

**Taiwan Cooperative Financial Holding Co., Ltd.**  
**Regulations for Prevention, Correction, Complaint, Investigation and  
Handling, and Punishment of Sexual Harassment at Workplace**

Approved by the President for implementation on November 11, 2011

Amended and approved by the President for implementation on April 20, 2017

Amended and approved by the President for implementation on August 17, 2017

Amended and approved by the President for implementation on March 5, 2018

Amended and approved by the President for implementation on November 5, 2020

Amended and approved by the President for implementation on April 22, 2022

- I The Company adopts the Regulations for Prevention, Correction, Complaint, Investigation and Handling, and Punishment of Sexual Harassment at Workplace (the Regulations) in accordance with Paragraph 1, 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 provide the personnel (including employees, temporary workers, apprentices, and interns) with a work environment free of sexual harassment and to prevent, correct, punish, and handle this conduct with appropriate measures so as to protect the rights and privacy of the parties involved.
- II As defined in Article 12 of the Act of Gender Equality in Employment, sexual harassment means that in the course of the aforesaid personnel executing their duties, any one (including supervisor at each level, employee, customer, etc.) makes a sexual request, uses verbal or physical conduct of a sexual nature or with an intent of gender discrimination, causes them a hostile, intimidating and offensive working environment leading to infringe on or interfere with their personal dignity, physical liberty or affects their job performance; or a supervisor explicitly or implicitly makes a sexual request toward the aforesaid personnel, uses verbal or physical

conduct of a sexual nature or with an intent of gender discrimination as an exchange for the establishment, continuance, modification of a labor contract or as a condition to their placement, assignment, compensation, evaluation, promotion, demotion, award and discipline.

The Company shall identify the risks of sexual harassment of the work environment and provide necessary prevention measures for the aforesaid personnel at workplaces that could not be directed and managed by the Company. The Company shall thoroughly inform the aforesaid personnel of such information beforehand.

Specifically, the forms of sexual harassment include the following:

- (I) Attitudes and behaviors that are insulting, contemptuous, or discriminatory due to gender differences.
- (II) Inappropriate, unpleasant, offensive languages, body gestures, or touches of sexual nature or sexual requests.
- (III) Demand for sex or sexual activity by means of threat or punishment.
- (IV) Forced intercourse and sexual assault.
- (V) Display of images, texts, or objects that are sexually connotative or sexually attractive.

If the perpetrator of sexual harassment is not an employee of the Company or the victim is a temporary worker, the Company shall still handle the case in accordance with the Regulations and provide the victim with due protection.

III (Deleted)

IV The Company encourages its personnel to participate in training on sexual harassment prevention and properly incorporates courses on gender equality and sexual harassment prevention into on-the-job

training. The personnel attending the courses will be marked as on business trips and given training subsidies.

Each department shall publicly announce sexual harassment prevention measures and grievance channels to employees using various means such as assemblies and printed materials.

V The Company accepts sexual harassment complaints through the following channels:

(I) Hotline: 02-21738888 ext. 3011

(II) Fax: 02-27715796

(III) E-mail: TCFHC Employee suggestion box

After the Company accepts sexual harassment complaints, it will appoint a dedicated person to coordinate and handle the complaints.

When the Company is the harasser, the victim may also file a complaint with the local competent authority in addition to filing a complaint through the Company's internal channels.

The Company strives to provide a work environment free of discrimination, sexual harassment, and gender harassment for all employees and job seekers and takes a zero-tolerance attitude towards the aforesaid behaviors.

VI The Company shall create a friendly work environment to prevent the occurrence of sexual harassment. When knowing of the occurrence of sexual harassment, the Company shall implement immediate and effective correctional and remedial measures and take heed of the following:

(I) Protect the rights and privacy of victims.

(II) Maintain or improve the safety of the sites.

- (III) Take disciplinary actions against perpetrators.
- (IV) Take other correctional and remedial measures.

VII The Company has established a Sexual Harassment Complaint Review Committee (the Committee) to accept sexual harassment complaints and investigate cases.

- (I) The Review Committee has five members, one of whom is the chairperson, who is concurrently held by the Vice President appointed by the President and presides at the meeting. If the chairperson is unable to preside at the meeting for some reason, he/she may designate a member to act as his/her proxy. For the remaining members, the President shall engage (assign) the Company's deputy supervisors and above, as well as experts and scholars, to concurrently serve as the members; among them, no less than one-half of the members shall be female and no less than one-third of the members shall be male and experts and scholars each.
- (II) The term of office is two years. Members may be reappointed (reassigned) when the term expires. If there is a vacancy during the term of office, the term of the successor committee members will expire on the date of the original term of office.
- (III) The Review Committee shall convene only after more than half of all members attend, and a resolution can be made only when more than half of the members present give consent. It is within the chairperson's discretion to decide whether the same number can be counted.
- (IV) The members of the Review Committee shall be

concurrently held by the employees of the Company and shall rotate on a monthly basis.

