

SinoPac Financial Holdings Company Limited

Guidelines for Sexual Harassment Prevention, Complaint, and Investigations

□ Not in response to external regulations

■ Established in response to external regulations

Formulation unit: Human Resources Division

Formulated by: President

Article 1 To prevent sexual harassment and protect the rights of victims, these Guidelines for Sexual Harassment Prevention, Complaint, and Investigations (hereinafter "these Guidelines") have been formulated in line with Paragraphs 1 and 2, Article 7 of the Sexual Harassment Prevention Act and the "Guidelines for Sexual Harassment Prevention, Complaint, and Investigations" template announced by the Department of Social Welfare, Taipei City Government in addition to other relevant laws and regulations.

Article 2 The sexual assault crime referred to in these Guidelines refers to crimes specified in Article 2 of the Sexual Assault Crime Prevention Act, which is defined as a situation where a person breaks any of the following: Articles 221 to 227, 228, 229, 332 Paragraph 2 Subparagraph 2, 334 Paragraph 2 Subparagraph 2, 348 Paragraph 2 Subparagraph 1 and their special laws under the Criminal Code.

Excluding sexual assault crimes, the so-called sexual harassment in these Guidelines refers to the sexual statements or sexual behavior violating another person's wishes and also to the following situations:

1. If a person's obedience to or rejection of another's sexual advances become a condition of obtaining, losing or reducing their rights and interests in work, education, training, services, plans or activities.
2. If texts, pictures, voices, images or other objects are used to inundate or intimidate; or if languages and behaviors of discrimination, and insults or other methods are adopted. – For such reasons, the other's person's dignity of character is impaired. Or if another person feels scared, feels disliked with hostility or feels offended; or if another persons' work, education, training, services, plans, activities or other normal habits are improperly influenced.

Article 3 These Guidelines are applicable to the handling and prevention of incidents of sexual harassment among Company employees or persons receiving service from the Company; however, what is applicable to the Gender Equality in Employment Act and the Gender Equality Education Act is not applicable to the regulations of these Guidelines.

Article 4 The Company should prevent incidents of sexual harassment as well as establish a friendly workplace or operating environment and eliminate malicious factors relating to sexual statements or sexual behavior in order to protect its employees or persons receiving the Company's service from the threat of sexual harassment.

Article 5 The Company shall organize educational training about sexual harassment prevention or encourage its members to join the training, and courses related to gender equality and sexual harassment preventions shall be reasonably planned during employees' on-the-job training.

Article 6 The Company's complaint channels for sexual harassment include the following:
Dedicated hotlines: ((02)81618769 and (02)81618750
Dedicated fax: (02)81618496
Dedicated mailbox: 885.H@sinopac.com
In case changes occur to the preceding complaint channels, the Human Resources Division will be authorized to adjust and announce the channels.
When receiving a complaint against the defendant, the Company will appoint dedicated handling personnel to coordinate in its handling.

Article 7 The Company shall immediately take effective corrective measures when becoming aware of the occurrence of sexual harassment, and pay attention to the following aspects:

1. Protecting victim's rights and privacy.
2. Maintaining and improving the safety of the surrounding environment.
3. Punishments to the offenders.
4. Other prevention and improvement measures.

Article 8 The Company shall establish a Sexual Harassment Complaint Investigation Committee in charge of receiving complaints and investigations of sexual harassment incidents. The committee shall have a convener who will also preside over its meetings. In case the convener cannot act as a meeting chair for any reason, the convener may appoint another member as chair. The committee shall have three to seven members, in which the ratio of female members shall be no less than the majority of the number of all members, and experts and scholars may be appointed as members as needed.
The investigation of the committee may ask those directly involved and the interested parties arrive upon the scene to give explanation and also invite people with related knowledge and experience to assist.

Article 9 The complaint of sexual harassment incident can be applied in either a written statement or verbally. If an applicant prefers to use the verbal method, the personnel or unit receiving the complaint shall make documentation of the verbal application and read it out to the applicant or ask him or her to read it in order to confirm its accuracy. Subsequently, the documentation shall be signed or sealed by the applicant.

The complaint form or documented verbal application shall contain the following items:

1. Name, gender, date of birth, ID number or passport number of the applicant. Name of the unit and school where the applicant serves or studies and his/her title. His or her domicile or address and phone number.
2. Where the applicant has a guardian, the guardian's name, gender, date of birth, ID number or passport number, job, domicile or address and phone number.
3. Where the applicant has an attorney, the attorney's name, gender, date of birth, ID number or passport number, job, domicile or address and phone number, and power of attorney.
4. Facts and pertinent evidence of the complaint.
5. Application date.

If the complaint form or documented verbal application does not meet the requirement of the preceding paragraph, for those situations that could be remedied, the applicant shall be asked to rectify with fourteen days.

The regulations from Article 22 will apply *mutatis mutandis* to all sexual harassment complaints from a minors, and a guardian shall act as the minor's proxy.

Article 10 Under the following conditions, the complaint of sexual harassment incident shall not be accepted:

1. The applicant fails to rectify the complaint form or documented verbal application by the due date prescribed in Paragraph 3 of the preceding Article.
2. The investigation of the same case has been completed and the result has been sent to those directly involved.

When the Company does not accept a complaint of sexual harassment incident, those directly involved in the incident shall be notified via writing, and a copy shall be sent to the Department of Social Welfare in the local county/city government within twenty days of receiving the complaint.

