

E.SUN Securities Co., Ltd.

Statement of Compliance with the Stewardship Principles for Institutional Investors

E.SUN Securities Co., Ltd. (hereinafter referred to as "the Company") is primarily engaged in securities brokerage, proprietary trading, and underwriting businesses, and is classified as an asset owner. The Company hereby declares its commitment to the Stewardship Principles for Institutional Investors and presents the following statement of compliance with its six core principles:

Principle 1 – Establish and Disclose Stewardship Policies

The Company's business objective is to maximize shareholder value through its brokerage, proprietary trading, and underwriting operations. To achieve this goal, the Company has adopted stewardship policies under the Stewardship Principles for Institutional Investors, which outline its fiduciary responsibilities to shareholders, stewardship practices, and related disclosures.

Principle 2 – Establish and Disclose Conflict of Interest Management Policies

To ensure the Company acts in the best interests of its shareholders, the Company's Stewardship Principles for Institutional Investors incorporate Conflict of Interest Management Policies. These policies set forth the types of conflicts of interest and the corresponding management approaches.

Principle 3 – Ongoing Monitoring of Investee Companies

To enable the Company to obtain sufficient and effective information, and to assess the quality, timeliness, and extent of dialogue and interaction with investee companies, the Company implements continuous monitoring based on a sound investment decision-making framework. Areas of focus may include relevant news developments, financial performance, industry outlook, business strategies, and issues related to Environmental, Social, and Governance (ESG) factors.

Principle 4 – Maintain Appropriate Dialogue and Engagement with Investee Companies

The Company engages in appropriate dialogue and interaction with investee companies to better understand and communicate with management regarding company-specific risks and strategic issues. The Company communicates annually with investee companies' management through conference calls, in-person meetings, investor conferences, or attendance at general shareholders' meetings or extraordinary meetings. When an investee company exhibits significant breaches of corporate governance principles or potential damage to long-term shareholder value, the Company may conduct additional inquiries and, where necessary, collaborate with other investors to express its concerns.

Principle 5 – Establish and Disclose Clear Voting Policies and Voting Records

To safeguard shareholder interests, the Company has established clear and transparent voting policies under its Stewardship Principles for Institutional Investors. The Company exercises its voting rights actively in accordance with these policies and does not necessarily support all proposals submitted by management.

An annual summary of voting activities is disclosed on the following webpage:

<https://www.esunsec.com.tw/about/announcement.aspx?id=7>

Principle 6 – Disclose the Implementation of Stewardship Responsibilities on a Regular Basis

The Company periodically discloses its stewardship activities on its official website or in its annual reports. These disclosures include this compliance statement, explanations of any non-compliance with specific principles, participation in shareholders' meetings of investee companies, voting records, and other material matters.

Signed by: E.SUN Securities Co., Ltd.

Date: September 26, 2020