- (V) The members of the Review Committee are unpaid, but they will be paid for writing the investigation report. Part-time members who are not the employees of the Company are also entitled to the attendance fees when they attend the meetings.
- (VI) The funds required to operate the Review Committee shall be covered by the budget of the Company.

VIII The procedures for lodging sexual harassment complaints are as follows:

- (I) The victim or his/her proxy shall lodge sexual harassment complaints with the Review Committee of the Company.
- (II) The sexual harassment complaints may be filed orally (including verbally and by phone, fax, and e-mail) or in writing. For orally filed complaints, the personnel in charge of receiving these complaints shall put them in record within five days. 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.
- (III) The complaints or the written form of orally filed complaints shall contain the following items:
  1. The name, gender, date of birth, national ID number or passport number, service unit and position title, address or residence, and contact telephone number of the victim.
  2. If the victim has a guardian, the name, gender, date of birth, national ID number or passport number, occupation,

address or residence, and contact telephone number of the guardian.

3. If the victim has an attorney, the name, gender, date of birth, national ID number or passport number, occupation, address or residence, and contact telephone number of the attorney, as well as the letter of authority.
4. The date and contents of the complaint, as well as evidence or witness concerned.
5. Date of filing the complaint.

(IV) If the complaint or documented verbal application doesn't meet the requirement of the preceding paragraph, for those situations that could be remedied, the competent authority shall ask the applicant to amend within fourteen days.

(V) Before the Review Committee makes a decision, the complainant or his/her proxy may withdraw his or her appeal in writing, and the case will be closed after the delivery of withdrawal to the Company. Once the appeal has been withdrawn, no further appeal may be filed on the same grounds.

IX The procedures for handling appeals by the Review Committee are as follows:

- (I) After the Review Committee accepts the case of an appeal, the chairperson shall assign three committee members as an investigation team to proceed with an investigation.
- (II) During the investigation, the investigation team may interview both parties, collect evidence, and visit both parties, and shall protect the privacy of the parties. The results of the investigation shall be made into a written

report and submitted to the Review Committee for review.

- (III) For the review of an appeal, the parties shall be given notice in advance to explain at the scene; if necessary, the personnel or experts and scholars in relation to the case may be invited to attend and give explanations.
- (IV) The Review Committee shall decide whether the case is established or not. If the case is established, a proposal for punishment shall be made and submitted to the Company's Selection and Appraisal Committee for consideration, to oblige the respondent to apologize or to guarantee, verbally and in writing, that similar acts will not occur again, or other resolutions. If the case is not established and the false accusation is verified, a proposal for punishment against the complainant shall be made and submitted to the Company's Selection and Appraisal Committee for consideration or necessary handling.
- (V) A complaint shall be decided with grounded reasons in two months after it is filed. The process may be extended for one more month when it is necessary. Both parties must be informed regarding the extension.
- (VI) If temporary workers are sexually harassed by the employees of the Company, the Company will accept the complaints and conduct an investigation with the temporary agency and notify the temporary agency and parties concerned of the investigation results.

X The complaints shall not be accepted if they fall under any of the following circumstances:

- (I) The complaints or the written form of orally filed complaints

are not corrected within the time limit specified in Subparagraph 4, Article 8.

- (II) The investigation of the same incident has been completed, and the investigation results have been sent to the parties concerned through correspondence.
- (III) The complainant is brought up again after the same incident has been withdrawn.
- (IV) No specific facts or real name, service unit, and residence are provided.

When the Company does not accept sexual harassment complaints, it shall notify the parties concerned in writing within twenty days of the arrival of the complaint or transfer and also make it known to the competent authority.

XI In any of the following circumstances, an investigator shall recuse himself/herself from the investigation of sexual harassment complaints:

- (I) When the person or his/her spouse, ex-spouse, or blood relative within the fourth degree of kinship or in-law within the third degree of kinship, or a person who has had such a relationship is the party to the incident.
- (II) The person or his or her spouse or ex-spouse has a relationship with the party concerned as a joint obligee or joint obligor.
- (III) A person who is or has been the agent or assistant of the party involved in the incident.
- (IV) He/She was a witness or an expert in the incident.

If an investigator of a sexual harassment complaint falls under any of the following circumstances, the party concerned may apply for



his/her recusal:

- (I) The investigator does not voluntarily recuse himself/herself from any of the circumstances specified in the preceding paragraph.
- (II) There are specific facts that are sufficient to recognize that the investigation is likely to be biased.

The reasons and facts for the application in the preceding paragraph shall be presented to the Review Committee, with an appropriate explanation provided; the investigator who is required to recuse himself/herself in the application may submit a written opinion on the application.

