

KGI Financial(Group) Supplier ESG Due Diligence in 2025

KGI Holdings (Group) Supplier Partner,

Our company, with reference to the Responsible Business Alliance Code of Conduct (RBA), is committed to continuously promoting and working together with our suppliers on key sustainability topics, including the protection of labor and human rights (non-discrimination, anti-bullying, anti-harassment, information security and personal data privacy protection), environmental sustainability (climate transition, business continuity), and ethical business practices (anti-corruption, fair trade). We invite you to help assess whether your company and your relevant subcontractors have established ESG-related policies, set targets, and are continuously making improvements. Please answer both items in each question of this online questionnaire. The self-assessment period is from January 1, 2025 to December 31, 2025. We sincerely request your cooperation in completing the questionnaire and encourage you to visit the KGI Holdings website at <https://www.kgi.com>. By completing the questionnaire, you will be deemed to have thoroughly reviewed our company's website, the relevant policies on supplier sustainability management, and to have completed the supplier online education and training. Thank you.

「Responsible Business Alliance Code of Conduct」: [https://www.responsiblebusiness.org/media/docs/RBACodeofConduct8.0_Chinese\(Traditional\).pdf](https://www.responsiblebusiness.org/media/docs/RBACodeofConduct8.0_Chinese(Traditional).pdf)

「Supplier Sustainability Management Guidelines」: <https://www.kgi.com/zh-tw/-/media/files/cdf/esg/download/environmental-or-social/supplier-sustainability-management-guidelines.pdf>

「Human Rights Policy」: <https://www.kgi.com/zh-tw/-/media/files/cdf/esg/download/environmental-or-social/hr-human-rights-policy.pdf>

「Code of Ethical Conduct」: <https://www.kgi.com/zh-tw/-/media/files/cdf/esg/download/governance/company-related-regulations/compliance-ethical-corporate-management-best-practice-principles.pdf>

Supplier Name (Full Name)	Scope of evaluation	2025 Identification Questions	Supplier (Please evaluate your company. Please select one option)				Supplier's subcontractors (Please evaluate your company. Please select one option)				Briefly explain
			Yes	Yes, Continuous improvement and risk prevention	No, but relevant systems or measures are already under construction or being improved	No, It cannot be improved (Please briefly explain)	Yes	Yes, Continuous improvement and risk prevention	No, but relevant systems or measures are already under construction or being improved	No, It cannot be improved (Please briefly explain)	
1	Non-discrimination, Anti-bullying, Anti-harassment: Any form of forced labor is strictly prohibited, including but not limited to involuntary labor or human trafficking. The employment of child labor under the age of 16 is also prohibited. Humane treatment is emphasized, and there must be no workplace bullying, sexual harassment, or discrimination. The labor rights of disadvantaged groups must be protected.	In the self-assessment year, has your company exceeded legal requirements in employing disadvantaged groups, and have there been no incidents of workplace sexual harassment or bullying?									
2	Work-life Balance: Working hours and wages must comply with legal requirements. There should be systems in place for (extended) working hours, leave, and absence statistics, avoidance of forced labor, timely and full contribution to employee retirement funds, and promotion of work-life balance for employees.	In the self-assessment year, were there no incidents of employees working overtime beyond legal limits or supervisors refusing to grant leave to employees?									
3	Freedom of Association and Labor-Management Communication: Emphasis on personal data privacy protection and information security, safeguarding freedom of association and the right to collective bargaining, providing grievance and remedial mechanisms to avoid labor disputes/strikes, and committing to equal opportunities in compensation and promotion.	In the self-assessment year, were labor-management meetings held or were employees free to join labor unions (industrial unions)?									
4	Safe and Healthy Workplace: Establish a healthy and safe work environment, provide training on occupational safety and health, prevention of work injuries and occupational diseases, emergency and disaster response, and prevent accidents.	In the self-assessment year, were disaster evacuation drills or occupational injury prevention training conducted to prevent accidents or reduce damages?									
5	Climate Transition: Formulate greenhouse gas reduction policies and targets, reduce energy consumption in operations/services/products, and obtain eco-labels or environmental ISO certifications (ISO 14001/ISO 50001/ISO 14064/ISO 14067) for products or services and disclose them.	In the self-assessment year, were greenhouse gas reduction targets and achievements publicly disclosed, or were relevant environmental certifications obtained? (If publicly disclosed, please provide the webpage link in the "Brief Description" section.)									
6	Protection of Natural Resources: Identify, assess, and manage the dependency and impact on the natural environment surrounding operational sites, and reduce the impact on the social and economic functions provided by natural resources.	In the self-assessment year, did the company's operations not take place in areas with significant natural impact (such as water-stressed areas, national parks, nature reserves, etc.)?									
7	Ethical Business Practices: Comply with ethical business practices (no improper gains/bribery, anti-corruption, respect for intellectual property rights) and fair trade (no improper donations/sponsorships/advertising, no procurement of conflict minerals), and protect whistleblowers and privacy.	In the self-assessment year, were there no customer/vendor transaction disputes?									
8	Financial Soundness: Comply with accounting standards, establish risk control systems, and strengthen corporate sustainability.	In the self-assessment year, were there no incidents of service interruptions, delayed payments, or losses exceeding 5% of paid-in capital?									
9	Legal Compliance: In the self-assessment year, were there any records of labor penalties? Inquiry system: https://announcement.mol.gov.tw/ In the self-assessment year, were there any records of environmental penalties? Inquiry system: https://prtr.moenv.gov.tw/index.html	In the self-assessment year, were there no penalties for violations of labor rights/occupational safety and health regulations, or for violations of environmental regulations/environmental hazards?									
Supplier self-assessment score			0.00				0.00				