

Fubon Financial Holding Co., Ltd. and Subsidiaries Anti-Discrimination and Anti-Harassment Statement

1. Purpose

The Fubon Financial Holding Co., Ltd. and Subsidiaries Anti-Discrimination and Anti-Harassment Statement (the “Statement”) articulates the commitment of Fubon Financial Holding Co., Ltd. (the “Company”) and the subsidiaries listed on its business license (the “subsidiaries”) to provide a work and service environment free of harassment (including sexual and non-sexual harassment) and adopt appropriate preventive, corrective, and disciplinary measures to protect the rights and privacy of all employees. The statement has referred to provisions in the “Act of Gender Equality in Employment,” the “Sexual Harassment Prevention Act,” the “Regulations for Establishing Measures of Prevention, Correction, Complaint and Punishment of Sexual Harassment at Workplace,” and the “Stalking and Harassment Prevention Act,” and shall be complied with.

2. Applicable Scope

The Statement applies to the Company and subsidiaries.

3. Groups Protected

The Statement covers any act of harassment that occurs among a company’s employees or between an employee and a temporary worker, job applicant, intern and other non-company personnel.

4. Zero Tolerance for Discrimination

The Company and its subsidiaries prohibit discriminatory behavior in the workplace, whether based on race, skin color, nationality, gender, sexual orientation, age, marital status, political affiliation, or religious beliefs (or any other personal characteristic unrelated to job performance). Such behavior includes but is not limited to verbal discrimination or using any characteristic listed above as a standard for hiring, evaluating, or promoting employees.

5. Prohibiting Harassment

The Company and its subsidiaries are committed to providing a workplace environment free of harassment and have zero-tolerance policies toward any form of harassment, including but not limited to the following types of behavior:

A. Sexual Harassment

The term “sexual harassment” as used in the Statement, in addition to sexual offenses, refers to any unwelcome behavior related to sex or gender toward another person that satisfies any of the following situations described in Article 12 of the Act of Gender Equality in Employment and Article 2 of the Sexual Harassment Prevention Act:

(1) An individual (including managers at all levels, employees, and customers) requests sexual favors, makes verbal or physical sexual advances, or sexually discriminates against an employee carrying out his or her duties, creating a hostile, intimidating or offensive work environment and violating or infringing upon the person’s dignity and freedom or interfering with the person’s work performance.

(2) A supervisor explicitly or implicitly requests sexual favors, makes verbal or physical sexual advances, or sexually discriminates against an employee or job applicant in a way that implies an exchange for the establishment, continuation, or revision of an employment contract or as a condition for the person’s placement, assignment, compensation, evaluation, promotion, demotion, or reward or discipline.

(3) The person’s submission to or rejection of such conduct is used as a basis for that person obtaining or losing their work, education, training, services, plans or activity rights and interests or having such rights curtailed.

(4) The display or transmission of words, pictures, sounds, images, or other objects or discriminatory language or insults, or other conduct that impugns the dignity of others; creates an environment that a person finds offensive or causes the person to feel fear or hostility; or improperly influences the person’s work, education, training, services, plans, activities or other normal aspects of life

B. Non-Sexual Harassment

The term “non-sexual harassment” as used in the Statement refers to eight types of behavior described in the “Stalking and Harassment Prevention Act.”

- (1) Surveillance: Monitoring, observing, tracking or knowing the location of specific people
- (2) Following closely: Shadowing, keeping watch, tailing or using another similar method to get close to a specific person’s residence, school, or place of work, or places the person goes to frequently
- (3) Discriminatory and derogatory behavior: Conduct toward a specific person that includes warnings, threats, mockery, or insults, or discriminatory, hateful, or disparaging remarks or actions
- (4) Communication harassment: Harassment of a specific person through phone calls, faxes, electronic communications, the internet, or other methods
- (5) Inappropriate pursuit: Asking a specific person for a date or to stay in touch, or other forms of pursuit
- (6) Sending of items: Sending to, leaving for, displaying for or transmitting to a specific person words, pictures, sounds, images or other unwelcome items
- (7) Damaging a person’s reputation: Telling a specific person about or presenting information or objects to that person that are harmful to the person’s reputation
- (8) Abuse of personal information: Abusing a person’s personal information or purchasing goods or services in their name without their consent

6. Reporting Incidents

The Company shall adopt appropriate measures to prevent harassment. If harassment or a suspected case of harassment has occurred, the situation should be examined and remedial measures taken. Channels have been set up for people to file harassment complaints by phone, fax, or email.

The department handling the cases is the Human Resources Division.

Complaints can be made by:

Calling 02-6602-7597;

Sending a fax to 02-6600-3808; or

Sending an email to 022sug@fubon.com

Each subsidiary shall set up separate dedicated phone and fax numbers or email addresses for reporting incidents if they feel it is warranted and publicly disclose these channels.

7. Rules and Measures to Prevent Harassment

- (1) Any employee who has been harassed can report the incident orally or in writing in accordance with provisions in existing regulations. For those who submit complaints orally, a written record of their complaint shall be produced by the committee investigating the claim, and any related evidence should be included.
- (2) To protect the privacy of the people involved, the Company handles all harassment complaints confidentially, objectively, fairly, and impartially. Appropriate measures are taken to investigate each case and determine the truth and to prevent harassment victims from being hurt a second time. The Company absolutely prohibits the adoption of any form of retaliation or inappropriate or unfair treatment against people who report an incident of harassment, submit a complaint, assist with the complaint or investigate the case.
- (3) If after an investigation the harassment allegation proves to be true, the company concerned will discipline or punish the offender or even fire the person, if necessary, depending on the severity of the offense. The offender shall also be monitored, evaluated, and supervised to prevent retaliation or a repeat of the incident.
- (4) Remedial measures shall be taken to help victims of sexual harassment or non-sexual harassment, including internal system adjustments and psychological counseling.
- (5) All new Fubon hires shall undergo training on preventing sexual harassment. For other employees, their respective companies shall use every opportunity and training forum to educate their employees on sexual harassment prevention concepts, as well as strengthen employee-related sexual harassment prevention measures and incident reporting channels.

If an employee works in a workplace that is not under the control or management of their company, that company shall identify the sexual harassment risk in that work environment and take any necessary protective measures, while also informing the employee of the risks. Training on non-sexual harassment issues shall be planned and carried out after the government has announced official regulations on those issues.