

host

Question

Report and Complaint Implementation Measures

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1 Purpose

In order to maintain the company's reputation, protect property safety, prevent corruption, theft, embezzlement or other illegal and disorderly behavior that damages the rights and interests of the company, employees and partners, and provide the company's employees and partners with a formal channel to report illegal activities, in order to effectively handle letters of complaint, deter illegal and disorderly behavior from occurring, and avoid unfounded black mail damage and harassment of innocent people, in order to maintain the reputation and rights and interests of the company and law-abiding people, this regulation is formulated.

2 Range

2.1 This Regulation encourages reporting of illegal and dereliction of duty cases, the scope of which is as follows:

2.1.1 Misappropriation or embezzlement of public funds.

2.1.2 Illegal possession and unauthorized disposal of company property.

2.1.3 Forging documents, deceiving or misleading decision-making, causing damage to the company or colleagues.

2.1.4 Accepting bribes, entertaining others, engaging in illicit activities, or colluding to commit fraud in connection with matters under one's supervision or management, directly or indirectly benefiting oneself or others.

3 Definition:

3.1 Cash is not allowed. Securities and gifts with a value greater than NT\$3000 Those above Yuan (inclusive) belong to this category.

4

Responsibilities

4.1 The Administrative Management Office is the reporting and complaint management unit.

5. Assignment Content

5.1 Operation flow chart, as shown in Appendix 1.

5.2 The reporter should fill in the "Report Complaint Form", provide basic personal information and a written explanation of the illegal or dereliction of duty case, and sign the form to show responsibility.

5.2.1 If the whistleblower is a company employee, please fill in the department, name, employee number, contact number, and email address (or correspondence address); if the whistleblower is an external person, please write the name of the company he/she works for, department, name, ID number, contact number, and email address (or correspondence address).

5.2.2 Specific facts and evidence available for investigation.

5.2.3 The name, ID number, contact number, mailing address (or email address), service unit, and evidence provided by the whistleblower must be kept strictly confidential.

5.3 Providing evidence for the report: The evidence provided by the reporter should include the following items as much as possible:

5.3.1 Person: The department name and full name of the person reported for illegal or dereliction of duty and other persons involved in the case.

5.3.2 Event: The circumstances under which the illegal or dereliction of duty event occurred.

- 5.3.3 Time: The time when the illegal or dereliction of duty incident occurred.
- 5.3.4 Place: The place where the illegal or dereliction of duty occurred.
- 5.3.5 Physical evidence: Evidence that can be used to prove the illegal or negligent facts, such as receipts, certificates, reports, contracts, letters, recordings, photos and other supporting materials.

5.4 Set up a complaint mailbox and submit complaint materials: In order to effectively handle complaint cases, the following complaint mailbox has been set up for submitting complaint materials. The administrative management department will be responsible for opening and processing the complaint materials submitted to the complaint mailbox to ensure the confidentiality of the whistleblower's information.

5.4.1 P.O. Box: 20F, No. 69, Section 2, Guangfu Road, Sanchong District, New Taipei City 241

5.4.2 E-mail: Hotline@chiconypower.com

5.5 Reports that will not be accepted: Reports that fall under any of the following circumstances will not be accepted.

- 5.5.1 Those who make reports anonymously or without using their real names and do not provide the reporter's contact phone number, email address or mailing address.
- 5.5.2 The reported matter is not within the scope of the reported cases listed in Article 2.
- 5.5.3 The report does not provide specific facts or evidence that can prove illegal or dereliction of duty, or is found to be inconsistent with the facts after verification, or is purely fictitious.
- 5.5.4 The same fact is under investigation or being investigated by other agencies, or has been reported by others. However, this does not apply if the latter report can provide important evidence that is more conducive to the investigation.
- 5.5.5 The same fact has been decided not to be accepted, or the case has been closed after investigation. However, this does not apply if the reporter can provide specific new evidence to prove that the case needs to be re-investigated.

5.6 Investigation and handling of reported cases: After a reported case is accepted, a special case team shall be set up to conduct an investigation. The special case team shall include the head of the administrative management department, the head of the audit office and the heads of the departments related to the case. If the investigation finds any violation of laws or company regulations, the case shall be reported to the competent authority for investigation or handled in accordance with the company regulations. The company supervisor shall be notified according to the level of the person involved or the amount of loss involved, as shown in the table below. The supervisor shall be notified of the level of the person involved and the amount of loss involved, whichever is higher. If it is found that there is no concrete evidence, the case shall be closed and filed for investigation, and the reporter shall be notified.

Level of people involved	Notification Supervisor	Amount involved (NTD)	Notification Supervisor
Director (inclusive) and below	BU Manager/Function Manager	Within 300,000	BU Manager/Function Manager
Manager	General Manager	300,000 (inclusive) ~ 3 million	General Manager
Department level (inclusive) and above	Chairman	3 million (inclusive) and above	Chairman

5.7 Written documents of the acceptance of reports, the investigation process, and the results of the investigation shall be kept for five years. Such records may be kept electronically. If a lawsuit related to the contents of the report occurs before the expiration of the retention period, the relevant data shall continue to be kept until the end of the lawsuit.

5.8 Safety of Whistleblowers: The safety of whistleblowers shall be protected. Any threats, intimidation or other illegal acts against whistleblowers shall be reported to the competent authorities for handling in accordance with the law.

5.9 Obligations of the Whistleblower: If a whistleblower knowingly makes a false report or provides false evidence,

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If the allegations are proven to be true, the person will be fired and will never be employed again. If the person is found to be criminally responsible, he or she will be held accountable.

- 5.10 Rewards for Reporting: If the reported case is found to be true after investigation, or involves criminal matters and is confirmed by the judicial authorities, the Administrative Management Office shall report to the superior to consider the contribution to corporate governance and the economic benefits generated, and give rewards to the reporter. For the reward standards, please refer to the "Employee Reward and Punishment Management Measures".
- 5.11 For matters not covered by these rules, please refer to the company's "Integrity Management Operation Procedures and Behavior Guidelines".
- 5.12 Implementation and Revision: This regulation shall be implemented upon approval by the competent authority, and the same shall apply to any revision.

6 Related documents:

- 6.11 Employee Rewards and Punishment Management Regulations (P00-04)
- 6.12 Integrity Management Operating Procedures and Behavior Guidelines

7 Using forms

- 7.1 Report Complaint Form (A60-01-01)

(Appendix 1) Operation Flowchart

