

## **Catcher Technology Co., Ltd.**

### **Regulation Governing Reporting and Complaints**

Article 1 This Regulation is prescribed pursuant to Article 21 of the Procedures for Ethical Management and Guidelines for Conduct.

Article 2 The Company has established channels for reporting and filing complaints.

External:

[http://www.catcher.com.tw/tw/company\\_contact.aspxaudit@catcher-group.com](http://www.catcher.com.tw/tw/company_contact.aspxaudit@catcher-group.com)

Internal:

<http://www1.catcher.com.tw/wp-content/uploads/2020/04/員工意見申訴管道202004.pdf> [audit@catcher-group.com](mailto:audit@catcher-group.com)

Article 3 The Company has established procedures for reporting and filing complaints on illegal (including corruption) and unethical practices:

1. The Company encourages all insiders and outsiders to report any unethical practices or misconducts and will grant the reporters with rewards depending on the seriousness of the offense being reported. In case of any false report or malicious accusation by the insiders, the Company shall impose disciplinary actions or even dismiss the person if the circumstance concerned is material.
2. The Company has set up an independent mail box for hearing complaints at both its official website and intranet for both insiders and outsiders to use. The reporters shall provide the following information:
  - (1) The name, telephone number, and email address of the reporters;
  - (2) The name of the accused or any other information that helps identify the accused; and
  - (3) Factual accounts for possible investigation.
3. The personnel of the Company responsible for responding to the reports or complaints shall keep the identity of the reporters and the content of the reports or complaints in strict confidence.

Article 4 The Company promises no unfair and undue treatment to the reporters due to the act of reporting or filing complaints, with the Auditing Office to proceed in accordance with the following procedures:

1. For the reported incidents involving regular employees, the Auditing Office shall report the incidents to respective department head(s). For the reported incidents involving directors or senior officers, the Auditing Office shall report the incidents to Independent Directors.
2. The Auditing Office and the aforementioned officers or personnel who have received the reports shall take immediate actions for fact finding, and may appeal for assistance from regulatory compliance or other relevant departments.
3. If the accused is proved in violation of applicable rules or the Procedures for Ethical Management and Guidelines for Conduct of the Company, the Company shall demand the accused to stop the relevant practices immediately and take appropriate actions. Where necessary, the Company may appeal to legal proceedings and claim for damages to protect the reputation and rights of the Company.
4. The acceptance of the reports or complaints, the investigation process, and the investigation results shall be filed in written documents and kept for 5 years. The filing may be preserved in electronic means. In the event of any judicial proceeding conducted underway pertinent to the content of the reports or complaints during the retention period, the record, the related materials and information shall be kept until the final ruling of the legal proceedings.
5. If the reports or complaints are verified to be true, related functional units of the Company shall review the related internal control system and operating procedures, and propose corrective action plans to avert the recurrence of the same misconducts.
6. Where necessary, the Auditing Office of the Company shall report to the Board with regard to the content of the reports or complaints, the handling methods and subsequent corrective actions addressing to such misconducts.