

Yuanta Financial Holding Company
Guidelines for Workplace Sexual Harassment Prevention, Complaint, and
Disciplinary Treatment

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Article 1 (Purpose)

In order to provide a work and service environment free from sexual harassment and to take appropriate preventive, corrective, disciplinary and treatment measures in order to protect the rights and privacy of the parties involved, the Company has established these Guidelines in accordance with Article 13, Paragraph 1 of the *Act of Gender Equality in Employment* and the model of the *Regulations for Establishing Measures of Prevention, Correction, Complaint and Punishment of Sexual Harassment at Workplace* issued by Taiwan's Ministry of Labor.

Article 2 (Scope of Application)

These Guidelines apply to all employees (including employees, dispatched workers, technical students, and interns, hereinafter referred to as "aforementioned employees") and job seekers of the Company. Any matters not covered herein shall be handled in accordance with the relevant laws and regulations and the regulations of the Company. The Company, aforementioned employees, and job seekers shall strive to establish a work environment free from sexual harassment.

Article 3 (Sexual Harassment)

No supervisor of the Company shall do any of the following to an aforementioned employee, or between aforementioned employees any of the following shall not be done to each other, or aforementioned employees shall not do any of the following to job seekers:

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1. To create a hostile, coercive, or offensive work environment that violates or interferes with a person's dignity, freedom, or performance by sexually demanding, sexually charged, or sexually discriminatory words or conduct.
2. Supervisors make explicit or implicit sexual demands, sexually oriented or gender-discriminatory statements or actions to aforementioned employees and job seekers in exchange for the creation, continuation, modification, or distribution of labor contracts, assignments, compensation, performance appraisals, promotions, demotions, rewards, and punishments.

Specifically, the patterns of sexual harassment include the following:

1. Attitudes and behaviors that are insulting, contemptuous, or discriminatory because of gender differences.
2. Inappropriate, unpleasant, offensive language, physical, tactile, or sexual requests of a sexual nature.
3. Demanding sexual or sex-related behavior by means of threats or punishment.
4. Forced intercourse and sexual assault.
5. Displaying images and text with sexual connotations or sexual attraction.

If the perpetrator of sexual harassment is not an employee of the Company or the complainant is a dispatched worker, the Company shall still handle the case in accordance with the relevant provisions of these Guidelines and provide the victim with the protection that he/she deserves.

Article 4 (Measures for Preventing and Correction of Sexual Harassment)

The Company shall prevent the occurrence of sexual harassment in the workplace, protect employees from the threat of sexual harassment, establish a friendly working environment, and promote the concept of gender equality between supervisors and employees. If sexual harassment or suspicion occurs, prevention and correction measures shall be reviewed and improved immediately. If aforementioned employees work in a workplace that is not under the control or

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management of the employer, the employer shall identify the types of risk of sexual harassment in the workplace, provide necessary protective measures, and inform the employees thoroughly in advance.

The Company shall implement education and training on the prevention and correction of sexual harassment, reasonably plan courses related to gender equality and sexual harassment prevention and correction, and disclose relevant information publicly.

Article 5 (Sexual Harassment Complaint Channels and Promotion)

The Company has set up a designated telephone number and e-mail addresses to handle the complaints concerning sexual harassment in the workplace. The related information is openly displayed at a noticeable place in the workplace.

Telephone number for complaints: (02) 2173-6095

E-mail address for complaints: e-mail address of the head of human resources department

The Company shall make use of rallies, announcements, and other means of communication to strengthen the promotion of measures to prevent and correct sexual harassment and channels for employees to file complaints.

If the perpetrator of sexual harassment is the employer, the aforementioned employee or job seeker may file a complaint with the local competent authority in addition to the channels mentioned in Paragraph 1.

The Company shall not dismiss, transfer, or otherwise disadvantage an aforementioned employee for filing a complaint or assisting another person to file a complaint.

Article 6 (Corrective and Remedial Measures)

When the Company becomes aware of a situation of sexual assault or harassment, the Company shall take immediate and effective corrective and remedial measures, noting the following:

1. Protecting the rights and privacy of the victims.
2. Maintaining or improving the space security of the location.
3. Punishing the perpetrators.
4. Other prevention and improvement measures.

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Article 7 (Methods and Content of Sexual Harassment Complaints)

The complaint of sexual harassment shall be filed orally or in writing to the head of the human resources department or related personnel. For orally filed complaints, the personnel or unit in charge of receiving these complaints shall put them in record. After clearly announcing them to the complainant or let him/her read and ascertain the correctness of their contents, the complainant shall sign his/her name or imprint his/her seal on the record.

