

CTBC Financial Holding Co., Ltd.
Intellectual Property Management Plan

1. Purpose

The Plan is established in order to promote respect within the Company of intellectual property (IP), disclose the Company's IP management and utilization principles, and supervise the effective IP management of the Company's subsidiaries.

2. Subjects

The Company and its subsidiaries, employees of the Company and its subsidiaries (including those employed on open- and fixed-term contracts), and external personnel involved in the Company's or a subsidiary's R&D plans are subject to the Plan.

3. Scope

The IP referred to herein includes the patents, trademarks, copyrights, business secrets, and other intangible IP created or acquired by the Company and its subsidiaries, employees of the Company and its subsidiaries (including those employed on open- and fixed-term contracts), and external personnel involved in the Company's or a subsidiary's R&D plans.

4. IP ownership principles

- (1) The IP rights of work made for hire that are invented, created, or designed by any employee of the Company or a subsidiary shall remain vested in the Company or subsidiary for which the employee worked.
- (2) Any invention, creation, or design made by an employee of the Company or a subsidiary based on concepts, knowledge, know-how, ideas, resources, or experience of the Company or a subsidiary may be implemented or otherwise used by the Company and its subsidiaries.
- (3) When the Company or a subsidiary contracts or works with a third party in technology R&D, IP ownership shall be determined subject to

mutual agreement.

- (4) The Company and its subsidiaries retain the priority right to use patents for which the Company or a subsidiary names an employee as a patent applicant, and such employees are prohibited from assigning or licensing the same to others for their use.
- (5) Where a patent right is jointly owned, no joint owner may assign, entrust, or establish a pledge on his/her own share without the consent of all other joint owners, unless otherwise agreed in the contract.

5. IP protection principles

- (1) The application for any invention, design, or creation of the Company or a subsidiary that requires IP protection shall be filed as soon as possible. The inventor, designer, or creator is obligated to assist in completing the application for the invention, design, or creation and in providing defense in legal proceedings if the application is rejected. Before the application for said invention, design, or creation is filed with the IP office, any employees of the Company and its subsidiaries who have accessed the invention, design, or creation are obligated to keep in confidence all data related to the same.
- (2) All applications for IP rights shall be reviewed and cross-referenced carefully. The review shall be conducted by taking into account the IP rights management and infringement requirements defined under the Trademark Act, Patent Act, Copyright Act, and Trade Secrets Act, as well as the scope and possibility of utilization thereof.
- (3) Employees of the Company and its subsidiaries who engage in IP development shall carefully maintain all working papers related to the R&D process of IP (e.g., design drawings, report, and records) as the proof to be submitted in IP legal actions, if any. The working papers shall be managed in the manner defined by various units independently, subject to the nature of the working papers.

- (4) Any disclosure of the contents of creation or presentation of R&D results to the public by an employee of the Company or a subsidiary shall be subject to the prior approval of the responsible officer, and the IP protection application for any invention, design, or creation requiring such shall be completed as the first priority.
 - (5) In the event of a third-party dispute or legal action against the IP rights of the Company or a subsidiary, R&D staff (e.g., inventors, designers, and creators) shall, upon request of the Company or subsidiary, provide assistance in the dispute or legal action to the best of their ability.
 - (6) When the Company and its subsidiaries retain professionals to engage in researching, developing, or completing IP at their own cost, the relevant organizer shall provide in the contract that the IP researched, developed, or completed by the appointees shall be free from any infringement upon another party's interests and rights, and that the appointees shall be liable for any damage caused by a violation of said requirements, if any, to the Company or its subsidiaries.
6. IP use principles
- (1) The Company and its subsidiaries shall respect their own IP and that of others.
 - (2) When introducing any technologies, the Company and its subsidiaries shall consider the non-infringement by the technologies upon another party's IP as the first priority. The Company and its subsidiaries shall provide in the contract that the technologies provided by the technology's supplier shall be free from any infringement upon another party's interests and rights, and that the provider shall be liable for any damage caused by a violation of said requirements, if any, to the Company or its subsidiaries.
 - (3) The Company and its subsidiaries shall have various dedicated units manage the IP owned by them, subject to the categories and attributes

of the IP.

(4) Any employee of the Company or a subsidiary who violates IP-related laws and regulations or the Plan shall be disciplined in accordance with the relevant requirements of the Company or subsidiary.

