

## 台灣機構投資人盡職治理守則 - 遵循聲明

富達國際(「富達」)支持台灣機構投資人盡職治理守則。富達證券投資信託股份有限公司(「富達投信」)作為資產管理公司，主要業務是管理及募集證券投資信託基金、全權委託投資管理及其他經主管機關核准之業務。富達投信特此聲明遵守台灣證券交易所公布的「機構投資人盡職治理守則」。本聲明以及富達的永續投資原則共同揭露我們對六項守則原則之遵循方式。

富達投信是富達國際公司集團的成員，本文之「富達」是指獨立的私有公司集團，組成全球投資管理組織，在美國以外之指定管轄地提供產品和服務。

### 原則1 制定並揭露盡職治理政策

我們相信，高標準的企業責任通常會產生良好的商業理念，並具有保障和提高投資實效的潛力。我們的盡職治理政策概述我們作為企業管理永續議題的方法，以及我們對客戶及履行我們受託人義務的重視度。富達的投票政策以及盡職治理活動定期於官方網站上更新。<sup>1</sup>

### 原則2 制定並揭露利益衝突管理政策

永續投資團隊負責監控與代理投票有關的可能利益衝突。如果基金持有涉及多方交易主體的投資，我們將始終為該特定基金的利益行事。在與富達自身利益有所衝突的情況下，我們將根據我們主要的第三方研究機構之建議來投票，或者，若無任何建議，我們將選擇棄權或根本不投票。富達的利益衝突政策詳情可參見官方網站相關報告。

### 原則3 持續關注被投資公司

我們定期關注投資組合中的被投資公司和潛在被投資公司，確保其管理方式能創造長期永續價值。這包括檢視被投資的財務與營運狀況，以及其環境、社會、和公司治理實務。定期關注公司不僅能提升與公司交流對話時的品質，也為未來投資決策提供有用的參考價值。

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<sup>1</sup> [機構投資人盡職治理揭露 | 富達台灣 \(fidelity.com.tw\)](https://www.fidelity.com.tw)

#### **原則4 適當與被投資公司保持對話及互動**

我們認為與被投資公司保持適當的對話和互動至關重要，以便更瞭解其管理層對重大議題的看法，並提供我們的反饋以助其強化公司治理和永續商業實踐。在決定與被投資公司進行交流的方式和期間時，我們得考慮投資的目的、成本和收益以及特定議題的重要性。

#### **原則 5 建立並揭露明確投票政策與投票情形**

我們已制定投票政策，詳細闡述我們對關鍵事項的看法和意見，為在被投資公司的股東會上對每項議案行使代理投票時提供原則性的指引。原則上我們對於有代理投票權的股東大會都將盡可能行使投票權，投票決策旨在保障與提升我們為客戶進行投資的永續價值。

我們的投票政策會定期更新，可參見我們的官方網站。我們從各種渠道取得相關資訊以支持投票決策分析，包括公司的公開資訊、股權研究代理機構研究、以及我們自身的內部研究。我們根據我們的政策擷取、分析和記錄我們的投票活動，並在網站上揭露我們相關資訊。

#### **原則 6 定期揭露履行盡職治理之情形**

富達記錄其盡職治理活動，這有助於我們進一步評估和改善我們的盡職治理政策、執行、以及揭露工作。我們定期檢視我們的盡職治理政策、利益衝突政策、投票政策以及履行我們盡職治理職責的狀態。此外，我們定期評估我們盡職治理活動的效益，以助於塑造未來關注領域的重點、流程和實踐。

#### **聯繫**

如果您想瞭解更多有關富達在臺灣的盡職治理與永續投資活動，請聯繫 [ESGTeam@fil.com](mailto:ESGTeam@fil.com)。

富達證券投資信託股份有限公司

2023 年 1 月 19 日

# Taiwan Stewardship Principles for Institutional Investors

## - Statement of Adherence

Fidelity International (Fidelity) supports the Taiwan Stewardship Principles for Institutional Investors. FIL Securities Investment Trust Co. (Taiwan) Limited's ("SITE") main business is to manage and offer securities investment trust funds, discretionary investment management and other businesses as approved by the regulator and is an asset manager. SITE hereby represents to comply with the "Stewardship Principles for Institutional Investors" established by the Taiwan Stock Exchange ("the Principles"). This statement, together with Fidelity's Sustainable Investment Principles, discloses our approach to each of the Principles.

SITE is a member of the Fidelity International group of companies and "Fidelity" in this context refers to the independent group of privately-owned companies which form the global asset management organisation that provides products and services in designated jurisdictions outside of United States.

### **Principle 1**

#### **Establish and disclose stewardship policies**

At Fidelity, we believe that by investing in companies which operate with high standards of corporate responsibility we can protect and enhance investment returns for our clients. Our stewardship policies capture and discuss our approach as a business to long-term sustainability topics and the importance and focus we place on duties and responsibilities to our clients. Our Voting Policy and stewardship activities are updated regularly on our website.<sup>2</sup>

### **Principle 2**

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

The Sustainable Investing Team is responsible for monitoring possible conflicts of interest relating to proxy voting. In instances when a fund holds an investment in more than one party to a transaction, we will always act in the interests of the specific fund in question. In cases where there is a conflict with Fidelity's own interests, we will either vote in accordance with the recommendation of our principal third-party research provider or, if no recommendation is available, we will abstain or not vote at all. Policies related to conflict of interest are disclosed on relevant reports our website.

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<sup>2</sup> [機構投資人盡職治理揭露 | 富達台灣 \(fidelity.com.tw\)](https://www.fidelity.com.tw)

## **Principle 3**

### **Regularly monitor investee companies**

We regularly monitor our investee and potential investee companies with the aim to ensure that companies in our portfolios are managed in a way that can deliver sustainable value creation over the long term. This includes reviewing and monitoring investee companies' financial and operational performance as well as their environmental, social and governance practices. This review and monitor inform our dialogue and interaction with these companies and is also a reference point for future investment decisions.

## **Principle 4**

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

We believe that it is critical to maintain an appropriate dialogue and interaction with our investee companies to better understand the views of their management regarding material issues and provide our feedback that may contribute to the further strengthening of their corporate governance and sustainable business practices. In determining the manner and time of dialogue, we take in to account the purpose, cost and benefits of the investment and significance of particular issues of concern.

## **Principle 5**

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

We have established voting policies, detailing our views and opinions on key matters, with the purpose to guide the exercise of voting rights on each proposal at the shareholder meetings of our investee companies. It is our policy to vote every share we are entitled to, and our voting decisions are made with objective of protecting and enhancing the value of investments we make on behalf of our clients.

Our voting guidelines are updated on a regular basis and can be found on our website. Information to support our voting decision making process is derived from a variety of sources and includes material provided by the company, proxy voting research service providers and internal research. We capture, analyse and record our voting activity in accordance with our policies, which are disclosed on our website.

## **Principle 6**

### **Periodically disclose the status of fulfilment of stewardship responsibilities**

Fidelity records its stewardship activities and this assists in our assessment and improvement of our stewardship policy, its implementation, and reporting. We regularly review our stewardship policies, conflicts of interest policies, voting policies and the status of meeting our stewardship responsibilities. Furthermore, we evaluate the effectiveness of our stewardship activities and this review also informs our future focus areas, processes and practice.

## Contact

If you would like to learn more about Fidelity's approach to Stewardship and Sustainable Investing in Taiwan, please send your enquiry to our Sustainable Investing Team at [ESGTeam@fil.com](mailto:ESGTeam@fil.com)

FIL Securities Investment Trust Co., (Taiwan) Limited

19 January 2023