company shall arrange continuing professional education for the directors, and the content and hours shall be subject to with "Directions for Director Continuing Education of Yuanta Securities Co., Ltd.".

Article 3 The Company's Board of Directors shall be accountable to shareholders of the Company and shall perform its rights and duties in accordance with laws, the Company's Articles of Incorporation and resolutions of shareholders meetings.

The rights and duties of the Company's shareholders meeting shall be performed by the Board of Directors in accordance with the Company Act and the Financial Holding Company Act.

Article 4 The Company's directors shall possess the necessary knowledge, skills and experience to be deemed qualified for the position. The Board of Directors in its entirety shall possess the following qualifications:

- I. Ability to make operational judgments.
- II. Ability to perform accounting and financial analysis.
- III. Ability to conduct operational management.
- IV. Ability to conduct crisis management.
- V. Professional knowledge about securities and financial derivatives.
- VI. International market perspective.

- VII. Ability of leadership.
- VIII. Ability to make strategic decisions.
- IX. Knowledge and ability of risk management.

The Board of Directors shall be aware of the risks which the Company is dealing with (e.g. market risk, credit risk, liquidity risk, operational risk, legal risk, reputation risk, and any other risk related to securities firms' operations), in order to ensure the effectiveness of the Company's risk management and bear the ultimate liability for risk management.

Article 5 The Board of Directors' main duties and responsibilities are as follows:

- I. Shape the Company's values.
- II. Provide vision for the Company and strategic planning for further development
- III. Establish effective and adequate internal control system.
- IV. Select and supervise the managers.
- V. Determine the Company's management decisions and business plans, review financial targets, and supervise the implementation thereof.
- VI. Supervise and manage the Company's material operational matters and review the results.
- VII. Determine the standards used for evaluating managers and sales personnel's performance and compensation, and the structure and system of directors' compensation.
- VIII. Review and supervise the Company's risk management system and manage risks that the Company faces.
- IX. Assure the Company's compliance with all related laws and regulations.
- X. Establish and maintain the Company's positive corporate identity and fulfill its social responsibility.
- XI. Select auditors and other professionals.
- XII. Protect investors' rights and interests.

Article 6 Decisions by the Company's directors shall comply with laws and "Rules and Procedures of Board Meetings of Yuanta Securities Co., Ltd.", especially the relevant regulations to avoid conflict of interests.

Article 7 When the Company's director discovers that the Company or a subsidiary is likely to be materially harmed, the director shall handle the matter as quickly as possible, and immediately notify the audit committee, or the independent director members of the audit committee, and report to the board of directors, and shall see to it that the Company reports to the competent authority.

Article 8 These Guidelines shall be implemented upon approval of the Board of Directors. Subsequent amendments hereto shall take effect in the same manner.

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