

## Whistleblowing channels

**CTBC Holding is committed to maintaining an honest and transparent corporate culture and promoting sound business operations. Should you discover any illegal or unethical conduct by any member of CTBC Holding or a subsidiary, we encourage you to report it to us via any of the following whistleblowing channels:**

- Phone: +886-2-5573-2220
- Email:
  - CTBC Holding Whistleblowing Mailbox : [whistleblowing.fh@ctbcholding.com](mailto:whistleblowing.fh@ctbcholding.com)
  - CTBC Holding Chairman Mailbox : [ctbcfhchairman@ctbcholding.com](mailto:ctbcfhchairman@ctbcholding.com)
- Post: Attn: Complaint Mailbox, Compliance Department, CTBC Financial Holding  
26F., No. 168, Jingmao 2nd Rd., Nangang Dist., Taipei City 115.

### **When submitting a report**

To facilitate a speedy investigation, please provide contact information and/or any concrete evidence regarding your report. Your report may not be accepted by CTBC Holding if:

1. no concrete allegation or evidence is provided;
2. the reported matter does not fall within the scope of accepted report matters as described in paragraph 2 of the article 5 of CTBC Financial Holding Co., Ltd. Procedures for Handling Whistleblowing Cases (e.g., the report does not involve any member of the Company or a subsidiary, or the reported matter does not involve any illegal or unethical conduct);
3. the reported matter is not related to the business of CTBC Holding or a subsidiary;
4. the reported matter is found to be a malicious attack, fraudulent, or without merit;
5. the same reported matter has already been confirmed as non-accepted or concluded after investigation and review, and no concrete new evidence has been provided to demonstrate the need to reopen the investigation;
6. the reported matter is undergoing judicial investigation or an administrative appeal process, is pending in a court, has already been determined by a court judgment or ruling, or has already been settled through mediation, conciliation, or arbitration process;
7. the nature of the reported matter is more suited to a different channel maintained by CTBC Holding or the relevant subsidiary, such as for labor disputes, sexual harassment, or customer complaints;
8. The report is duly passed to a subsidiary for handling in accordance with Procedures for Handling Whistleblowing Cases.

If you wish to submit a report by email or post, please use the Whistleblower Report Form provided.

### **Protection and incentives for informants**

- Company personnel who accept, investigate, or otherwise engage in the handling of reports shall keep the identities of whistleblowers and the content of their reports confidential. Anyone who violates this confidentiality faces removal from the relevant investigation and disciplinary action, depending on the seriousness of the case.
- CTBC Holding will not adversely treat you for, in good faith, submitting a report or assisting a colleague with a report. As an employee of CTBC Holding, you will still be subject to standard treatment if CTBC Holding requires reorganizations, consolidations, closure, or employee transfers in response to business or operational needs, or disciplinary action per regulations if you're found to have acted illegally or improperly.
- If you are threatened, intimidated, or experiences any adverse actions due to your whistleblowing actions, CTBC Holding will assist you to report this to the police upon the whistleblower's request.
- You may be commended or receive a reward if your report is verified and has a positive contribution to, and significant financial benefit for, CTBC Holding.

## Whistleblower Report Form

This form is designed for the reporting of any crime, fraud, violation of laws or regulations, or violation of the Ethical Corporate Management Best Practice Principles or Code of Ethical Conduct by any member of CTBC Holding or a subsidiary. Please use this form to provide the necessary information for us to accept and properly investigate your report.

Item		Content
Your information	Name and ID*	
	Address	
	Telephone	
	Email	
Information of the accused	Name	
	Department/company	
	Title	
	Job description	
Name(s) or other information related to the case		
Relevant information	Does this case involve ongoing legal proceedings? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	Have you reported this case to a competent financial authority or any association/institution? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	If you have reported this case to a competent financial authority or any association/institution, please provide the following information: (1) When and to which authority/association/institution did you first report the case: <input type="checkbox"/> Name of competent financial authority: _____; Date: <u>    (dd/mm/yy)    </u> <input type="checkbox"/> Name of association/institution: _____; Date: <u>    (dd/mm/yy)    </u>	
	(2) Has the authority/association/institution responded to your report? <input type="checkbox"/> Financial competent authority: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Association/institution: <input type="checkbox"/> Yes <input type="checkbox"/> No (3) If so, what was the response (please provide a copy of any relevant written response):	

\* CTBC Holding allows anonymous whistleblowing.



Report content	Tell us what happened, including where and when. Please provide any evidence available, such as receipts, certificates, agreements, letters, audio recordings, video recordings, or photographs; you may attach additional pages if necessary.
----------------	--

**Your privacy:**

In the course of handling your report, CTBC Holding may collect, process, and use your personal information in accordance with relevant laws and regulations. You may exercise the rights provided in the Personal Information Protection Act regarding your own information held by CTBC Holding, such as the right to inquire, review, and request duplicate copies of personal information and the right to supplement or rectify the personal information.

**Date:** \_\_\_\_\_ (dd/mm/yy)

**Informant:** \_\_\_\_\_ (sign)