



Trinity Securities Company Limited

Operational Report according to the Investment Governance Policy Year 2024

Investment Governance Policy Compliance Practices	Policy Implementation and Compliance	Executive Summary
1. Investment Governance Structure	✓	Trinity Securities Co., Ltd. has clearly defined the roles and responsibilities of the Board of Directors and relevant departments. The Company has also established an Investment Governance Policy, which was approved by the Board of Directors on January 25, 2019.
2. Conflicts of interest are adequately prevented and managed to ensure the best interests of clients.	✓	Trinity Securities Co., Ltd. has established guidelines for the prevention and management of conflicts of interest, prioritizing the best interests of clients and in accordance with relevant regulatory requirements.
3. Make investment decisions and closely monitor investee companies in a timely manner.	✓	Trinity Securities Co., Ltd. has established a process for regularly monitoring the operations of investee companies to stay informed of their performance and promptly identify any emerging issues. The company incorporates Environmental, Social, and Governance (ESG) factors as part of its monitoring process to ensure responsible and sustainable investment practices.
4. Escalate the Level of Monitoring for Investee Companies.	- (No incidents)	Trinity Securities Co., Ltd. has established guidelines for taking additional actions with investee companies when routine monitoring processes are deemed insufficient. The intensity of these actions will be considered and adjusted according to necessity.
5. Disclosure of Voting Policy and Voting Results.	✓	Trinity Securities Company Limited discloses its voting policy and reports the voting results to its clients.
6. Cooperation with Other Investors and Stakeholders as Appropriate.	✓ (No incidents)	Trinity Securities Company Limited may consider collaborating with other investors and stakeholders to elevate the importance of concerns to the invested companies and to encourage improvements in addressing these issues.



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7. Disclosure of Investment Governance and Regular Reporting of Policy Compliance to Clients.	✓	Trinity Securities Company Limited discloses its Investment Governance Policy and reports on policy compliance on the company's website.

Note: ✓ means Implemented
 ✕ means Not yet implemented