

Taishin Securities Co., Ltd.

Organization Regulations

Established on May 11, 2010
Amended on December 17, 2024

- Article 1 Organization regulations of Taishin Securities Co., Limited (hereinafter referred to as the "Regulations") were established in accordance with Article 30 of the Articles of Incorporation of Taishin Securities Co., Limited (hereinafter referred to as the "Company") and Article 6, Paragraph 1 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets.
- Article 2 The Company's organizational structure, organizational hierarchy, duties and titles shall be established in accordance with the provisions of the Regulations.
- Article 3 The title of the head of each managerial organization unit of the Company shall be established in accordance with the relevant provisions of the Regulations.
- The titles of each managerial organization unit of the Company, unless otherwise provided for in the Regulations, shall be in the following order of rank: President, Executive Vice President, Senior VP, Vice President, Senior Assistant VP, Assistant VP, Manager, Deputy Manager, Assistant Manager and Specialist, etc.
- Article 4 The Company is a wholly owned subsidiary of Taishin Financial Holding Co., Ltd. The powers and duties of the shareholders' meeting are exercised by the board of directors in accordance with Article 15 of the Financial Holding Company Act. The rules of procedure, duties, and methods of resolutions of the shareholders' meeting are in accordance with the relevant laws and regulations and the Company's Articles of Incorporation.
- Article 5 The Company shall have a board of directors, which shall be established by an organization of directors elected by the shareholders' meeting in accordance with the provisions of the Company Act and the Company's Articles of Incorporation, and shall be the highest business executive body of the Company. The board of directors shall consist of a Chairman and a Vice Chairman in accordance with the Company's Articles of Incorporation. The election, dismissal, and compensation of directors, the convening procedures, the rules of procedure, duties, and methods of

resolutions of the board meeting are in accordance with the relevant laws and regulations and the Company's Articles of Incorporation.

Article 6 The Company shall have a supervisor, which shall be elected by the shareholders' meeting in accordance with the provisions of the Company Act and the Company's Articles of Incorporation, and shall be the highest business executive and financial supervision body of the Company. The election and dismissal of supervisors and duties of the supervisors are in accordance with the relevant laws and regulations and the Company's Articles of Incorporation.

Article 7 The execution of the Company's business shall be carried out by resolutions of the board of directors, except for matters that should be resolved by the shareholders' meeting as provided for in the Securities and Exchange Act, the Company Act and other relevant laws and regulations, or the Company's Articles of Incorporation.

For the items in the preceding paragraph to be resolved by the board of directors, in accordance with the provisions of these Regulations, the board of directors may establish Regulations Governing the Division of Business Powers and Responsibilities, and authorize the Chairman, Vice Chairman, and President to execute business in a hierarchical manner, except for the matters exclusively authorized to the board of directors for resolution as provided for in the laws and regulations and the Company's Articles of Incorporation. These authorized executives may also make individual proposals to authorize the relevant managerial organization units to execute business in accordance with the needs of specific business execution.

Article 8 Duties of the Chairman are as follows:
I. Represents the Company externally.
II. Convenes and chairs the board meetings.
III. Handles authorized matters within the scope of duties of the board of directors.
IV. Approves, agrees, or prepares reports on matters within its scope of powers and responsibilities in accordance with the Company's " Regulations Governing the Division of Business Powers and Responsibilities".

Article 9 The board of directors shall establish the Audit Division and the Risk Management Department under the direction and supervision of the board of directors and the supervisors.

The Audit Division shall have one Chief Auditor, who

independently oversees the execution of the Company's business, responsible for inspecting and reviewing the implementation of the internal control system and providing recommendations for improvement in a timely manner, conducts routine and project audits on a regular and irregular basis, and conducts follow-up reviews of audit deficiencies and recommended improvements to ensure the continuous and effective implementation of the internal control system as a basis for reviewing and revising the internal control system. In addition, the Chief Auditor assists each department and subsidiary in providing necessary information for the inspection needs of the competent authorities of the business.

The Risk Management Department consists of a risk management supervisor, who is responsible for the development of risk management policy, mechanism and limit. To establish risk measurement methods and oversee risk control. To build a risk management information system. To report and disclose the implementation status of risk management. To report the capital adequacy ratio.

Article 10 In order to strengthen the functions of the board of directors in executing business, the Company may establish various functional committees under the board of directors. The board of directors shall determine the organization regulations or establishment of various functional committees, which shall serve as the basis for the establishment, authority, execution, management, and abolition of the committees.

