



## 責任投資

兆豐票券為善盡機構投資人盡職治理責任與順應責任投資原則，發揮投資影響力，以增進股東總體利益，於 2021 年 11 月訂定「機構投資人盡職治理政策」，並於同年 12 月簽署「機構投資人盡職治理守則」遵循聲明，將 ESG (Environmental, Social, and Governance) 相關議題納入投資分析及決策流程中，持續關注被投資公司營運及 ESG 發展狀況，對於嚴重違反 ESG 原則之產業或企業列為禁止投資對象，已建立投資部位或往來對象違反 ESG 原則，將建議或引導企業改善並落實執行，如仍未獲改善，則以不再增加投資為原則，必要時減少或出清投資部位，以維護股東之長期利益及推動永續發展為責任，並嚴禁員工為私利或為特定對象之利益，而為對股東不利之投資決策與行動。另透過與被投資公司對話，如出席股東會、行使投票權、適當與被投資公司經營階層溝通等議合方式，促進被投資公司在追求獲利成長的同時也落實永續發展。盡職治理執行情形每年於網站或年報揭露。

## Responsible Investment

In order to fulfill the stewardship as an institutional investor, and also in line with the responsible investment principles, Mega Bills exerts its influence over investment to increase the overall interest for all shareholders. In November 2021, Mega Bills established its “Stewardship Policy for Institutional Investors”. In December 2021, it executed the Statement of Compliance with “the Stewardship Principles for Institutional Investors” to include the related issues into the investment analysis and decision-making procedure. Mega Bills will also keep concerning the investees’ operations and ESG development, and identify the industries or enterprises which materially violate the ESG practices as the prohibited



investees. For any established investment positions or trading counterparts against the ESG practices, Mega Bills will suggest or guide enterprises to make improvement and fulfill the practices. If they fail to do so, Mega Bills will not increase the investment therein, or will cut or clear the investment position, if necessary, in order to maintain the shareholders' long-term interest and promote the sustainability. Meanwhile, Mega Bills strictly prohibits employees from making any investment decision or taking any action against the shareholders, for theirs or any specific counterparts' private interest. Further, Mega Bills also facilitates the investees' practicing of the sustainability while they are pursuing the profit growth through the dialogue with the investees, such as attendance at a shareholders' meeting, exercise of voting rights, and timely communication with the investees' management. The Stewardship implementation result will be disclosed on Mega Bills' website or annual report.