

# **CTBC Financial Holding Co., Ltd.**

## **Regulations for Prevention, Correction, Complaint and Punishment of Sexual Harassment**

1. To provide employees, job applicants, or customers with a workplace or service environment free from sexual harassment, and to take appropriate preventive, corrective, disciplinary, and other measures to protect the rights, interests, and privacy of the parties involved, CTBC Financial Holding Co., Ltd. (hereinafter called this “Company”) thus establishes these Regulations in accordance with Article 13, paragraph 1, of the “Act of Gender Equality in Employment”; the “Regulations for Establishing Measures of Prevention, Correction, Complaint and Punishment of Sexual Harassment at Workplace” promulgated by the Ministry of Labor (MOL); and Article 7, paragraphs 1 and 2, of the “Sexual Harassment Prevention Act”.
2. These Regulations shall apply to the sexual harassment incidents as stipulated in the said “Act of Gender Equality in Employment” and “Sexual Harassment Prevention Act” occurred to the employees, job applicants, or customers of this Company, except for incidents where the “Gender Equity Education Act” shall apply.
3. Sexual harassment under these Regulations refer to one of the following circumstances:
  - 3.1 Circumstances under the “Act of Gender Equality in Employment”:
    - (1) When an employee (including an employed person, dispatch worker, trainee, and intern) executes his or her duties, anyone (including the employer, supervisors at all levels, employees, customers, and others) makes a sexual request, uses verbal or physical conduct of a sexual nature or with an intent of gender discrimination, causes him or her a hostile, intimidating and offensive working environment leading to infringe on or interfere with his or her personal dignity, physical liberty or affects his or her job performance.
    - (2) An employer explicitly or implicitly makes a sexual request toward an employee (including an employed person, dispatch worker, trainee, and intern) or a job applicant, uses verbal or physical conduct of a sexual nature or with an intent of gender discrimination as an exchange for the establishment, continuance, modification of a labor contract or as a condition to his or her placement, assignment, compensation, evaluation, promotion, demotion, award and discipline.
  - 3.2 Circumstances under the “Sexual Harassment Prevention Act”:

Except for sexual assault crimes (in additional to the filing procedures, the related provisions of these Regulations shall apply mutatis mutandis to sexual assault crimes), sexual harassment refers to the sexual or gender-related behaviors against the will of another person and also under any one of the following circumstances:

    - (1) An exchange of a person’s obedience to or rejection of another person’s sexual advances with the acquisition, loss, or reduction the rights and interests in work, education, training, services, plans, or activities.
    - (2) Intimidating the character or dignity, or causing threatening, hostile, or offensive scenarios, or inappropriately influencing the work, education, training, services, plans, activities or other normal habits of a person with texts, pictures, voices, images or other objects; or languages and behaviors of discrimination, or other methods are adopted.

4. To prevent sexual harassment from occurrence, this Company shall eliminate elements of hostility originating from sex or gender in the workplace or service environment to protect employees, job applicants, or customers against the threat of sexual harassment. In discovery of probable sexual harassment, this Company shall review and take corrective and preventive actions immediately. Apart from identifying the risks of sexual harassment in the workplace environment and taking necessary preventive measures for employees working in workplaces out of this Company's control or management, this Company shall fully inform employees of such information in advance.
5. In addition to arranging education and training on the prevention of workplace sexual harassment and planning courses on gender equality and sexual harassment prevention, this Company also discloses related information in the Information Required for Disclosure by Law section on the corporate website.
6. This Company provides the following channels for reporting sexual harassment:  
Grievance hotline: (02) 3327-8804  
Grievance email: 0885@ctbcholding.com  
Responsible unit: Employee Grievance Center
7. After acknowledging a sexual harassment incident, whether it is reported or not, this Company shall take immediate and effective corrective and remedial actions with concerns for the following items:
  - (1) The rights, interests, and privacy of the victim.
  - (2) Safety maintenance or improvement of the involved venues.
  - (3) Other corrective and preventive actions.
8. Sexual harassment complaints shall be filed either orally or in writing. For orally filed complaints, the personnel or unit accepting these complaints shall put them in record. After clearly reading the records (statements) to the complainant or allowing the complainant read and ascertain the correctness of records, the complainant shall sign or imprint the personal seal in the record.  
A complaint shall contain the following information:
  - (1) The name, gender, age, ID card or passport number, service/work/study unit and job title, address or residence, and contact telephone number of the complainant.
  - (2) For complaints represented by a statutory representative, the name, gender, age, ID card or passport number, occupation, address or residence, and contact telephone number of the agent.
  - (3) For complaints represented by an agent, a power of attorney containing the name, gender, age, ID card or passport number, occupation, address or residence, and contact telephone number of the agent.
  - (4) The facts and accessible evidence relating to the incident.
  - (5) The date of filing.Records of a written or oral complaint to which the "Sexual Harassment Prevention Act" that do not conform with the said regulations but can be corrected, the complainant shall be notified to make corrections within 14 days.  
This Company's obligations for the prevention, correction, and remediation of workplace sexual harassment under the "Act of Gender Equality in Employment" will remain unaffected by the rejected complaint.
9. A written or oral complaint made under the "Sexual Harassment Prevention Act" will not

