

The Shanghai Commercial & Savings Bank

Measures for the Prevention, Complaint and Punishment of Workplace Sexual Harassment

Drafted by the Human Resources Department

Established on May 18, 2017

Amended on June 29, 2017

Amended on July 30, 2020

Amended on May 17, 2024

- Article 1 The Shanghai Commercial & Savings Bank, Ltd. (SCSB, hereinafter referred to as the "Bank") has established these Measures in accordance with Paragraph 1, Article 13 of "the Gender Equality in Employment Act" and the relevant provisions of the "Amendments to the Regulations for Establishing Measures on Prevention of Sexual Harassment in the Workplace" promulgated by the Ministry of Labor to provide its personnel (including employees, dispatched workers, trainee-apprentices, and trainees; hereinafter collectively referred to as "Personnel") and job applicants with a work and service environment free of sexual harassment, and to adopt appropriate prevention, correction, disciplinary, and processing measures to protect the rights and privacy of the concerned parties.
- Article 2 Except as otherwise provided by law, the Bank's measures for preventing sexual harassment and processing sexual harassment complaints shall be conducted in accordance with these Measures, while overseas branches follow their local regulations.
- Article 3 Supervisors at all levels of the Bank toward their Personnel, Personnel toward each other, and Personnel and job applicants shall not engage in any of the following conduct:
- I. Making a sexual request or using verbal or physical conduct of a sexual nature or with an intent of gender discrimination, causing a hostile, intimidating, or offensive work environment for other Personnel, leading to an infringement of or interference with such Personnel's personal dignity or physical liberty, or affects

their job performance. (Hostile Work Environment Sexual Harassment)

- II. A supervisor explicitly or implicitly makes a sexual request toward a subordinate or a job applicant, uses verbal or physical conduct of a sexual nature or with an intent of gender discrimination in exchange for the establishment, continuance, or modification of a labor contract, or as a condition for his or her placement, assignment, compensation, evaluation, promotion, demotion, award, or discipline. (Quid Pro Quo Sexual Harassment)

Article 4 The investigation into sexual harassment claims shall apply the requirements referred to in Paragraphs 1 to 4, Article 12 of the “Gender Equality in Employment Act”, and also take the following circumstances into consideration as examples of sexual harassment:

- I. Inappropriately gazing¹, touching, hugging, kissing, or smelling any part of another person's body, or coercing others to do so.
- II. Sending, retaining, displaying, or broadcasting text, pictures, sounds, videos, or materials that refer to or demonstrate any sexual request, sexual activity, or gender discrimination.
- III. Repeatedly harassing or continuing to follow or pursue any person against their will.

Article 5 The Bank accepts sexual harassment complaints through the following channels. Relevant information is publicly disclosed in the Sexual Harassment Prevention Area on the Bank's official website or in noticeable locations in the workplace:

Dedicated management unit: Human Resources Department

Dedicated telephone number: 02-25319206

Dedicated fax: 02-66189285

Email: hr@scsb.com.tw

Mailing address: No. 2, Sec. 1, Minguang E. Rd., Zhongshan Dist., Taipei City, Taiwan (R.O.C.), Attn.: Head of Human Resources Department.

After the Bank accepts a sexual harassment complaint, it will assign

¹Inappropriate gazing: The act of repeatedly or continuously looking at another person's body in a manner that is deemed inappropriate by regular social beliefs. (Workplace Sexual Harassment Complaint Handling Handbook, Ministry of Labor)

dedicated personnel to handle the complaint, conduct investigations, and follow up on the resolution process.

Article 6 Supervisors and authorized supervisors of each unit in the Bank shall make appropriate use of a diverse array of opportunities and approaches, including assemblies, broadcasts, emails, and internal documents, to enhance the promotion of sexual harassment prevention measures and complaint channels to their Personnel.

The Bank implements sexual harassment prevention education and training measures with respect to the following personnel:

- I. All Personnel of the Bank shall undergo sexual harassment prevention education and training in the workplace.
- II. Personnel holding managerial positions and involved in processing, investigating, and resolving complaints of sexual harassment incidents shall undergo related education and training regularly each year.

The education and training referred to in the preceding paragraph shall be prioritized and implemented for the personnel or unit members designated by the Bank in accordance with the preceding article, as well as for board directors, managers, and personnel holding managerial positions of the Bank.

Article 7 When the Bank becomes aware of² a situation involving sexual harassment, the Bank will take the following immediate and effective corrective and remedial measures:

- I. When the Bank becomes aware of sexual harassment due to a complaint from the victim:
 - (I) If desired by the complainant, take adequate measures to separate the complainant from the accused to prevent the recurrence of harassment, and no unfavorable changes shall be made to the complainant's employment conditions, such as salary, thereafter.
 - (II) Provide or refer the complainant to counseling, medical or psychological counseling, social welfare resources, and other necessary services.
 - (III) Initiate an investigation to interview the personnel involved

²become aware of: It is not subject to the victim's initiation of a sexual harassment complaint with the employer only.
(Enforcement Rules for Act of Gender Equality in Employment)

in the sexual harassment incident or proceed with appropriate investigation procedures.

