

滙豐(台灣)商業銀行
「機構投資人盡職治理守則」遵循聲明
HSBC Bank (Taiwan)
Compliance Statement for the "Stewardship Principles for
Institutional Investors"

滙豐(台灣)商業銀行股份有限公司(以下簡稱「本行」) 主要業務為辦理銀行法及經中央主管機關核定之業務。本行目前尚無以自有資金進行國內有價證券之長期投資，亦無擔任對信託資產具有運用決定權之受託機構等情形。惟基於響應及支持政府政策，本行嗣後如因變更營業範圍而有從事上開機構投資人業務之情形，本行聲明將遵循「機構投資人盡職治理守則」之六項原則如下：

HSBC Bank (Taiwan) Limited (hereinafter referred to as “the Bank”) primarily engages in business as stipulated in the Banking Act and approved by the central competent authorities. At present, the Bank does not conduct long-term investments in domestic securities using proprietary funds, nor does it serve as a trustee institution with discretionary authority over trust assets. However, in the interest of responding to and supporting government policies, should the Bank engage in institutional investor activities as a result of any future expansion or change in business scope, the Bank hereby declares that it will comply with the six principles of the "Stewardship Principles for Institutional Investors" as follows:

原則一、制定並揭露盡職治理政策

Principle 1: Formulation and Disclosure of Stewardship Policy

為善盡機構投資人責任，本行將以客戶、受益人及股東之最大利益為目標，擬訂相關政策並落實執行。

To fulfill its responsibilities as an institutional investor, the Bank will formulate and effectively implement relevant policies with the primary aim of maximizing the interests of its clients, beneficiaries, and shareholders.

原則二、制定並揭露利益衝突管理政策

Principle 2: Formulation and Disclosure of Conflict of Interest Management Policy

為確保本行基於客戶或受益人之利益執行其業務，本行將持續遵循所屬滙豐集團訂定之利益衝突管理政策及相關內部規範，以避免利益衝突之情形。

To ensure that the Bank conducts its business in the best interests of its clients or beneficiaries, the Bank will continue to comply with the conflict of interest management policies and related internal guidelines established by HSBC Group, in order to avoid conflicts of interest.

原則三、持續關注被投資公司

Principle 3: Ongoing Monitoring of Investee Companies

為確保本行取得充分且有效之資訊，以評估與被投資公司對話及互動之性質、時間與程度，並為本行之投資決策建立良好基礎，本行將持續關注被投資公司之相關訊息及公司治理等議題。

To ensure that the Bank obtains sufficient and effective information for evaluating the nature, timing, and extent of dialogues and interactions with investee companies, and to establish a solid foundation for the Bank's investment decisions, the Bank will continuously monitor relevant information and corporate governance issues of investee companies.

原則四、適當與被投資公司對話及互動

Principle 4: Appropriate Dialogue and Interaction with Investee Companies

本行將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其經營階層對產業所面臨之風險與策略，並致力與被投資公司在長期價值創造上取得一定共識；當被投資公司在特定議題上有重大違反公司治理原則或損及本行客戶、受益人或股東長期價值之虞時，本行將不定時向被投資公司經營階層詢問處理情形，且不排除聯合其他投資人共同表達訴求。

The Bank will engage in appropriate dialogue and interaction with investee companies in order to further understand and communicate with their management regarding the risks and strategies faced by the industry. The Bank is committed to achieving a certain consensus with investee companies on the creation of long-term value. When an investee company is found to have significantly violated corporate governance principles on certain matters or may potentially impair the long-term value for the Bank's clients, beneficiaries, or shareholders, the Bank will, from time to time, inquire with the management of the investee company about how such matters are being addressed, and does not rule out the possibility of joining with other investors to jointly express concerns.

原則五、建立並揭露明確投票政策與揭露投票情形

Principle 5: Establishment and Disclosure of a Clear Voting Policy and Disclosure of Voting Outcomes

本行若有行使投票權時，將會審慎評估各議案，以謀取客戶、受益人及股東之最大利益。

Should the Bank exercise its voting rights, each proposal will be carefully evaluated in order to maximize the interests of clients, beneficiaries, and shareholders.

原則六、定期揭露履行盡職治理之情形

Principle 6: Periodic Disclosure of Stewardship Activities

本行將於網站(或另於年報/營業報告書)揭露本聲明書之內容及其履行之情形。

The Bank will disclose the content of this statement and its implementation status on its website (or alternatively in the annual report/business report).

簽署人：滙豐(台灣)商業銀行股份有限公司
Signed: HSBC Bank (Taiwan) Limited



民 國 1 1 4 年 9 月 5 日
September 5th, 2025