The investigators who is required to recuse himself/herself in the application shall stop the investigation before the Review Committee makes a decision to approve or reject the application. In case of an emergency, however, necessary measures shall be taken.

If an investigator does not voluntarily recuse himself/herself from any of the circumstances specified in Paragraph 1 and the party concerned does not apply for his/her recusal either, the Review Committee shall order the investigator to recuse himself/herself.

- XII The personnel of the Company handling sexual harassment complaints shall keep the names of the parties or other identifiable data confidential unless they are necessary for the investigation or for the purpose of public safety. For those who violate the regulations, the chairperson shall immediately terminate their participation. The Company may, depending on the circumstances, take disciplinary actions against them and hold them accountable according to the regulations and revoke their election and appointment.

XIII (Deleted)

XIV The Company shall abide by the following principles when investigating sexual harassment incidents:

- (I) A sexual harassment complaint shall be investigated within seven days from receipt of the complaint or transferred case.
- (II) The investigation of sexual harassment complaints shall be conducted in secret. In the process of the investigation, the right of privacy and other legal rights concerning personality of the parties involved shall be protected.
- (III) The investigation of the sexual harassment incident shall be based on the principle of objective, justice, and professional and provide those directly involved with a chance to make statements and an opportunity for defense.
- (IV) If the description of the victim is clear and further inquiry is not required, the redundant inquiry shall be avoided.
- (V) When sexual harassment complaints are under investigation, the Company may inform the parties involved and other related persons to be present and make statements. It may also invite other persons with related expertise and experience to provide assistance.
- (VI) If there is power imbalance between those directly involved or witness, confrontation(s) shall be avoided.
- (VII) 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.
- (VIII) When proceeding with appeal, investigation or examination of sexual harassment incidents, the Company shall 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.

- XIV-I After the decision is made by the Review Committee, the party concerned may apply for an appeal to the Review Committee if one of the following circumstances takes place:
- (I) The decision and the stated reasons are obviously contradictory.
  - (II) The Review Committee is illegally organized.
  - (III) The decision is made by the members who should recuse themselves in accordance with the Regulations.
  - (IV) The members who participate in the decision-making process violate their duties with respect to the appeal or commit crimes and are convicted accordingly.
  - (V) Witnesses and expert witnesses provide false statements regarding the testimonials or appraisals on which the decision is based.
  - (VI) The evidence on which the decision is based is forged or altered.
  - (VII) The judgment or administrative sanction in civil, criminal, or administrative litigation that is the basis for the decision has been changed according to the subsequent judgment or administrative sanction.
  - (VIII) The unconsidered evidence is identified or may be used.
  - (IX) Important evidence that is sufficient to influence the original decision has not been considered.

A written appeal shall be filed within twenty days from the date of receiving the decision. However, if the reason for filing an appeal

occurs later or becomes known later, it shall be counted from the date of knowledge.

The appeal shall be made in writing stating the reason, together with a photocopy of the original decision, to the Review Committee that originally made the decision.

If the Review Committee considers the appeal to be unreasonable, the original decision shall be maintained; if the appeal justifies, the Review Committee shall change the original decision and notify the parties and departments concerned. Once the case is closed, neither party may file a complaint for the same incident.

XV The Company shall notify the parties concerned and the Taipei City Sexual Harassment Prevention Committee in writing of the investigation and handling results of sexual harassment incidents.

The written notice shall include the reason of the decision, the due date for appeal (i.e., within thirty days from the day following the arrival of the investigation notice), and the appropriate authority (i.e., Taipei City Sexual Harassment Prevention Committee).

XVI 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 such as admonishment, demerit, transfer, demotion, and salary reduction to the respondent of the complaint depending on the seriousness of the incident. The Company shall adopt follow-up monitoring, evaluation, and supervision measures to avoid the recurrence of the same incident or the occurrence of retaliatory activities.

XVII If the Company regards that it is necessary to provide counseling,

medical treatment, or legal aid for the parties involved, it may refer them to professional counselors, medical institutions, or legal aid service.

- XVIII If an employee of the Company or a head of institution sexually harass another person by taking advantages of his or her official position, according to Paragraph 2, Article 9 of the Sexual Harassment Prevention Act, the Company shall provide a proper help when a proper punishment of restoring the victim's reputation back is required.
- XIX The Regulations shall also apply to sexual harassment incidents among third parties receiving services within the Company. If the Company receiving a sexual harassment complaint is not the offender's organization, the Company shall take appropriate emergency measures and transfer the complaint and related information to the Taipei City Sexual Harassment Prevention Committee within seven days.
- XX Matters not covered in the Regulations shall be handled in accordance with other laws and regulations and the Company's rules.
- XXI The Regulations, and any amendments hereto, shall be implemented after the President grants its approval.