- (IV) If the accused holds a position of authority and the circumstances are severe, the Bank may temporarily suspend or adjust the duties of the accused during the investigation if it is deemed necessary. If, after the investigation, it is determined that the accusation does not constitute sexual harassment, the salary for the period of the accused's suspension shall be retroactively paid.
- (V) If the report of sexual harassment is proven to be true, adequate disciplinary action or punishment shall be imposed on the perpetrator depending on the severity of the incident. If the incident is considered a serious offense, the Bank may terminate the employment contract without prior notice in accordance with Paragraph 2, Article 13-1 of the Gender Equality in Employment Act.
- (VI) If the report of sexual harassment is proven to be fabricated intentionally, adequate disciplinary action or punishment shall also be imposed on the complainant.

II. When the Bank becomes aware of a sexual harassment incident not resulting from a complaint as outlined by the preceding Subparagraph:

- (I) Interview related personnel and clarify and investigate the relevant facts as necessary.
- (II) Advise the victim of their rights and interests and the various remedies available to them, and assist them in filing a complaint if desired by the victim.
- (III) Make reasonable adjustments to work content or the workplace of the related personnel.
- (IV) Provide or refer the victim, if they desire, to counseling, medical or psychological counseling, social welfare resources, and other necessary services.

If the Bank receives the victim's report on the sexual harassment incident, but the victim is unwilling to file a complaint, the Bank shall take immediate and effective corrective and remedial measures pursuant to Subparagraph 2 of the preceding paragraph.

The Bank shall assist in providing psychological counseling at least twice, upon request by the complainant or the victim.

Article 8 If the accused in a sexual harassment complaint is not considered Personnel of the Bank, or if the complainant is a dispatched worker or job applicant, the Bank will still handle the complaint in accordance with the relevant provisions and take immediate and effective corrective and remedial measures as stipulated in the preceding article. If the victim and the perpetrator belong to different employing entities but have collaborative work³ or business relations, the Bank will take the immediate and effective corrective and remedial measures referred to in the preceding article pursuant to the following requirements, upon becoming aware of the sexual harassment:

- I. Notify the employer of the other party, in writing, via fax, verbally, or in any other electronic data transmission form, to negotiate for the resolution or remedy together.
- II. Protect the privacy and personal reputation of the concerned parties.

Article 9 The Bank shall identify the risks of sexual harassment in the work environment and provide necessary prevention measures for Personnel working at workplaces that cannot be directed and managed by the Bank, and shall thoroughly inform Personnel of such information beforehand.

When the Bank becomes aware of an incident of sexual harassment among its Personnel that is subject to the Sexual Harassment Prevention Act or the Stalking and Harassment Prevention Act, it will assess the risk of sexual harassment in the workplace, implement timely preventive measures, and provide relevant assistance.

Article 10 Complaints of sexual harassment may be made to the Human Resources Department verbally, via email, or in writing using the attached Sexual Harassment Reporting Form. If the complainant does so verbally or via email, the personnel accepting the complaint shall make documentation of the verbal complaint and either read it out to the complainant or ask the complainant to read it to confirm its accuracy.

The documentation of the complaint filed in writing, verbally, or via

³Collaborative work: The engagement in the work for common purposes in the same period. (Enforcement Rules for Act of Gender Equality in Employment)

email, as referred to in the preceding paragraph, shall be signed or sealed by the complainant and specify the following matters:

- I. Name, service unit and position title, domicile or residence, contact telephone number of the complainant, and the date of filing the complaint.
- II. Name, domicile or residence, and contact telephone number of the legal representative or agent of the complainant, if any, attached with document certifying the power of attorney in the case of an appointed agent.
- III. Facts and pertinent evidence related to the complaint.

Upon receipt of the complaint referred to in Paragraph 1, the Bank will notify the local competent authority⁴, in the substance and manner required by the Ministry of Labor.

Article 11 When an accused person is the Bank's highest-ranking official, in addition to filing a complaint through the Bank's internal channels, the personnel or job applicant of the Bank may directly file a complaint with the local competent authority in accordance with Subparagraph 1, Paragraph 1, Article 32-1 of the Gender Equality in Employment Act.

