

## **Primasia Securities**

### **"Stewardship Principles for Institutional Investors"**

#### **Compliance Statement**

**Primasia Securities Co., Ltd. is categorized as an asset owner, with its primary business activities in securities brokerage, proprietary trading, and underwriting. The Company declares its compliance with the "Stewardship Principles for Institutional Investors," and its adherence to the six principles is outlined as follows:**

#### **Principle 1 Establish and disclose stewardship policies**

The Company's operational objective is to maximize shareholder interests through its brokerage, proprietary trading, and underwriting operations. To achieve this objective, the Company has established Stewardship policies, which include the responsibilities towards shareholder and the fulfillment and disclosure of stewardship actions.

#### **Principle 2 Establish and disclose policies on managing conflicts of interest**

To ensure that the Company conducts its business in the best interests of its shareholders, a conflict of interest management policy has been established, outlining the types of conflicts of interest and the methods for managing them.

#### **Principle 3 Regularly monitor investee companies**

To ensure that the Company obtains sufficient and effective information for evaluating and establishing a good foundation for investment decisions regarding invested companies, the Company pays attention to various aspects of the invested companies, including relevant news, financial performance, industry overview, business strategies, labor rights, environment protection measures, social responsibility, and corporate governance.

#### **Principle 4 Maintain an appropriate dialogue and interaction with investee companies**

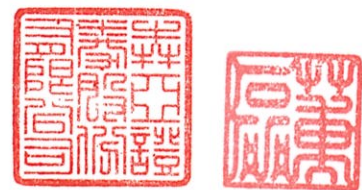
The Company engages in appropriate dialogue and interaction with investee companies to better understand and communicate with their management regarding industry risks and strategies. Communication with investee company management is conducted annually through conference calls, face-to-face meetings, participation in investor conferences, or by sending representatives to attend general or extraordinary shareholders' meetings. If an investee company significantly violates corporate governance principles or poses a risk to long-term shareholder value on specific issues, the Company will inquire about the handling of such matters with the investee company's management from time to time, and may also consider joining forces with other investors to express concerns collectively.

#### **Principle 5 Establish and disclose clear voting policies and voting results**

To maximize shareholder interests, the Company has established a clear voting policy and actively participates in voting on shareholder meeting proposals. The summary of annual voting records can be found at: <https://www.estockking.com/governance.html>

#### **Principle 6 Periodically disclose the status of fulfillment of stewardship responsibilities**

The Company regularly publishes stewardship reports on its website (or in its annual report/business report) to disclose its stewardship activities. These include the compliance statement and explanations for any non-compliance with specific principles, attendance at investee companies' shareholders' meetings, voting records, and other significant matters.



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Updated on August 25, 2025.