

SinoPac Financial Holdings Company Limited
Annual Report of Implementing
Intellectual Property Management Project

1. The Report of Intellectual Property Management Project

The matters related to management of intellectual property were reported to the Board of Directors' meeting on December 23, 2022.

Our company has been focusing on intellectual property protection since 2007, and has gradually applied for new trademark registrations, formulated relevant specifications, conducted our own search, application and analysis for our patent rights, and implemented intellectual property management system for these years. The status of recent years is listed below:

- (1) From 2007 to 2008, we respectively applied for trademark registrations of the main identification marks, texts and graphics of our company;
- (2) In 2016, as our company developed our major corporate internal websites, we applied for "Sino Cloud" trademarks, including the main identification marks, texts and graphics;
- (3) In 2019, according to our company's business development strategy, we applied for trademark registrations of more identification marks, texts and graphics of our company more thoroughly to expand the scope of trademark layout;
- (4) In 2020, our company produced the FinTech patent strategy report; formulated, announced and implemented intellectual property management system; implemented company-wide intellectual property training, and advanced training for the authorized personnel of patent right management and R&D personnel; and applied for Taiwan Intellectual Property Management System(TIPS) (2016 version) certification and obtained A-level certification. We are the first financial holding

- company which obtained TIPS A-level certification;
- (5) In December 2020, our company formulated, announced and implemented trademark management system;
- (6) In 2021, our company revised, announced and implemented intellectual property management system; implemented company-wide intellectual property training, and advanced training for the authorized personnel of intellectual property management and R&D personnel;
- (7) In September 2021, our company applied for Taiwan Intellectual Property Management System (TIPS) (2016 version) A-level certification and received the notice of obtaining the certification on November 15, 2021.
- (8) From April to June 2022, our Company reviewed the implementation of the intellectual property management system and corrective measures, prepare for the TIPS sampling review, and successfully pass the sampling review conducted by the Information Policy Commission on June 8.
- (9) From July to September 2022, following the recommendations of Information Policy Commission, we revised the intellectual property management system and related documents and announce their implementation; conduct Trademark Act and Patent Act amendment tracking; implement advanced training on intellectual property management for R&D personnel, and conduct self-assessment in September.
- (10) In November 2022, we convene a regular management review meeting to evaluate the applicability and effectiveness of the intellectual property management standards and to review the implementation of the same.

2. The List of Intellectual Property

The most updated lists of intellectual property obtained are as follows:

As of December 23, 2022, our company has applied for three (3) patent applications in Taiwan, two (2) of the applications has been approved, and one (1) of the applications are under review. And one (1) Hong Kong patent and one (1) U.S. patent are also under review. There are fifty-seven (57) valid trademarks in Taiwan, fifty-eight (58) valid trademarks in China, nine (9) valid trademarks in Hong Kong, nine (9) valid trademarks in England, fifteen (15) valid trademarks in Macao and seven (7) valid trademarks in Vietnam.

3. The overall benefits of the implementing the intellectual property management project are as follows:

(1) Enhance the quality of intellectual property

To enhance the quality of patent application, we conducted patent search domestically and internationally prior to filing applications. Our company completed two (2) patent search cases in 2022, discussed relevant previous cases with R&D personnel, and filed new patent applications.

(2) Reduce operating risk

By formulating the management rules and advocacy of the record platform, the company has improved the management of R&D records. In 2022, there were no reveals of confidential information from the R&D division, which effectively reduced operational risks.

(3) Enhance the quality of corporate governance

By implementing the intellectual property management system, our company standardized the operation process of intellectual property, actively enhanced employees' risk management and rights awareness of intellectual property and disclosed the status and outcome of implementing intellectual property management in time on the webpage of our company.

(4) Maintain the intellectual property rights

By establishing the intellectual property management system, our company resolved trademark infringement incidents more efficiently upon receiving reports from other divisions.

(5) Improvement of intellectual property management system



永豐金控 SinoPac Holdings

SinoPac Holdings has implemented the Taiwan Intellectual Property Management System (TIPS), established intellectual property management policies and goals, and maintenance of intellectual property rights, promoted confidential management measures for personnel, documents, equipment and the environment, provided intellectual property education and training for all employees, set up a dedicated unit to handle intellectual property consultation and dispute handling mechanisms, and held regular intellectual property management review meetings to evaluate the results of intellectual property management.

Certification Status

In September 2021, our company applied for Taiwan Intellectual Property Management System (TIPS) (2016 version) A-level certification and received the notice of obtaining the certification on November 15, 2021. The scope of the certification included patents and trademarks. The certification will be valid for two (2) years from the announcement of the result (to December 31, 2023).