Article 11 Under the board of directors, the Company shall have a President, who is the head of the Company's highest managerial organization unit. The President follows the resolutions and authorizations of the shareholders' meetings and the board meetings, as well as the instructions and assignments of the Chairman and Vice Chairman of the board of directors, determines the short-, medium-, and long-term business and development strategies of the Company and its subsidiaries, as well as summarizes and supervises the management of the Company's businesses and operations and the important business affairs of each subsidiary.

Article 11-1 The President's Office assists the President in promoting the development of various businesses and executing other related matters.

Article 12 In order to strengthen the quality of operation and management, and reduce the risk of investment and operation, the Company may set

up various affairs committees under the President. Each of these affairs committees shall be a staff organization of the President.

With respect to the establishment, authority, execution, management and abolition of each affairs committee, relevant units of the Company shall establish a plan for the establishment of each affairs committee, propose to the President for approval, and submit it to the Chairman for review (report).

Article 13

The first level of the managerial divisions shall be established under the President of the Company.

I. Capital Markets Division:

- (I) Underwrite stocks, corporate bonds, and beneficiary certificates.
- (II) Accept appraisal before listing on the TWSE/TPEX, and financial planning for capital market fund raising.
- (III) Provide financial consulting services for corporate reorganization, mergers, acquisitions, and stock releases.
- (IV) Planning and sales of government bonds, corporate bonds, bank debentures, etc.
- (V) Entrusted with stock affairs, proxy solicitation, public takeover of appointed institutions, and other stock related affairs.

II. Brokerage Division:

- (I) Handle entrusted trading of stocks, bonds and other securities in the centralized and over-the-counter markets.
- (II) Develop and control all business management and incentive systems on the channel side.
- (III) Integration and control of the operating systems on the channel side.
- (IV) Evaluation and analysis of the relocation and consolidation of the branches on the channel side as well as related coordination.
- (V) Handle brokerage service such as account opening, depository, settlement, credit trading, the branches clearing, and other customer securities trading services.
- (VI) Handle futures introducing broker related businesses.

- (VII) Handle the non-restricted purpose loan businesses .
- (VIII) Serve as an agent for the sales of major domestic investment funds.
- (IX) Joint marketing of securities brokerage service with banks.

III. Financial Trading Division:

- (I) Issuance, trading, and hedging of domestic and foreign subscriptions (sales) of warrants.
- (II) Trading, lending and hedging of domestic and foreign stocks, beneficiary securities and other securities.
- (III) Outright purchase and sales and reverse repurchase of domestic and foreign bonds and other fixed income products.
- (IV) Engage in domestic and foreign derivative products trading and hedging approved by the competent authorities.
- (V) Design, issuance, trading and hedging of structured products, equity derivatives, interest rate derivatives and other derivative financial products approved by the competent authorities.
- (VI) Conduct design and execution of strategic trading.
- (VII) Handle derivative products and reverse repurchase agreement services such as account opening, settlement, trading and other related matters.
- (VIII) Above-mentioned operations such as the business systems planning, regulations establishing/supervising, and risk management.
- (IX) Other services approved by the competent authority.

IV. Merchant Banking Division:

- (I) Provide financial advisory services to enterprises and domestic and foreign private equity funds for domestic and cross-border projects.
- (II) Arrange and plan consulting services for M&A financing, project financing and corporate fund raising derived from the above businesses.
- (III) Project securitization plan derived from the assets held by the above businesses.

- (IV) Provide financial planning services for domestic and foreign corporate fund raising, securities issued and sales services
 - (V) Negotiate with potential professional organizations or professional investors to provide project proposals or investment advice on the issuance subjects.
- V. Global Markets and Clients Division:
- (I) Research services for domestic and foreign legal persons and business development for domestic and foreign legal persons.
 - (II) Handle account opening, depository, settlement, credit trading and other customer securities trading services for domestic and foreign legal persons.
 - (III) Brokered trading of foreign securities (sub-brokerage) business.
 - (IV) Integration and control of the sub-brokerage operating systems.
 - (V) Handle securities borrowing and lending (two-way securities-based lending) service.
 - (VI) Handle international outbound securities (OSU) and related businesses.
- VI. Administration Division:
- (I) Coordinate personnel, finance, accounting, settlement, middle/back office operation services, administration and other matters.
 - (II) Supervise and develop AML, CFT, anti proliferation of weapons, and anti-corruption systems and measures.
 - (III) Supervise and assist in compliance with the Foreign Account Tax Compliance Act (FATCA) issued by the Internal Revenue Service (IRS).
 - (IV) Supervise and assist in the review and filing of the Common Reporting Standard (CRS) by the Ministry of Finance.
- VII. Information Technology Division:
- (I) Manage computer system resources, server room and equipment management and maintenance of the Company.