Article 12 The Bank handles sexual harassment complaints confidentially and makes resolutions accordingly, ensuring the protection of the privacy and personal reputation of the concerned parties, and preventing the complainant from suffering any retaliation or other adverse treatment. To handle sexual harassment complaints, the Bank has set up a Sexual Harassment Complaint Processing Unit consisting of at least five members. Except for the head of the Human Resources Department, who serves as an ex-officio member, the remaining members are appointed or selected by the President on a case-by-case basis. The Complaint Processing Unit shall include professionals with gender awareness⁵, and female members should constitute no less than half of the members.

The President may designate one member of the Complaint Processing

⁴Local competent authority: The competent authority of the municipality or county/city where the victim provides labor services. (Enforcement Rules for Act of Gender Equality in Employment)

⁵With gender awareness: A person's identification with the value of gender equity, understanding of the phenomena and causes of gender inequity, and willingness to help improve the situation. (Amendments to the Regulations for Establishing Measures on Prevention of Sexual Harassment in the Workplace)

Unit as the convener, who will serve as the chairperson of the meeting. If the chairperson is unable to preside over the meeting for some reason, the chairperson may designate another member to act in that capacity.

If dispatched workers suffer from workplace sexual harassment by Personnel of the Bank, the Bank will accept complaints and investigate the incident together with the dispatching entity, and notify the dispatching entity and the concerned parties of the results.

Article 13 When a complainant files a workplace sexual harassment complaint with the Bank, the complaint may be withdrawn in writing before the notice of resolution is served by the Bank. Where a complaint is withdrawn, the complainant shall not file another complaint for the same incident. However, after the complainant withdraws the complaint, they may still file another complaint if new facts emerge or new evidence is uncovered for the same incident.

Article 14 Upon receipt of a complaint, the Bank shall uphold the principles of objectivity, fairness, and professionalism when conducting the investigation. The investigation procedure shall protect the privacy of concerned parties and personal reputation of those involved.

In addition to setting up the Complaint Processing Unit pursuant to Article 12 hereof, the Bank shall form a complaint investigation taskforce to conduct the investigation in the preceding paragraph when dealing with a sexual harassment complaint. The taskforce shall include one being a representative of the workers, and one professional from outside the organization with gender awareness.

The result of an investigation into a sexual harassment incident conducted by the complaint investigation taskforce shall include the following matters and shall be transferred to the Complaint Processing Unit for review and resolution upon completion of the investigation:

- I. Causes of the complaint for the sexual harassment incident, including any concerned party's statement.
- II. Investigation and interview records, including dates and interviewees.
- III. Determination of facts and reasons.
- IV. Suggestions for the resolution.

Article 15 The personnel involved in processing, investigating, and resolving any sexual harassment complaint shall protect the privacy of the concerned parties and individuals invited to assist in the investigation, as well as the personal reputation of such. They shall keep the names or any data sufficient to identify the parties in confidence, unless required by the investigation or it constitutes a matter of public security. They shall never falsify, fabricate, destroy, or conceal any evidence related to sexual harassment in the workplace.

The convener will terminate the participation of anyone who violates the preceding paragraph in the sexual harassment incident. The Bank may, depending on the circumstances, punish and pursue relevant liabilities according to relevant regulations, and dismiss their election and appointment.

Article 16 Any person involved in processing, investigating, and resolving a sexual harassment complaint who is the complainant or the accused per se, or who is the spouse or ex-spouse, a relative by blood within the fourth degree of kinship, or a relative by marriage within the third degree of kinship of the complainant or the accused, shall recuse himself or herself voluntarily.

If the person referred to in the preceding paragraph, who shall recuse himself or herself voluntarily, fails to do so, or if it is believed based on any other specific facts that he or she has acted in a partisan manner during the processing, investigation or resolution of the incident, although without the relationship referred to in the preceding paragraph in the same subject matter, the complainant or accused may report the causes and facts in writing and apply to the Bank, which may then request the person to recuse himself or herself. The person requested to recuse himself or herself may submit his or her personal written opinion in response to the request.

The person requested to rescue himself or herself shall suspend the processing, investigation, or resolution of a sexual harassment incident before the request is permitted or rejected by the Bank, unless in the case of emergency it is still necessary to take administrative actions.

If the person referred to in Paragraph 1 who shall recuse himself or herself fails to do so and a report is not filed by the complainant or the accused to request the person's recusal, the Bank shall order the person to recuse himself or herself.

Article 17 The Complaint Processing Unit may not hold a meeting until half or more of its members are present, and a resolution may only be made with the approval of half or more of the members present. In the event of a tie, the chairperson shall decide whether the resolution is made or not.

When convening a meeting, the Complaint Processing Unit or complaint investigation taskforce may notify the concerned parties and related parties to provide an explanation in person and provide the concerned parties with sufficient opportunity for them to state their opinions and defend themselves. Unless it is necessary to question the concerned parties, repeated questioning shall be avoided, and persons with related knowledge and experience may be invited to provide assistance.

