

First Financial Holding Co., Ltd.

Management Guidelines for Trade Secrets and Intellectual Property

Chapter I General Provisions

Article 1 Purpose and basis of establishment

To effectively manage the Company's trade secrets and intellectual property (hereinafter referred to as "intellectual property"), the Guidelines were established based on Article 10 of the Company's Code of Conduct for Ethical Management and other relevant regulations including the Trade Secrets Act, Patent Act, Trademark Act, Copyright Act, etc.

Article 2 Definitions

- I. Intellectual Property: Patents, trademarks, copyrights, computer software, trade secrets, and other intangible intellectual property produced or obtained by the Company's employees and the external institutions or workers contracted by the Company.
- II. Employees: Persons who are officially appointed or employed by the Company (including temporary employees).

Article 3 The development and maintenance of intellectual property

The intellectual property developed, designed or created by the Company's employees or the external institutions and workers contracted by the Company may not infringe on a third party's trade secrets or intellectual property rights.

All units should properly take care of the Company's intellectual property. If a third party is suspected to have infringed the Company's intellectual property rights, the management units concerned should take action to prevent damage from occurring or extending, and should involve the compliance department when necessary.

Article 4 The ownership of intellectual property rights

- I. The intellectual property of the inventions, creations, or publications completed by the Company's employees during the performance of their duties shall be owned by the Company.
- II. The Company may implement or use the inventions, creations, or publications completed by the Company's employees with the Company's resources or experiences.
- III. The ownership of the intellectual property rights of the inventions, creations, or publications completed because of the Company's contract or collaboration relationships with others are subject to the contract terms. When co-ownership is necessary, the related rights and obligations should be established in detail.

Chapter II Patent and copyright

Article 5 The management of patent/copyright cases

Each unit of the Company should report its patent/copyright cases to the compliance department for management coordination.

Each unit of the Company with patent application cases should submit the application forms and supporting documents as soon as possible to the compliance department, which will be responsible for the compilation and will send the documents to an external institution that assists with the preparation and submission of applications.

An inventor or creator shall undertake the following obligations regarding his/her inventions, creations, or publications:

- I. Have the responsibility to cooperate in pleas regarding legal procedures for the patent, such as application, review, objection, appeal, administration, or litigation.
- II. Assist in promoting the application of his/her inventions, creations, or publications.

An inventor or creator that has obtained related rights by illegal measures such as plagiarism shall be fully responsible for his/her infringement of other people's rights.

Article 6 Achievement presentation procedures

The public disclosure of creative achievements should be approved by the responsible management beforehand, and if it is an invention or creation that qualifies for patent eligibility, patent application procedures should be completed first.

Article 7 Items that require employee cooperation

Employees that engage in intellectual property development, creation, or publication should carefully preserve the report or record of the development or creation processes in paper documents or digital records as evidence for intellectual property right litigation.

Chapter III Trademark rights

Article 8 Trademark application and extension

When the trademark planned and designed by the Company or the third party contracted by the Company is finalized, an application to the competent authorities for registration should be made, and a request for extension of time should be made within 6 months before the trademark expires.

Article 9 Trademark usage

Each user's unit of trademarks should use the Company's trademark on the product/service types listed on the Trademark Registration Certificate and in Company operations to maintain the Company's exclusive right to the use the trademark.

The registered trademarks should be used according to the patterns listed in the Company's Corporate Identity Manual; the trademark patterns, the aspect ratios of words, and the relative positions of other parts may not be altered arbitrarily, and

nor may words or graphs be added to the trademark patterns, either.

The competent authority of the Company's Corporate Identity Manual should regularly review and edit the manual in compliance with the trademark regulations for all trademark users to follow.

Article 10 The trademark management unit and its responsibilities

The management of the Company's trademark planning, design, trademark right applications, maintenance, and the Corporate Identity Manual is coordinated by the administrative management department.

When any unit of the Company finds out that a third party is using a trademark the same as or similar to the Company's trademark and the usage is also on the same or similar product or service type, the unit should report the situation to the administrative management department immediately. The administrative management department should also check in the Trademark Official Gazette issued by the competent authorities to see whether there are trademarks recently applied for registration that are the same as or similar to the Company's trademarks, and an objection should be made to the competent authorities if an infringement on the Company's trademark rights exists.

Chapter IV Trade secrets and confidentiality obligation

Article 11 Trade secret protection measures

If the confidential business information at each unit has economic value to the Company's operation or business, each related unit should take proper secret protection measures based on the characteristics of the information.

Article 12 Confidentiality and disclosure obligations

The Company's employees should comply with confidentiality obligation and not leak the following information:

- I. Information regarding the invention, utility model, or **design patents** that will possibly be obtained before the patent application is approved.

- II. Related design documents or information before the official presentation of the Company's new trademarks that are being planned or designed.
- III. Paper documents such as plans, documents and charts, or digital records classified as confidential by the Company.

If a leak of a secret occurs in the Company, other than immediately preserving the relevant evidence to facilitate the investigation into the cause, the related units should also report the incident to the compliance department to facilitate the adoption of security measures such as provisional attachments that prevent the damage from occurring or extending.

If any of the Company's employees accidentally leak a secret that they are personally accountable for or find out that other people have leaked a secret, then the employee should tell the Company's competent authorities and the compliance department immediately.

The confidentiality and disclosure obligations shall remain in effect even after the termination of employment or contract.

The Company should promote confidentiality to all employees to increase their confidentiality awareness and prevent trade secret leaks.

Article 13 The signing and confidentiality obligation of outsourced contracts

When the Company outsources intellectual property related work to external professional institutions or workers, the competent authorities should specify in the contract that the outsourcee may not develop intellectual property that infringes on other people's rights; if there is any violation that causes harm to the Company, the outsourcee should be liable for compensation.

When the Company outsources patent application or trademark design cases, the outsourcing contract should specify the confidentiality provisions and the outsourcee's liability for compensation when a breach of contract occurs and secrets are leaked.

When each unit has to commit external workers to participate in, provide opinions for, or review a confidential case, the unit should first ask them to sign non-disclosure agreements.

Chapter V Other regulations

Article 14 Obligation to solve disputes

When a third party makes an objection or initiates litigation regarding intellectual property owned by the Company, related persons, including those that have developed, designed, created, published and managed the intellectual property, should assist the Company in legal defense; in the cases where the Company's intellectual property is infringed upon by others, the previously mentioned persons should assist the Company in the legal procedures, including negotiation, assessment, litigation, and compensation requests, to protect the legal rights of the Company and its stakeholders.

Article 15 Obligation to return that arises from resignation

The Company's employees should return the confidential documents they hold before resigning.

Article 16 Punishment for violation

Any member of the Company that violates the Guidelines will be punished according to the Company's human resource management regulations.

Article 17 Approval level

The implementation and revision of the Guidelines were approved by the president.

Article 18 Dates of establishment and revision

The Guidelines were established on March 18, 2016.

The first revision of the Guidelines took place on October 4, 2016.