- (II) Develop and maintain various computer applications.
- (III) Information security planning, promotion and daily management of the Company.
- (IV) Promote information projects.

Article 13-1 The second level of the managerial back-office departments shall be established under the President of the Company.

I. Legal Department:

- (I) Planning, management, and execution of the compliance system.
- (II) Review and refinement of legal documents.
- (III) Conduct litigation and non-litigation matters.
- (IV) Provide legal advice, collect and study laws and regulations relevant to the business.
- (V) Manage debt collection.

II. Strategy and Planning Department:

- (I) Planning of corporate development strategies.
- (II) Research of laws and regulations and the market of securities firm, and tracking and analysis of industry trends.
- (III) Analyze the operation performance of each business department of the Company and control the progress of business promotion and execution of each business.
- (IV) Coordination, promotion and tracking of cross-departmental projects.
- (V) Corporate governance and sustainable development related matters.
- (VI) Dividend policy.

III. Digital Development Department:

- (I) Integrated strategic development, operation, planning and management of electronic trading platforms.
- (II) Operation, planning, design and management of online services.
- (III) Enhance the Company's internal digitalization operation, and guide each unit in project

implementation, planning and management.

- (IV) Handle marketing planning and other relevant matters for the development of new business models online.
- (V) Customer counseling service and customer relationship maintenance.

The second level of the managerial back-office departments shall be established under the Administration Division of the Company.

I. Accounting Department:

- (I) Preparation and implementation of accounting system, handling of accounting affairs, and preparation, analysis and reporting of related financial statements.
- (II) Compilation and maintenance of certificates, books, statements and documents related to accounting matters.
- (III) Taxation planning, filing and other related matters.
- (IV) Preparation, analysis and control of budget. Compilation, preparation and analysis of performance management information and statements. Collection and analysis of financial information of peers.
- (V) Supervision of financial and tax affairs of subsidiaries.

II. Finance Department:

- (I) Credit contract management and maintenance, financing and borrowing operations, long-term and short-term capital planning and management, margin/guarantee/pledging operations.
- (II) Estimation and scheduling of capital requirements, billing operations, cash and note management, bank account management operations.
- (III) Announcement reporting platform management, deposit and withdrawal margin management, long-term equity investment management.

III. Settlement and Operations Services Department:

- (I) Securities clearing and settlement operations, such as brokered trading, margin trading or short sales, non-restricted purpose loan, and securities borrowing and lending.
- (II) Financing risk control in accordance with relevant

regulations of the Company.

- (III) Liquidation of shares of subsidiaries.
- (IV) Delivery and settlement of sub-brokerage foreign securities, funds and bonds.
- (V) Reconciliation of proprietary trading of domestic and foreign futures trading accounts.
- (VI) Coordinate account opening for brokerage business, manage the operating system projects for middle /back office, establish and maintain the SOPs.

IV. Administration Department:

- (I) Official correspondence, equipment procurement and maintenance, office operation and maintenance, access control and security, property management, and clerical support.
- (II) Meeting organization, important file management, release of important information, organization of internal and external events, management of overall corporate image, advertising and brand promotion.
- (III) Human resources system planning and design, labor law research, human resources administration and information operations, performance appraisal operations.
- (IV) Education and training system development, training program implementation, certification testing and verification.

Article 14 The Company may establish branch offices to conduct various businesses approved by the competent authorities upon approval from the competent authorities based on the business needs of the Company.

Article 15 The Company may establish second, third, and fourth level managerial organization units under the first level managerial organization unit depending on the business needs. The establishment, authority, abolition and changes thereof shall be reported and approved in accordance with the provisions of the Company's "Regulations Governing the Division of Business Powers and Responsibilities".

Article 16 The Company's managerial organization units at each level may establish deputy supervisors according to the business needs. The

establishment, authority, appointment and dismissal of the personnel shall be submitted for approval in accordance with the provisions of the Company's "Regulations Governing the Division of Business Powers and Responsibilities" in relation to the establishment, authority, abolition, and change within the organization as well as the "Regulations Governing the Division of Levels of Approval Authority of Human Resources".

Article 17 These Regulations shall take effect on the date approved or designated through the resolution at the board meeting. The same applies to all subsequent changes.

Established on May 11, 2010

Amended on March 15, 2011

Amended on February 20, 2012

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