be accepted when corrections to the records are not made within the time limit stated in paragraph 3 of the foregoing article.

If a complaint of sexual harassment is rejected as stated in the foregoing paragraph, the complainant shall be informed of the rejection within 20 days after the complaint is made or received, and the Taipei City Department of Social Welfare shall be notified.

After being informed of the results, a complainant shall not file a new complaint on the same complaint with investigation (including appeals) completed according to the “Act of Gender Equality in Employment” and “Sexual Harassment Prevention Act”.

10. Although this Company is not the employer of the offender, after receiving a sexual harassment complaint according to paragraph 2 of Article 3 of these Regulations, this Company shall make appropriate emergency response and refer the complaint and related data to the Taipei City Department of Social Welfare within seven days.
11. This Company establishes a sexual harassment review committee with representatives from both the management and labor to handle sexual harassment complaints. A committee chief is appointed and chairs the committee meetings. When the chairperson is unable to host a meeting, he/she may assign other committee members to represent him/her. The committee shall consist of three to seven members. No less than one half of committee members shall be female and no less than one third of members shall be of the same gender. Experts or scholars may be hired to be the committee members as necessary.
12. When a sexual harassment incident occurs to dispatch workers to whom the “Act of Gender Equality in Employment” applies, this Company shall accept the complaint and investigate the incident together with the dispatch agency and notify the agency and party(ies) involved of the investigation results.  
If the employer is the inflictor of a sexual harassment incident, in addition to filing a complaint through this Company’s internal channels, employees or job applicants may press charges against the employer to the local competent authorities.
13. Before the Sexual Harassment Review Committee makes a resolution, either the complainant or his/her agent may repeal the complaint in writing. No second complaint of a repealed complaint shall be accepted.  
Except through the mediation of the competent authorities and the complaint is repealed, the repeal in mentioned in the foregoing paragraph shall not apply to sexual harassment complaints made under the “Sexual Harassment Prevention Act”.
14. A committee meeting of the Sexual Harassment Review Committee shall be held with the attendance of over one half of all committee members, and a resolution shall only be made with the agreement of at least one half of committee members attending the meeting.
15. Personnel participating in the handling, investigation, and resolution of a sexual harassment incident shall keep confidential all contents acknowledged from work. The committee chief shall dismiss those who violate this non-disclosure mandate, and this Company may take disciplinary actions, look into related responsibilities, and dismiss such personnel with respect to the severity of offence.
16. An investigator of a complaint and appeal of sexual harassment incident shall recuse

himself/herself from the investigation under any one of the following circumstances:

- (1) The investigator, his/her spouse, ex-spouse, relative by blood within the fourth degree, or relative by affinity within the third degree, past or present, is the party involved of the incident.
- (2) The investigator, his/her spouse, or ex-spouse is an interested party or related party to the party involved of the incident.
- (3) The investigator is or has been an agent or assistant to the party involved of the incident.
- (4) The investigator is a witness or appraiser of the incident.

