

## 『機構投資人盡職治理守則』遵循聲明

### Statement of "Stewardship Principles for Institutional Investors"

元大人壽股份有限公司(以下簡稱「本公司」)主要營業項目為人身保險業務，係屬「機構投資人盡職治理守則」所規定「機構投資人」中之「資產擁有人」。本公司聲明遵循「機構投資人盡職治理守則」，針對六項原則之遵循情形如下：考量納入環境、社會、公司治理(Environmental, Social and Corporate Governance，下稱ESG)等因素，整合於投資流程及決策中，促進本公司及被投資公司之永續發展，進而提升客戶長期利益，並對整體人類社會帶來正面影響。

**The Yuanta Life Insurance Company (Yuanta Life)'s main business is Life Insurance and is an asset owner. Yuanta Life hereby represents to comply with "Stewardship Principles for Institutional Investors". Compliance with the six principles is detailed below:**

**As an institutional investor, Yuanta Life shall consider Environmental, Social, and Corporate governance (ESG) factors to integrate them into the investment evaluation process and decision making. The constructive communication and interaction with an investee company promotes the sustainable development of an investee company, thereby enhancing the long-term interests of clients and having a positive impact on the society.**

#### 原則一 制定並揭露盡職治理政策

本公司營運目標在於透過提供保險業務之進行，以謀取客戶及股東最大利益，為達成此一目標，本公司依據主管機關相關法令要求，並於投資流程評估納入ESG相關因素，訂定本公司相關規範，據以管理執行，以善盡機構投資人之責任，並定期履行揭露盡職治理之情形。

#### Principle 1 Establish and disclose stewardship policies

The operational objective of Yuanta Life is to achieve maximum benefits for the clients / shareholders through conducting the businesses of Life Insurance. To integrate environmental, social, and corporate governance (ESG) factors into the investment evaluation process to fulfill their stewardship responsibility. And To achieve such an objective, the stewardship policies set forth by Yuanta Life include but not limited to its responsibilities to clients / beneficiaries and disclosure of fulfillment of stewardship duties.

#### 原則二 制定並揭露利益衝突管理政策

為確保本公司基於客戶及股東之利益執行其業務，本公司訂有相關規範，包括執行

業務應遵守之原則與規定，以及相關管理機制。

## **Principle 2 Establish and disclose policies on managing conflicts of interest**

To ensure that Yuanta Life executes its businesses in the interest of its clients and shareholders, Yuanta Life establishes policies on managing conflicts of interest, including types of conflicts of interest and management approach.

### **原則三 持續關注被投資公司**

為確保本公司取得充分且有效之資訊，以建立良好之投資決策基礎，除針對被投資公司之相關新聞、財務表現、產業概況、經營現況外、並納入相關SEG等因素如環境保護、社會責任及公司治理等議題，持續予以關注，以了解被投資公司之永續發展策略。

## **Principle 3 Regularly monitor investee companies**

To ensure that sufficient and valid information can be obtained by Yuanta Life for assessing the nature, timeline and degree of dialogue and interaction with investee companies and to form a sound basis for investment decisions of Yuanta Life, Yuanta Life focuses on issues regarding the investee companies, such as related news, financial performance, industry profile, operational strategy, activities for environmental protection, social responsibilities and corporate governance. Yuanta Life Shall understand the sustainable development strategy of an investee company.

### **原則四 適當與被投資公司對話及互動**

本公司透過與被投資公司適當之對話及互動，以進一步瞭解與溝通被投資公司對產業所面臨之風險與策略，以及對環境保護、社會責任及公司治理等SEG因素執行之情形，並致力與被投資公司在長期價值創造，以及永續發展上取得一定共識。本公司透過電話會議、面會、參與法人說明會等方式與被投資公司溝通。當被投資公司在特定議題上有重大違反上述議題，或損及本公司客戶及股東長期價值之虞時，本公司將盡可能與被投資公司互動，詢問相關事項處理情形，亦不排除於必要時聯合其他投資人共同表達訴求。

## **Principle 4 Maintain an appropriate dialogue and interaction with investee companies**

Through appropriate dialogue and interaction with investee companies, Yuanta Life will further understand and communicate with management, including board of directors or executives, about risks faced by industry and strategies adopted, and strive to reach consensus with the investee companies on creating long-term values. Yuanta Life communicates annually with management of investee companies through conference calls, face-to-face meetings, participation in institutional investors' roadshows or attendance at shareholders' meetings or significant extraordinary general meetings. If it is likely that an investee company may violate principles of corporate governance on specific issues or damage long-term values of clients / shareholders of Yuanta Life, Yuanta Life will, when considered necessary, inquire with management of the investee company about compliance

handling and does not give up its rights to act collectively with other investors to protect their interests.

#### **原則五 建立明確投票政策與揭露投票情形**

1. 本公司為謀取客戶及股東最大利益考量，有明確之投票政策，皆依保險法令於行使投票權前均審慎評估各議案，積極進行股東會議案投票，且並非絕對支持經營階層所提出之議案。
2. 各年度投票情形皆彙總揭露於本公司網站。

#### **Principle 5 Establish clear voting policies and disclose voting results**

In order to achieve maximum benefits for clients / shareholders and clear voting policies, Yuanta Life has established a clear voting policy and is a proactive voter at shareholders' meetings. The Company does not necessarily support proposals made by management.

#### **原則六 定期向客戶或受益人揭露履行盡職治理之情形**

本公司除公布『機構投資人盡職治理守則』遵循聲明外，每年定期於公司網站彙報履行盡職治理情形，以及出席被投資公司股東會與投票情形。

#### **Principle 6 Periodically disclose to clients or beneficiaries about status of fulfilment of stewardship responsibilities**

The stewardship activities are disclosed by Yuanta Life on the website on a regular basis, including this statement, explanation on non-compliance with stewardship principles, attendance at shareholders' meetings of investee companies, voting activities, and other material matters.

簽署人 元大人壽保險股份有限公司

民國 109 年 09 月 30 日

**Signatory** Yuanta Life Insurance Company

09/30/2020