

## Responsibilities of Departments

Department	Scope of Business
<b>Equity Services</b>	<ul style="list-style-type: none"> <li>• Operations for Custody, book-entry transfer, and settlement of stocks and other equity securities.</li> <li>• Drawing up and promoting ePassbook App.</li> </ul>
<b>Fixed Income Services</b>	<ul style="list-style-type: none"> <li>• Operations for underwriting and initial purchase, redemption upon maturity, and secondary transaction DVP settlement for short-term bills.</li> <li>• Book-entry transfer, repayment of principal and payment of interest for bonds denominated in NTD.</li> </ul>
<b>Fund &amp; Global Services</b>	<ul style="list-style-type: none"> <li>• Fund information reporting and announcement, as well as information transmission and cash payment.</li> <li>• Cross-border custody, transaction settlement, and repayment of principal and payment of interest of offshore securities.</li> </ul>
<b>Issuer Services</b>	<ul style="list-style-type: none"> <li>• Issuance registration and book-entry transfer of dematerialized securities</li> <li>• Operations for e-voting and video conferences for shareholders' meetings, as well as conducting straight-through processing (STP) mechanism for cross-border voting by foreign investors.</li> </ul>
<b>Equity System Development</b>	<ul style="list-style-type: none"> <li>• Developing and testing of information systems for equity securities products, NTD-denominated bonds, futures, and cross-border custody services.</li> </ul>
<b>Fixed Income System Development</b>	<ul style="list-style-type: none"> <li>• Developing and testing of information systems for short-term bills, funds, and stock affairs.</li> </ul>
<b>IT Infrastructure</b>	<ul style="list-style-type: none"> <li>• Operations for maintenance, operation, and management related to information systems and equipment.</li> <li>• Setting and maintaining the network environment.</li> </ul>
<b>Digital Development &amp; Information Security</b>	<ul style="list-style-type: none"> <li>• Planning and implementing digital business, along with data analysis application and systems development.</li> <li>• Planning and implementing information security policies, frameworks, and mechanisms, as well as monitoring the operation of the information security defense mechanism.</li> </ul>
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Organizing board meetings and responsible for business</li> </ul>

<b>Strategy &amp; Public Affairs</b>	<p>planning as well as research and analysis.</p> <ul style="list-style-type: none"> <li>• Engaged in activities related to international affairs and business contacts.</li> <li>• Maintaining public relations, promoting financial education, and participating in social charity events.</li> <li>• Managing the operations of the Taiwan Stock Museum.</li> </ul>
<b>General Administration</b>	<ul style="list-style-type: none"> <li>• General affairs, such as procurement, construction and renovation projects.</li> <li>• Human resources management, education and training.</li> </ul>
<b>Labor Safety</b>	<ul style="list-style-type: none"> <li>• Occupational accident prevention, as well as safety and health management.</li> </ul>
<b>Intermediaries Compliance &amp; Inspection</b>	<ul style="list-style-type: none"> <li>• Auditing the stock affairs of companies listed on the Taiwan Stock Exchange, Taipei Exchange, and the emerging stock market, coaching and auditing the internal control systems related to depository and clearing services of securities firms.</li> <li>• Operations of the CTP platform and the AML/CFT Screening Platform.</li> </ul>
<b>SITE Services</b>	<ul style="list-style-type: none"> <li>• Conducting audits and providing guidance on the financial operations and internal audit activities of the Securities Investment Trust Enterprises, as well as auditing and guiding the information security operations of the Securities Investment Consulting Enterprises.</li> <li>• Conducting the review of fund public offering or follow-on offering cases, and extension applications.</li> </ul>
<b>Legal Affairs &amp; Compliance</b>	<ul style="list-style-type: none"> <li>• Providing legal opinions on compliance, rules and regulations, and contracts.</li> <li>• Receiving the inquiries from investors and external units.</li> </ul>
<b>Finance</b>	<ul style="list-style-type: none"> <li>• Working capital management and accounting matters.</li> </ul>
<b>Internal Auditing</b>	<ul style="list-style-type: none"> <li>• Internal control and internal audit business.</li> </ul>