The written form referred to in the preceding paragraph shall be signed or sealed by the complainant and shall contain the following items:

1. Name, service unit and position title, address or residence, contact telephone number of the complainant, and the date of filing the complaint.
2. If he/she has an agent, a commission form shall be forwarded and the name, address or residence, and contact telephone number of the agent shall be listed.
3. Facts and contents of the complaint.

If the record of the complaint or statement does not comply with the provisions of the preceding paragraph and the circumstances can be corrected, the complainant shall be notified to make corrections within fourteen (14) days. If no correction is made within the time limit, the complaint will not be accepted.

Article 8 (Establishment of the Sexual Harassment Complaint Handling Committee)

The Company shall handle complaints of sexual harassment in a private manner, and it may be reported to the chief executive officer to establish a complaint handling committee to handle the complaint.

The committee in the preceding paragraph shall have three to five members. Except for the head of the human resources department as an ex officio member, the chief executive officer shall select or appoint the Company's current employees to serve as the committee members. A minimum of one-half of the committee members shall be women, and experts and scholars may be hired as committee members as needed.

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The complaint handling committee may have one of its members designated by the chief executive officer as the chairperson of the committee and as the chairperson of the meeting. If the chairperson is unable to preside over a meeting, he or she may designate another member to act as chairperson.

If a dispatched worker is sexually harassed while performing his or her duties, the Company shall accept the complaint and conduct a joint investigation with the dispatching enterprise, and notify the dispatching enterprise and the party involved of the results.

Article 9 (Protection of the Rights and Interests of the Parties Involved and Participant Confidentiality)

After the Company in receipt of a complaint, it may proceed to conduct an investigation. In the process of conducting such an investigation, the right of privacy and other legal rights concerning personality of the parties involved shall be protected and respected.

Personnel involved in handling, investigating, and resolving sexual harassment incidents shall keep the contents of the complaint confidential. In case of violation, the chairperson of the complaint handling committee shall terminate his or her participation, and the Company may, depending on the seriousness of the case, punish and pursue responsibility, and terminate his or her selection and appointment.

Article 10 (Presence of Parties Involved and Related Persons at the Complaint Handling Committee and Their Descriptions)

When the complaint handling committee is in session, it may inform the parties involved and other related persons to be present and make statements. When necessary, it may also invite other persons with related expertise and experience to provide assistance.

Article 11 (Withdrawal of Complaint)

The complaint may be withdrawn in writing by the complainant or his/her authorized agent before the sexual harassment complaint handling committee makes a decision. A complainant whose complaint has been withdrawn may not file another complaint on the same reason.

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Article 12 (Complaint Resolution Processing and Notification)

A meeting of the complaint handling committee shall be held only if half of its members are present, and a resolution shall be made only with the consent of half of the members present. If there is an equal number of “Yes” and “No,” the decision depends on the chairperson.

The complaint handling committee shall render its decision with grounded reasons. It may also offer punishment or other proposals for solving the complaint.

The decision referred to in the preceding paragraph, after approval by the chief executive officer, shall be informed in writing to the complainant, the respondent of the complaint, and the Company.

Article 13 (Time Limits for Closing Complaints and Reopening Disputes)

A complaint shall be decided in two months after it is filed. The process may be extended for one more month when it is necessary. Extensions are limited to once. Both parties must be informed regarding the extension. The complainant and the respondent of the complaint may file a written appeal within twenty (20) days from the date of resolution served on the parties if either party is not satisfied with the decision. However, if the cause of action for restitution occurs or is known later, it is counted from the time of knowledge.

Once the case aforesaid is closed, neither party may file a complaint for the same incident.

Article 14 (Disciplinary Treatment)

After a conduct of sexual harassment is investigated and proved to be taken place, the Company shall make an appropriate punishment or render other corrective measures to the respondent of the complaint in accordance with the seriousness of the incident. If criminal liability is involved, the Company shall assist the complainant in filing a complaint. If the fact of false reporting is proved, the Company shall make an appropriate punishment or render other corrective measures to the complainant.

Discipline or treatment of sexual harassment in the preceding paragraph shall adopt follow-up monitoring, evaluation, and supervision measures to ensure the effectiveness of the implementation of punishment and

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other related corrective measures, and it shall avoid the recurrence of the same incident or the occurrence of retaliatory activities.

Article 15 (Counseling or Medical Treatment)

If the Company regards that it is necessary to provide counseling or medical treatment for the parties involved, it may refer them to professional counselors or medical institutions.

Article 16 (Implementation)

These Guidelines shall be implemented after it has been approved by the chief executive officer, and the same applies when it is amended.

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