7. Patent management

(1) The Company and its subsidiaries' initial goal for their patent management strategies was "growing the quantity of patents"; afterward, the goal was shifted to "improving patent quality", since which it has been elevated to "creating patent value".

(2) The Company and its subsidiaries' patent management profile is as follows:

a. Cases:

Cases are approved by the responsible officer after the Company or a subsidiary has analyzed, researched, and confirmed the necessity of a patent application.

b. Application:

Upon confirmation of a patent application case, the Company or subsidiary shall, subject to budget requirements and upon approval by the responsible officer, contract an external patent office to guide the patent application process.

c. Custody and maintenance:

The patent certificates owned by the Company and its subsidiaries shall be kept by dedicated units, and the patents shall be maintained periodically, if necessary.

d. Summarization:

The Company and its subsidiaries shall summarize the status of patent implementation each year, including the number of patents, patent opposition actions or legal actions, and any patent risks and policies, to facilitate the Board of Directors'

assessment and supervision.

8. Trademark management

- (1) The Company and its subsidiaries shall use their registered trademarks on commodities, instruments, advertisements, and websites related to the Company's business.
- (2) The Company and its subsidiaries shall use the registered trademarks based on the logos designated in the "CTBC Corporate Identity Guidebook" without discretionarily changing the scale of length, height, width, or diameter of the logos or text, or the corresponding positions thereof, or discretionarily adding text or logos thereto.
- (3) The Company and its subsidiaries' trademarks shall be generally planned and managed by the Company's General Administration Department. The General Administration Department shall review, compile, and amend the "CTBC Corporate Identity Guidebook" and CTBC Financial Holding Co., Ltd. Trademark and Domain Name Registration Guidelines in a timely manner to ensure compliance by the various units using the trademarks.

9. Trade secrets management

- (1) The trade secrets referred to herein are as follows:
 - a. information not known to persons generally familiar with information of this type;
 - b. information with economic value, actual or potential, due to its secretive nature;
 - c. research reports and technical data for which public protection cannot be applied; and
 - d. information, the secrecy of which the Company and its subsidiaries have taken reasonable measures to maintain.
- (2) The employees of the Company and its subsidiaries are obligated to keep in confidence the plans, documents, diagrams, and instruments,

etc. of the Company and subsidiaries referred to in the subparagraphs of the preceding paragraph, and are prohibited from disclosing the same. Any employee who violates either requirement shall bear the liability under the Civil Code, Criminal Code, and special provisions. Employees of the Company and its subsidiaries shall advise the Company and its subsidiaries immediately upon disclosure of the same due to their negligence or awareness of another party's disclosure of the same. These obligations to keep trade secrets confidential and advise of their disclosure shall survive termination of the contractual relationship between employees and the Company and its subsidiaries.

- (3) The units of the Company and its subsidiaries shall classify and identify trade secrets upon thorough evaluation of factors including economic value, disclosure risks, and confidentiality requirements, and then manage the authority of access to confidential documents accordingly.
- (4) The Company and its subsidiaries are prohibited from accessing illegal computer programs and shall comply with the license or access requirements defined by the computer program and database owners.
- (5) Employees of the Company and its subsidiaries shall return trade secrets, including Company data and documents in their possession, to the units in which they hold office, and strictly complete all handover requirements, if any, prior to their resignation, transfer, or retirement.
- (6) The Company and its subsidiaries shall impose adequate access control management rules on their office premises. If necessary, when software is used, such computer activity may be recorded, such as the sending and receiving of emails and the duplication of files.
- (7) The Company and its subsidiaries shall draft related information security policies, and strengthen and implement the same.

10. Training and promotion

The Company and its subsidiaries shall include IP management and

protection requirements in the Code of Conduct, and regulations and operating procedures related thereto, and shall conduct training and promotion in a timely manner.

11. Incentives

For employees of the Company and its subsidiaries who file a complaint upon discovering another party's infringement upon the Company's or a subsidiary's IP and thereby mitigates the damage to the Company or subsidiary or helps the Company or subsidiary be compensated, an incentive shall be granted by the Company or subsidiary on a case-by-case basis.

12. Information disclosure

The Company shall track the status of the Company's and its subsidiaries' implementation of IP management and periodically (at least once per year) report the same to the Board of Directors. Such information shall also be disclosed in the Company's annual report or sustainability report, or on the Company's website.