

First Financial Holding Co., Ltd.

Sexual Harassment Prevention, Grievance, and Punishment Regulations

Article 1 These Regulations are established by First Financial Holding Co., Ltd. (hereinafter referred to as this “Company”) in accordance with paragraph 2 of Article 7 of the Sexual Harassment Prevention Act, paragraph 1 of Article 13 of the Act of Gender Equality in Employment, and the “Regulations for Establishing Measures of Prevention, Correction, Complaint and Punishment of Sexual Harassment at Workplace” promulgated by the Ministry of Labor to prevent and settle sexual harassment incidents, provide personnel (including employees, agency workers, apprentices, trainees, and job-seekers) with a work and/or service environment free from sexual harassment, and protect the rights and interests of victims.

These Regulations shall be disclosed to all personnel of this Company.

Article 2 With reference to the Sexual Harassment Prevention Act, sexual harassment refers to the behaviors relating to sex or gender imposed on others against their will and involving any one of the following situations, except for the crime of sexual assault.

1. If a person’s obedience to or rejection of another’s sexual advances becomes 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 person’s work, education, training, services, plans, activities or other normal habits are improperly influenced.

With reference to the Act of Gender Equality in Employment, sexual harassment referred to any one of the following situations:

1. When an employee carrying out his or her duties, anyone (including supervisors of all levels, employees, customers, and so on) 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 work performance.

2. A supervisor either expresses or implies a sexual request to the said personnel, uses verbal or physical conduct of a sexual nature or with an intent of gender discrimination as an exchange for the establishment, continuance or modification of an employment contract or as a condition to exchange his or her placement, assignment, compensation, evaluation, promotion, demotion, award and discipline.

The determination of sexual harassment shall be based on the background of the incident, work environment, relationship between the parties, the actor's testimony and conduct, and the counterpart's perception.

In general, forms of sex harassment include the following:

1. An attitude or act of humiliation, repugnance or discrimination resulting from gender difference.
2. Inappropriate, unpleasant, and/or offensive languages or physical contacts relating to sex or sexual requests.
3. Requests for sexual behaviors or sex-related behaviors through extortion or punishment.
4. Forcible sexual intercourse or sexual assault.
5. Demonstration of pictures or texts with sexual implications or sexual attempts.

After acknowledging any one of the above sexual harassment situations, this Company shall take immediate and effective corrective actions and remedies and pay attention to the following:

1. Protect the rights, interests, and privacy of the victim.
2. Maintain or improve the safety of the area of the victim.
3. Punish the inflictor.
4. Take other preventive and improvement actions.

Article 3 This Company shall prevent workplace sexual harassment, protect employees against the threats to sexual harassment, and establish a friendly work environment. In addition, this Company shall enhance the awareness of gender equality in officers and employees through the biannual education and training activities on sexual harassment prevention or by encouraging employees to participate in education and training activities on sexual harassment prevention (those approved to participate in external training activities shall be given a business leave or allowance). This Company shall also make a written prohibition on workplace sexual harassment. When a sexual harassment incident or similar incident occurs, this Company shall immediately review the incident and take corrective and preventive actions.

Where the above personnel work in environments beyond the control or

management of this Company, this Company shall identify the type(s) of sexual harassment in such work environments, provide necessary protection, and inform employees of such type(s) of sexual harassment in advance.

Article 4 For victims to file a sexual harassment grievance and to settle a sexual harassment incident more effectively and efficiently, this Company has established the following grievance channels and posted such channels in the conspicuous locations of the workplace and on the corporate website:

Grievance hotline: (02) 2348-5375

Grievance fax: (02) 2311-9691

Grievance email: 150hr@fhc.com.tw

The Administration Division shall be the responsible unit accepting and handling sexual harassment incidents of this Company.

When the perpetrator of sexual harassment is a person exercising management rights or handling the employee related affairs on behalf of the Company, in addition to the previously disclosed complaint channel, he / she may also file a complaint with the Taipei City Government.

Article 5 A complainant may file a sexual harassment incident verbally or in writing. When filing a sexual harassment incident verbally, the Administration Division shall take a statement and read it to the complainant or allow him/her to read it afterwards to confirm if there is any error.

The said statement and the complaint shall be signed by the complainant and contain the following information:

1. The name, gender, date of birth, citizen identity card number or passport number, name of the unit and employer or school, domicile or address, and contact phone number of the complainant.
2. Where the grievance is filed through a legal representative, the name, gender, date of birth, citizen identity card number or passport number, occupation, domicile or address, and contact phone number of the legal representative.
3. Where the grievance is filed through an agent, the name, gender, date of birth, citizen identity card number or passport number, occupation, domicile or address, and contact phone number of the agent, and the letter of assignment.
4. The facts and relevant evidence of the grievance.
5. The date of grievance.

Where a complaint or statement does not conform to the above requirements

and supplementations or corrections are possible, the case officer shall inform the complainant to make supplementations or corrections within fourteen days.

Where the **perpetrator of sexual harassment** is not an employee of this Company, this Company shall also take appropriate emergency actions upon receiving such grievances. This Company shall also send the complaint and relevant data to the local competent authorities where the **perpetrator** resides within seven days.

Article 6 A sexual harassment grievance will not be accepted in any one of the following situations:

1. A complainant fails to make supplementations or corrections of a complaint or a statement by the deadline specified in item 4 of the preceding article.
2. The investigation of the same grievance has been completed and the complainant has been informed of the results.

