

# Harassment-free Environment Policy

## Purpose

---

Mirae Asset Securities (“the Company”) values talented individuals and envisions contributing to successful asset management and peaceful retirement for our customers. Under this key premise, all of the Company’s executives and employees (collectively “the Employees”) work with the aim of complying with laws and principles based on ethical management, and maintain a working culture that embodies mutual trust and respect. In particular, the Company has established and implements an internal policy that prohibits sexual and workplace harassment.

## Prohibited Acts

---

### 1. Sexual harassment

#### ○ Definition

Sexual harassment in the workplace refers to an employer, supervisor or worker using their position to make other employees feel sexually humiliated or abused through verbal or physical behavior of a sexual nature, or discriminating against other employees with respect to working conditions and employment simply because of a failure to comply with other demands.

#### ○ Types

Sexual harassment in the workplace can be categorized into physical, verbal, visual, and other behaviors. Other behaviors refer to any acts that are deemed as having caused sexual humiliation or abuse in accordance with social norms. In addition, the Company takes appropriate measures when Employees, who work closely with customers, are subjected to sexual humiliation or abuse through verbal or physical behavior of a sexual nature during the course of performing their duties.

### 2. Workplace harassment

#### ○ Definition

Workplace harassment refers to any act in which an employer or worker takes advantage of his

or her superior position or relationship at work to inflict physical or mental distress on other workers, or to otherwise deteriorate the work environment beyond a justifiable extent necessary for work.

### ○ Example

As there are many types of workplace harassment, it is difficult to enumerate and specify them all. However, behaviors that are likely to be viewed as harassment are as follows.

- Physical threats or violence
- Abusive or threatening words
- Speech and/or behavior causing insult in front of others, offline or online
- Continuously and repeatedly assigning tasks related to personal daily affairs, such as asking an employee to assist with personal matters
- Refusing to acknowledge, or ridiculing, an employee's work ability or performance without justifiable reason
- Spreading gossip or rumors about an employee's private affairs
- Forcing other employees to drink, smoke or participate in company dinners against their wishes

**※ For the above examples, refer to the "Manual for Determining, Preventing, and Responding to Workplace Harassment – Ministry of Employment and Labor"**

## **Reporting Violations and Resolving Issues**

---

### **1. Reporting procedure**

Victims of sexual harassment or other types of workplace harassment who wish to see their grievances addressed can submit a report in writing, by phone, or by submitting their case in the Company's system. Additionally, all Employees who witness or become aware of sexual harassment or other types of workplace harassment can, and should, report it to the Company.

### **2. Investigation**

Once the Company receives such a report or becomes aware of such matters, it shall conduct an

investigation without delay. The Company shall make sure that affected employees are sincerely listened to and do not feel shamed over the course of the investigation.

### **3. Confidentiality and Victim Protection**

The Company maintains strict confidentiality throughout the grievance handling procedure and takes appropriate measures, such as job transfers, paid leave, or psychological counseling, to protect victims. In addition, the Company shall not place any employees at a disadvantage for reports or complaints that they may have submitted.

### **4. Closing**

For those who have violated Company policies, disciplinary measures shall be taken based on the Zero-Tolerance Principle in accordance with relevant laws and Company regulations, and the voice of the victim must be respected. Even after a case is closed, the Company actively supports victims and carefully monitors for possible recurrence or subsequent negative impacts.

### **Preventive Activities**

---

The Company carries out a diverse range of preventive activities to prevent sexual harassment and other types of workplace harassment. It promotes ethical management and has established a Code of Ethics and Standards of Behavior for the Code of Ethics. Furthermore, once a year, the Company provides training to prevent and prohibit sexual harassment and other types of workplace harassment, and regularly encourages employees to prepare a self-inspection checklist for ethical compliance. The Company strives to eradicate sexual harassment and other types of workplace harassment, and creates a culture of mutual respect through frequent messages from senior management and employee training.