Securities Corporation

Assessment period：At least once semiannually

Management Control System：Legal Compliance System Assessment Checklist

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| --- | --- | --- | --- | --- | --- |
| Item | Assessment Procedure | Assessment Results | | | Reference to Work Documents |
| Y | N | N/A |
| Legal Compliance System | 1. Whether the unit in charge of planning, managing, and implementing the legal compliance system is under the command of the general manager.  2. Whether the board of directors appoints a high-ranking officer to serve as the company's legal compliance officer in charge of legal compliance matters and reporting to the board of directors and the company supervisors at least every six months.  3. Whether the unit in charge of legal compliance performs the following:  A. Establish clear and appropriate conveyance, consultation, coordination and communication systems regarding laws and regulations.  B. Affirm that all procedures and management regulations are updated in a timely manner pursuant to applicable laws and regulations to ensure all operational activities comply with laws and regulations. Also establish confirmation mechanisms, such as adding annotations for advice given, signatures etc.  C. Establish the content and procedures of assessment of legal compliance, supervise the regular self-assessment of compliance of each unit.  D. Implement appropriate and proper training on laws and regulations for members of each unit.  E. Supervise the overseas branch offices to comply of with the laws and regulations of the countries they are located in.  F. Other matters as required by the competent authority.  4. Whether a self-assessment of legal compliance is conducted at least once every year (subsidiaries of financial holding companies must conduct such assessment at least once semiannually), results of the assessment are sent to the legal compliance unit for recordation, each unit conducts self-assessments through personnel specially assigned by the supervisor of the unit, and legal compliance self-assessment charts (including self-assessment working papers) and other information are kept for a minimum of five years.  5. Whether the internal audit unit incorporates the implementation of the legal compliance system into the auditing of the business and management units. |  |  |  |  |
| Note: | | | | | |

Review Personnel 　　　　 Date