When a grievance is rejected, this Company shall inform the parties concerned in writing within twenty days after the receipt of the complaint or referral of the reasons(s) for rejection and the deadline and agency for an appeal. A copy shall also be sent to **Taipei City Government**.

Article 7 Procedures for handling a grievance or referral of sexual harassment incident:

1. After receiving a grievance or referral of a sexual harassment incident, this Company shall apply report to the chairperson within three days to appoint three or more personnel to form a “Grievance Investigation Unit” (hereinafter referred to as the “Investigation Unit”). At least half of the members of this Investigation Unit shall be female, and experts or scholars may be hired as necessary. Investigators shall recuse themselves from an investigation for any potential conflict of interest as specified in paragraph 1 of Article 15 of the Regulations of Sexual Harassment Prevention.
2. The Investigation Unit shall initiate an investigation within seven days after receiving a grievance or referral. Except for the non-acceptance clause mentioned above, the Investigation Unit shall complete the investigation within two months. An extension of one month is allowed where necessary, and the Investigation Unit shall inform the parties concerned. The complainant or the respondent disagreeing with the resolution may apply for a response in writing within twenty days after receiving the written notice. However, where the reason(s) for a response occurs or is acknowledged afterwards, the deadline of the application for response shall start from the acknowledgement of such reason(s). No party shall file a grievance after the closure of a case.
3. The Investigation Unit shall investigate a sexual harassment incident

confidentially and protect the privacy and personal legal interests of the parties concerned.

4. During an investigation, the Investigation Unit may summon the parties concerned and related parties to explain to the unit and may ask for assistance from those with relevant knowledge and experience or the police.
5. The Investigation Unit shall maintain objectivity, impartiality, and professionalism in an investigation. The parties concerned shall be given opportunities to adequately state their opinions and defend for themselves. When the statement of the victim is clear and affirmative and no further enquiries are needed, the Investigation Unit shall avoid repeated enquiries.
6. The Investigation Unit shall avoid the confrontation between the parties concerned or witnesses of a sexual harassment incident where power inequality arises. For the need of investigation, investigators may prepare a separate document for the parties concerned to read or inform them of the main contents, provided that such acts do not violate their confidentiality obligations.
7. No personnel handling a sexual harassment incident shall disclose the name of other information adequate to identify the parties concerned. Except for the need of investigation or for public safety consideration, personnel shall keep all information confidential and shall undertake relevant criminal liabilities for violating their confidentiality obligations.
8. After the end of an investigation, the Investigation Unit shall write a report to specify if the sexual harassment incident affirmative. If the incident is affirmative, the Investigation Unit shall recommend appropriate punishment or other resolutions.
9. The Investigation Unit shall inform the parties concerned and **Taipei City Government** the investigation report and the final decision and indicate the deadline and agency for an appeal.

When an agency worker files a sexual harassment grievance against an employee of this Company, this Company shall accept the grievance, initiate an investigation in collaboration with the agency, and inform the agency and parties concerned of the investigation results.

Article 8 A party concern may request an investigator to recuse himself/herself from the investigation of a sexual harassment incident for any one of the following reasons:

1. An investigator does not recuse himself/herself from an investigation for any potential conflict of interest as specified in paragraph 1 of Article 15 of the Regulations of Sexual Harassment Prevention

2. There is evidence to prove that an investigator may lack of impartiality in an investigation.

When requesting an investigator to recuse himself/herself from the investigation, a party concerned shall specify the reason(s) and fact(s) to the Investigation Unit. In response, the investigator concerned may express his/her opinions.

The investigator concerned shall be suspended before the Investigation Unit makes the final decision. Where there is an emergency, the Investigation Unit take actions necessary to resolve the situation.

Article 9 The complainant or his/her agent may withdraw a grievance in writing before the Investigation Unit makes a decision on a sexual harassment incident. After withdrawing the grievance, the complainant or his/her agent shall not file another grievance for the same incident.

Article 10 (Deleted.)

Article 11 Where the Investigation Unit fails to complete the investigation by the deadline or the parties concerned disagree with the investigation results, the parties concerned may appeal to the **Taipei City Government** within thirty days from the next day of the deadline for investigation or delivery of the investigation results.

Article 12 Where a sexual harassment incident is confirmed, this Company shall punish the inflictor(s) in accordance with the “Work Rules”, “Personnel Management Rules” and other applicable regulations of this Company with regard to the severity of offence. This Company shall also follow up, evaluate and supervise the **perpetrator(s)** to prevent the recurrence of sexual harassment or the retaliation of the **perpetrator(s)**. Where a false accusation is confirmed, this Company shall punish the complainant(s) appropriately in accordance with the “Work Rules”, “Personnel Management Rules” and other applicable regulations of this Company.

Article 13 With reference to the mental and physical condition of the parties concerned, this Company shall voluntarily refer the parties concerned to or provide them with counseling and legal aid during the investigation.

Article 14 During the grievance, investigation or handling of a sexual harassment incident, this Company shall not unfairly treat the complainant(s), informer(s),

litigant(s), witness(es), other participant(s), and people offering assistance.

Article 15 These Regulations and their amendments shall be implemented after obtaining the chairperson's approval.

Article 16 These Regulations were established on 2 June 2006.
The first amendment was made on 2 July 2007.
The second amendment was made on 18 November 2009.
The third amendment was made on 20 August 2012.
The fourth amendment was made on 10 September 2016.
The fifth amendment was made on 29 October 2020.