

CTBC Financial Holding Co., Ltd. Personal Data Protection Statement

Ver 1.0

CTBC Financial Holding Co., Ltd.

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- Article 1 Purpose of establishing the Personal Data Protection Statement
The Personal Data Protection Statement (hereinafter, this “Statement”) is established to enhance the personal data management of CTBC Financial Holding Co., Ltd. (hereinafter, the “Company”) and its subsidiaries and in compliance with the Personal Data Protection Act (hereinafter, the “Act”).
- Article 2 Objectives of personal data protection of the Company and its subsidiaries
1. Ensure all business activities of the Company and its subsidiaries are conducted in compliance with the requirements of the Act and related laws and regulations.
 2. State the objectives of personal data protection that all employees of the Company and its subsidiaries shall comply with; ensure personal data is collected, processed, and used within a reasonable scope; establish the basis for the use of the personal data of customers and employees of the Company and its subsidiaries in the course of conducting business activities or managing internal personnel; reduce the potential legal risk of the Company and its subsidiaries and their employees; protect the rights and interests of customers; and maintain the reputation of the Company and its subsidiaries.
- Article 3 Scope
1. This Statement shall apply to all employees (including consultants and advisers) of the Company and its subsidiaries as well as staff assigned by dispatch work agencies.
 2. If stricter laws and regulations are enforced in the jurisdiction of a subsidiary’s overseas branch, these shall apply.
- Article 4 Terms and definitions
1. “Personal data” refers to a natural person’s name, date of birth, national ID card number, passport number, features, fingerprints, marital status, family information, education background, occupation, medical records, healthcare data, genetic data, sex life-related data, physical examination records, criminal records, contact information, financial conditions, social activity-related data, and any other information that may be used to directly or indirectly identify them. The scope and definition of personal data are subject to changes made with reference to amendments by the competent authorities or to legal changes.
 2. “Special personal data” refers to data pertaining to a natural person’s medical records, genetics, sex life, physical examinations, and criminal records. The scope and definition of special personal data are subject to changes made with reference to amendments by the competent authorities or to legal changes.
 3. A “personal data file” refers to a collection of personal data structured to facilitate data retrieval and management by automated or non-automated means, including in paper and electronic formats.
 4. “Collection” refers to the act of collecting personal data in any way.
 5. “Processing” refers to the act of recording, inputting, storing, compiling, correcting, duplicating, retrieving, deleting, outputting, connecting, or internally transferring data for the purpose of establishing or using a personal data file.
 6. “Use” refers to the act of using personal data via any method other than processing.
 7. “Cross-border transfer” refers to the cross-border processing or use of personal data.
 8. “Personal data file infringement” refers to the theft, alteration, destruction, loss, or leakage of a personal data file.
- Article 5 Principles for the collection, processing, and use of personal data

1. Identify the personal data to be processed and define its scope.
2. Protect personal data using appropriate technology, provide appropriate measures for the secure management of personal data, and protect all personal data collected, processed, or used.
3. Confirm that personal data is collected and processed for a specific purpose and the status of legal compliance, and retain appropriate audit trails.
4. Ensure that the IT system accounts used to conduct business operations comply with the principle of least privilege.
5. Fulfill statutory informing obligations.
6. Comply with the limits on the collection, processing, or use of special personal data.
7. Confirm that personal data is used within the scope required for the specific purpose, that the use of personal data beyond the specific purpose shall comply with the relevant legal requirements, and that appropriate audit trails are retained.
8. Respect the following personal data rights of data subjects and provide appropriate assistance: the right to make an inquiry of and to review their personal data; the right to request a copy of their personal data; the right to supplement or correct their personal data; the right to demand the cessation of the collection, processing, or use of their personal data; and the right to erase their personal data.
9. Establish emergency response procedures for personal data management for reference when responding to the infringement of personal data rights.
10. Conduct cross-border transfers in compliance with the related regulations of the competent authorities and in the presence of appropriate protective mechanisms.

Article 6 To reflect in a timely manner the latest changes to laws and regulations, the technology used for personal data management, the requirements of competent authorities, and the business of the Company, this Statement shall be assessed at least once a year to ensure the effectiveness of personal data management practices.

Article 7 Matters not provided for in this Statement shall be subject to the related laws and regulations and the regulations of the Company and its individual subsidiaries.

Article 8 This Statement, and any amendment hereto, shall take effect after being approved by the President.