The Complaint Processing Unit shall take the investigation result conducted by the complaint investigation taskforce into account when resolving the incident and shall render its decision with appropriate reasoning. It may also suggest punishments or other proposals for resolving the complaint. The complainant and the accused shall be informed in writing of the aforementioned resolution by the Bank.

Article 18 The Bank shall close the case within two months from the day following the receipt of a sexual harassment complaint. If necessary, an extension of no more than one month may be granted, and the concerned parties shall be notified.

If the complainant believes that the Bank has failed to resolve the incident or disagrees with the investigation or disciplinary results provided by the Bank, they may file a complaint against the local competent authority in accordance with Article 32-1 of the Gender Equality in Employment Act.

If the complainant believes that the Bank has failed to take immediate and effective corrective and remedial measures upon awareness of a sexual harassment incident, they may file a complaint with the local competent authority in accordance with Paragraph 1, Article 34 of the Gender Equality in Employment Act.

Once the complaint is closed, neither party may file a complaint for the same incident.

- Article 19 With the complainant's consent, the Complaint Processing Unit may decide to suspend the investigation and resolution of a sexual harassment complaint that has entered judicial proceedings. The duration of the suspension is not subject to the restrictions specified in the Paragraph 1 of the preceding article.
- Article 20 If the report of sexual harassment is proven to be true, the Bank shall impose appropriate disciplinary action or punishment on the perpetrator depending on the severity of the incident according to the Work Rules and other relevant regulations, and notify the local competent authority in the substance and manner required by the Ministry of Labor. If criminal liabilities are found to be involved, the Bank will assist the complainant in filing charges.
When the Bank is jointly and severally liable for damages with the perpetrator of sexual harassment in accordance with Paragraphs 1 and 2, Article 27 of the Gender Equality in Employment Act, it shall have the right to seek claims against the perpetrator after compensating the victim for the damage.
- Article 21 The Bank shall adopt follow-up monitoring, evaluation, and supervision measures on the sexual harassment to ensure the effectiveness of the implementation of a punishment and other related corrective measures, and to prevent the recurrence of similar incidents or the occurrence of retaliatory activities.
- Article 22 These Measures are established by the Human Resources Department and shall become effective upon approval of the President, with retroactive effect from March 8, 2024. The same applies to any amendments hereto, which shall become effective upon approval by the President.

THE SHANGHAI COMMERCIAL & SAVINGS BANK, LTD.
SEXUAL HARASSMENT REPORTING FORM

(Before filling out the form below, please carefully read the provisions of the Shanghai Commercial & Savings Bank, Ltd. Measures for the Prevention, Complaint and Punishment of Workplace Sexual Harassment.)

Complainant	Name		Service Unit		Position Title	
	Telephone		Domicile/Residence			
Facts related to the complaint	Name of the Accused	<input type="checkbox"/> Unknown	Service Unit of the Accused	<input type="checkbox"/> Position Title: <input type="checkbox"/> Telephone: <input type="checkbox"/> None <input type="checkbox"/> Unknown		
	Relationship to the Accused					
	Report Details: (The report shall include the location and time of the incident, a detailed account of the behavior and events that occurred during the incident, the identities of the accused and the complainant, and other relevant information.)					
Relevant Evidence	1. Are there any relevant witnesses? <input type="checkbox"/> No <input type="checkbox"/> Yes: _____ 2. Is there any other relevant evidence? <input type="checkbox"/> No <input type="checkbox"/> Yes: Attachment 1 _____, Attachment 2 _____					
Suggested Resolution:						
<input type="checkbox"/> Do you need the Bank to provide or refer you to relevant resources or psychological counseling services?						
Complaint Filing Date: MM/DD/YYYY						
Have you discussed the aforementioned complaint with any of the following individuals? Immediate Supervisor <input type="checkbox"/> No; <input type="checkbox"/> Yes, Date: MM/DD/YYYY Second-level Supervisor <input type="checkbox"/> No; <input type="checkbox"/> Yes, Date: MM/DD/YYYY Head of Department <input type="checkbox"/> No; <input type="checkbox"/> Yes, Date: MM/DD/YYYY						
Signature of the Complainant:						Date: MM/DD/YYYY
Signature of Legal Representative or Agent of the Complainant (if applicable):						
Date: MM/DD/YYYY						
The above record has been read aloud or provided for review to the complainant. The complainant has confirmed its accuracy. (Leave this field blank if it is the complainant who submits this report form.)						
Signature or Seal of the Recorder:						

Legal Representative Profile (if applicable)

Legal Representative Profile	Name		Telephone	
	Domicile/Residence			
	Relationship to the Complainant			

Agent Profile (if applicable)

Agent Profile	Name		Telephone	
	Domicile/Residence			
	*Attach the Power of Attorney			