

SinoPac Financial Holdings Company Ltd.
Employee Work Regulations

Financial practitioners should not only possess financial professionalism but also abide by various financial laws and regulations and ethical norms. In response to changes in the financial environment and to maintain workplace discipline and ensure operational safety, SinoPac Holdings has established these regulations for its employees.

1. Employees shall strictly follow the relevant laws and regulations, and if employees are involved in any criminal misconduct, they will be reported to the judicial system. If employees are found with immoral or unethical conduct, they will be dealt with in accordance with regulations of SinoPac Holdings on reward and punishment.
2. Employees shall keep client information, trade secrets, and business opportunities confidential and shall not leak or disclose such information. Upon termination of employment, documents, files, reports, or storage devices containing non-public information of SinoPac Holdings shall be retained in the Company.
3. Unless otherwise specified, employees are not allowed to keep passbooks, seals, withdrawal slips, financial cards, commodity application forms, current passbooks, and valuable securities on behalf of clients, nor are employees allowed to withdraw cash, transfer funds, or apply for investment commodities or funds on behalf of clients.
4. Employees shall not engage in financial loans or provide accounts to clients or other employees for personal transactions; nor shall they engage in short-term trading of private stocks, derivatives, or other improper activities during work hours.
5. Employees shall not deliver or receive client transaction certificates or statements at private addresses or by private telephone or email.
6. Employees shall not produce or issue any certification documents to customers under the name of SinoPac Holdings without authorization, nor shall they advertise promotional messages in a physical or online form, nor shall they recommend or sell products that have not been approved for sale by the competent authorities.
7. Employees shall not encourage or induce clients to invest in financial management through loans, and employees shall not act as guarantors for the debts of others without reasonable cause.
8. Employees' relationships with each other and with clients and vendors shall not affect their official duties or the overall interests of SinoPac Holdings; nor shall they use their positions to benefit themselves or any related parties.
9. Employees shall make proper use of company resources and control costs and expenses under official considerations.
10. Employees shall take care to maintain proper etiquette when receiving clients; in the event of any customer complaint, employees should handle the matter properly and report to their direct supervisor immediately.

If an employee finds any instance of the above-mentioned suspected illegal or improper behaviors of other employees, they shall report to their direct supervisor or a supervisor one level higher (forwarded to the Human Resources Supervisor) in order to jointly maintain the safety of workplace operations. Each supervisor or the Human Resources Supervisor shall keep the reported behaviors of employees confidential.