

□ Integrity Reporting

This system is for reporting illegal conduct by Mirae Asset Securities employees, and all processes related to reporting, such as filing the report and confirming results, are handled anonymously to protect the identity of the reporter.

What is an “Integrity Reporting”?

Integrity Reporting is a system through which employees of Mirae Asset Securities (hereinafter “the Company”) can report any illegal acts or misconduct of the Company or other fellow employees.

Acts subject to report

- In case of occurrence or expected occurrence of criminal acts such as embezzlement, malpractice, theft, and receipt of a bribe.
- False statement of financial accounting information or forging, falsifying, damaging or destroying financial accounting information and instructing such act(s).
- Violation of related laws and regulations or internal control system.
- In case of occurrence or expected occurrence of disputes with customers.
- Issues that may cause legal and financial problems for the Company due to irregular fund attraction and private transactions with customers.
- Unreasonable business order from a superior.
- Violations such as unlawful solicitation and receipt of money and other goods as defined by the Improper Solicitation and Graft Act.
- Failure to comply with the Code of Ethics.
- Other acts that may degrade the Company's image.

How to report

- Anonymous report: Click "Report Illegal Conduct" button at the top of the website page (reporting in real name is also possible)
- In the case of insider whistleblowing, where the compliance officer is the recipient, in-person report, report through (e-)mail, telephone, telegraph, facsimile, computer and other similar

electronic communication methods (reporting under one's real name is also possible)

Protecting the identity of the reporter

- For whistleblowers, both anonymous reports and real name reports are possible.
- Disclosing or tracking the identity of the reporter is strictly prohibited in accordance with the Internal Control Standards and Enforcement Rules of the Internal Control Standards.
- Any disadvantage(s) such as discrimination in working conditions shall not be imposed on the reporter where such actions are strictly prohibited in accordance with the Internal Control Standards and Enforcement Rules of the Internal Control Standards.

Reduction and exemption for reporter

Disciplinary punishment may be reduced/exempted if the employee voluntarily reports his/her own internal misconduct to the Company before the fact is known by others.

Reward payment

If the report is recognized as having significantly contributed to protecting the Company's assets, rewards can be paid to the reporter according to the standards set by the company.

[Cases not eligible for rewards]

- A case where the information per the report turns out to be untrue or difficult to verify due to lack of evidence.
- A case where the issue has already been reported, or has already been recognized by the audit department, other related departments or external organizations and thereby investigation is in progress or completed.
- A matter that has been disclosed by public media, etc.
- A case where matters are related to mere business improvement.
- A case where the reporter does not wish to receive the reward.
- Other cases where the reward is deemed inappropriate as a result of a reward review.

Precautions for reporting

- Please give accurate and specific details.

- Issues related to personal privacy are excluded from reporting.
- If the report is clearly false or if it is difficult to determine the authenticity of the report, investigation may be suspended.

Process

- The report handler shall promptly check the authenticity and facts of the report and, if necessary, can request support from employees or related departments, or request a special audit from the audit department or compliance department.
- The relevant department, audit department or the compliance department notifies the report handler of the special audit results and actions taken.
- The report handler may notify the results to the reporter.