The party involved of a sexual harassment incident may request for dismissal of investigators engaging in the handling, investigation, or resolution of the incident under any one of the following circumstances:

- (1) An investigator refuses to recuse himself/herself under any one of the said circumstances
- (2) There are facts proving that his/her handling, investigation, or resolution is biased.

When applying for dismissing an investigator, the applicant shall state the reasons and present the facts, including appropriate explanations, to the Sexual Harassment Review Committee. The investigator being requested for dismissal may submit a written defense. Before the approval of rejection of the application made by the Sexual Harassment Review Committee, the investigator in question shall be suspended, except for emergency where precautionary actions shall be taken.

The Sexual Harassment Review Committee shall dismiss investigators who do not recuse themselves from the handling, investigation, or resolution even the party involved does not request for the dismissal.

17. When investigating a sexual harassment incident, the Sexual Harassment Review Committee shall follow the principles below:

- (1) Absolute confidentiality shall be maintained in the investigation, and the privacy, and other personality rights and interests of the parties involved shall be protected.
- (2) Objectivity, impartiality, and professionalism shall be maintained in the investigation, and the parties involved shall be given sufficient opportunities to state their opinions and defend themselves.
- (3) Unnecessary repeated enquiries on the victim's clear statements shall be avoided.
- (4) The parties involved and related parties may be requested to give an explanation as necessary, and assistance from those with related expertise and experience may be sought.
- (5) Cross-examinations between the parties involved or witnesses shall be avoided.
- (6) Out of the need for investigation, investigators may make a written profile of the case for the parties involved to review or inform them of the key points without violating the non-disclosure obligation.
- (7) All personnel involving in handling a sexual harassment incident shall keep absolute confidentiality the name and other data valid for identifying the parties involved, except for the need of investigation or consideration of public security.
- (8) Active counseling referral or legal aid shall be arranged for the parties involved as necessary during the investigation.
- (9) During the proceeding of a complaint, investigation, reconnaissance, or examination of a sexual harassment incident, no differential treatment shall be imposed on persons providing assistance or other forms of engagement in the complaint, suit, informing, public prosecution, and testification of the incident.

18. The Sexual Harassment Review Committee shall initiate the investigation within seven days after the complaint is made or referred and complete the investigation within two months. If extension is required, the Sexual Harassment Review Committee shall notify the parties involved of the extension for a maximum of one month.
19. The Sexual Harassment Review Committee shall make a resolution with explanations based on the investigation results and recommend disciplinary or other actions. Both the parties and this Company shall be informed for the resolution in writing. For sexual harassment incidents under paragraph 2 of Article 3 of these Regulations, the resolution shall also be referred to the Taipei City Department of Social Welfare.  
The said resolution notice shall state that a party disagreeing with the resolution may seek relief by law through the following channels.
  - 19.1 Appeal mechanism under the “Act of Gender Equality in Employment”:
    - (1) Within 20 days after the delivery of the resolution, a party involved may file an appeal to the original review committee. However, the deadline of appeal shall be the time of acknowledgement, given the reason(s) for appeal occurred or is(are) acknowledged afterwards.
    - (2) An appeal shall be made with reasons presented in writing for the review committee to discuss the matter. After a case is closed, no second appeal is made for the same reason.
  - 19.2 Appeal mechanism under the “Sexual Harassment Prevention Act”: Within 30 days after receiving the resolution, a party involved may file an appeal to the Taipei City Department of Social Welfare.
20. If a sexual harassment incident is confirmed, this Company may take the following actions on the inflictor(s) based on the severity of offenses: transfer, demotion, salary reduction, disciplinary action, or other actions. If criminal liability is involved, this Company shall assist the victim(s) in pressing charges against the inflictor(s) in a court of law. If the incident is a false accusation, this Company make take actions on the complainant(s) according to the Work Rules or related regulations based on the severity of offence.
21. This Company shall follow up, evaluate, and supervise the resolutions made and actions taken for sexual harassment incidents to ensure that the punishment or handling is effectively implemented and prevent the occurrence of similar incidents or retaliation.
22. This Company shall not dismiss, transfer, or take any actions unfavorable to the complainants and/or those who assist them in filing a sexual harassment complaint under these Regulations.
23. These Regulations shall take effect after the approval and announcement by the president. The same shall apply to the amendments thereof.