Article 11 During the investigation, the investigators of compliant of sexual harassment incident shall recuse by himself when any one of the following conditions occur:

1. Those directly involved the incident is or once was the investigator, his/her spouse, ex-spouse, relative by blood within the fourth degree, or relative by marriage within the third degree.
2. The investigator, his/her spouse or ex-spouse is connected to the pending case at issue, as a joint creditor or a joint obligator with those directly involved the incident.
3. The investigator is or once was an agent or an assistant of those directly involved the incident.
4. The investigator is or once was a witness or expert witness of the incident.

Under either of the following circumstances, those directly involved may file recusal application against the investigators of compliant of sexual harassment incident:

1. Where such investigator has failed to withdraw of his/her own accord under any of the circumstances set forth preceding paragraph.
2. Where it is reasonable to believe that the investigator involved may become prejudiced in performing his/her functional duties.

The application mentioned in the preceding paragraph shall describe the reason and fact and be filed with the Sexual Harassment Complaint Investigation Committee and also provide appropriate explanation. Those investigators against whom the application for recusal is made may submit a written opinion. The investigators against whom the application for recusal is made shall stop investigation procedures before obtaining further approval of the Sexual Harassment Complaint Investigation Committee. In case of emergency, the investigator shall take necessary measures.

If the mediators don't follow the regulation prescribed in Paragraph 1 and those directly involved also don't file recusal application, the Sexual Harassment Complaint Investigation Committee shall order the mediators to recuse.

Article 12 The Company should start investigation within seven days of receiving the complaint or arrival of the transferred case and also complete the investigation within two months. If necessary, the length of the investigation may be extended by another one month.

Article 13 Before the Sexual Harassment Complaint Investigation Committee informs those directly involved of the investigation result, the applicant or a designated proxy may retract the complaint via writing. Once a sexual harassment incident has been mediated by the Social Welfare Department of a local county/city government and the application has been retracted, a complaint may not be filed against the same incident.

Article 14 The names and other information that may lead to the identification of those directly involved of a sexual assault incident shall be kept confidential by the personnel handling sexual harassment complaint incidents in the Company, except for the necessity of investigation or public safety concerns. The involvement of person(s) who violate the obligation of confidentiality in the preceding paragraph in the handling of the incident shall be terminated by the committee convener, and subjected to penalties including dismissal in accordance with pertinent regulations.

Article 15 A Sexual Harassment Complaint Investigation Committee meeting shall be convened with the majority of the committee members present, and a resolution may only be made with the majority of the vote from attending members. When the number of approval and veto are equal, the committee convener may make a judgment call on the matter.

Article 16 In investigating a sexual harassment incident, the Company shall adhere to the following investigation principles:

1. The investigation of the sexual harassment incident shall not be open, and shall protect the privacy and other personality of those directly involved.
2. The investigation of the sexual harassment incident shall be based on the principle of objective, justice and professional and provide those directly involved with chance to make statements and opportunity for defense.
3. If the description of the victim is clear and further inquiry is not required, the redundant inquiry shall be avoided.
4. The investigation of the sexual harassment incident may ask those directly involved and the interested parties arrive upon the scene to give explanation and also invite people with related knowledge and experience to assist.
5. If there is power imbalance between those directly involved or witness, confrontation(s) shall be avoided.
6. When necessary, written information may be produced without infringing the obligation of confidentiality, and be provided to those directly involved, or be summarized and read to those directly involved.
7. The names and other information that may lead to the identification of those directly involved of a sexual assault incident shall be kept confidential, except for the necessity of investigation or public safety concerns.
8. In its investigation of sexual assault incident, the Company shall transfer those directly involved to related institutions or provide psychological counseling and legal consultation, according to his or her physical and mental condition.

9. When proceeding with appeal, investigation or examination of sexual harassment incidents, the Company should propose lawsuit, act as witness and provide help for appeals and legal complaints and accusations and also need to have a fair mind without discrimination.

Article 17 The result of the investigation should be given to those directly involved and the municipal and county (city) competent authorities. The content of the written notice shall include the investigation results, cause, and that the deadline for appeal would be thirty days within the arrival of the result of investigation, and the appeal shall be submitted to the municipal and county (city) competent authorities where those directly involved set their domicile.

Article 18 After the sexual assault incident is established, the Company shall impose punishment to the offender according to the seriousness of the case, including admonishment, demerit, job transfer, demotion, or salary and compensation reductions and more. In order to prevent the recurrence of sexual assault incident or revenge, tracking, evaluation, and supervision are required.

Article 19 If an employee or a head of institution of the Company sexually harasses another person by taking advantages of his or her official position, according to the paragraph 2 of Article 9 of the Sexual Harassment Prevention Act, the Company should provide a proper help when a proper punishment of restoring the victim's reputation back is required.

Article 20 These Guidelines are also applicable to all sexual harassment incidents that occur between the personnel from whom the Company provides services. If the offender is not employed by the Company, the Company shall still take appropriate emergency measures and transfer the complaint form and related information to its competent authority of municipality and county (city) government within seven days.

Article 21 These Guidelines and any amendments hereto will be enacted upon approval and announcement from the President.

Approved by the President on May 21, 2008

First amendment approved by the President on June 2, 2010

Amendment approved by the President on April 2, 2013

Amended on October 24, 2014 (formulated in accordance with internal regulations and Article 3 of Announcement Rules, and amended in the 6th meeting on October 24, 2014 by the 5th Board of Directors)

Amendment approved by the President on April 27, 2018

Amendment approved by the Head of Human Resources Division on October 8, 2021