

Chapter 13 Regulations for Governing Employees' Petitions

Article 1: *Regulations for Governing Employees' Petitions* are hereby established in order to enable employees' full expression of their opinions on work, protect employees' rights and interests, and achieve effective communication between the Company and its employees.

Article 2: Scope of Applications

Employees of the Company may put forward their petitions under any of the following circumstances:

- I. When mistreated by other colleagues during the period of employment, which affects employee(s)' physical or mental health, or safety;
- II. When having doubts about the supervisor or the Company's violating any labor contract, work rules or any working conditions;
- III. When mistreated by supervisors in the Company or at work, which affects the legitimate rights and interests of individuals; or
- IV. When discriminated against based on gender or sexual orientation at work, which affects the legitimate rights and interests of individuals, or when sexually harassed at the workplace, where matters are also handled in accordance with the Company's "*Regulations for Establishing Measures of Prevention, Correction, Complaint and Punishment of Sexual Harassment at Workplace.*"

Article 3: Methods of Applications

Applications can be made in a non-anonymous or anonymous manner, and the relevant evidence and specific facts can be forwarded in writing or by e-mail to CEOoffice@fcf.com.tw for the petitions. However, for those petitions made anonymously, the relevant processing procedures may be suspended if petition contents are vague or lack specific evidence. Meanwhile, the provisions of Paragraph 3 of Article 4 may be applicable *mutatis mutandis* as appropriate, where petitioners may supplement information upon request or cases may not be accepted due to insufficient relevant evidence.

Article 4: Handling Procedures

- I. Regarding the subject matters or suggestions intended to be put forward, petitioners

shall describe in detail the time, place and process thereof in applications made in accordance with the provisions of Article 3 of the *Regulations*, for acceptance by the Office of the Executive Officer.

- II. Petition applications may not be accepted under any of the following circumstances:
 1. Where the subject matters are not directly related to the Company's official business or work; or
 2. Where specific facts, time and place of the incident are missing, or where the incident took place more than three months ago (unless otherwise due to special circumstances).
- III. Executive Office shall reply in writing, stating whether a petition application is accepted or not within 3 working days from the date of petition application. Where judgments fail to be made due to unclear descriptions, or insufficient specific facts or evidence in the petition materials, the petitioner may be required to supplement relevant descriptions. In case of failure to supplement the relevant information within 5 working days upon notification, the petition application shall not be accepted.
- IV. Once Executive Office confirmed the acceptance of the petition application, the result of the petition must be relayed to the petitioner within 7 working days for general cases, or 14 working days for complicated cases. Anonymous cases will be archived directly after the completion of the investigation and the relevant information may be announced as appropriate.
- V. Petition Handling Process
 1. Interviews are arranged separately with the petitioner and the respondent for further information collection.
 2. Interview with the supervisors of the petitioner and the respondent.
 3. If the petition involves the application of the laws and regulations or internal regulations of the Company, Admin. Department shall be consulted for clarification on relevant issues.
- VI. When dissatisfied with the result of the petition, the petitioner may file an appeal application based on the results of the petition, provide an appeal application in writing or by email within 10 working days from the date of receiving the results.
- VII. Upon receiving the petitioner's appeal application, Executive Office shall form an appeal committee within 10 working days along with the materials, while Admin. Department shall be consulted for the handling of relevant administrative matters as

appropriate.

VIII. Where the petition case is verified to be true, it will be dealt with in accordance with the laws and regulations, or the relevant internal regulations of the Company.

Article 5: Composition of the Appeal Committee is as follows:

- I. Chair taken by the President or a person appointed by President;
- II. Personnel appointed by the Executive Office;
- III. The department head of the respondent;
- IV. The department head of the petitioner; and
- V. Relevant personnel invited depending on the circumstances of the case.

Article 6: Investigation Procedure by the Appeal Committee

- I. The Appeal Committee shall come up with a resolution within 30 working days from the date of forming the committee based on the fact-finding process, where the resolution result is forwarded to the President for approval.
- II. During the investigation procedure of the Appeal Committee, the provisions of Paragraph 5 of Article 4 of the *Regulations* may be applicable *mutatis mutandis*.
- III. All members of the Appeal Committee must participate in the resolution which adopts an applicable consensual veto vote. The processes of resolution discussion and resolution making must be recorded in writing.

Article 7: Decisions of the Appeal Committee

- I. The President shall make the final ruling on the appeal case. The resolution of the Appeal Committee only serves as suggestions for handling the appeal case, it does not constitute a binding force on the President's decisions on the appeal case. The ruling approved by the President is the final decision, whereas the appellant shall not make any further applications due to dissatisfaction.
- II. Those appeal resolutions approved by the President shall be relayed to the petitioner and the respondent in writing or by e-mail in a confidential form, and all members of the Appeal Committee shall be notified accordingly.

Article 8: Recusal during the Investigation

- I. Where the undertakers handling an appeal case or members of the Appeal Committee and the petitioner or respondent have relatives' relationships, *e.g.*

relationships of spouse, ex-spouse, relatives by blood within the fourth degree, relatives by marriage within the third degree, parent or family relationship; or have an interest in the matter under appeal, or there are other situations that may affect the fair investigation and handling of the appeal case, the undertakers handling the appeal case or members of the Appeal Committee shall voluntarily recuse themselves. The petitioner and the respondent are also entitled to request for the recusal of the parties with a conflict of interest.

- II. The position of those under recusal may be filled by other appropriate persons appointed by the President.

Article 9: Suspension of Investigation

After the appeal procedure begins, where the petitioner or other interested parties have filed relevant judicial proceedings regarding the appeal case or related incidents, the investigation of the appeal case under the judicial jurisdiction shall be suspended by the Appeal Committee for the time being, prior to the conclusion of the judicial proceedings, and can be resumed after the conclusion of the judicial proceedings.

Article 10: Withdrawal of Applications

After the applications of petitions or appeals are accepted, before the relevant results are made, petitioners or appellants may withdraw their cases in writing with an "Application for Withdrawal of Application" form. However, where the content of the case involves public interest, no application for withdrawal shall be made, without prejudice to the rights and interests of the petitioner or the appellant.

Article 11: Obligations of petitioners and appellants, and related personnel

- I. Petitioners and appellants shall accept inquiries, answer all questions honestly and provide relevant information. Those who frame, deceive, insult others or deliberately disturb the case will be punished in accordance with the relevant reward and penalty regulations of the Company.
- II. Personnel accepting the petition and appeal applications, relevant undertakers and members of the Appeal Committee shall keep information about the petition and appeal absolutely confidential without disclosure to the public. Violators will be dealt with in accordance with the relevant regulations of the Company.

- III. Supervisors at all levels shall not discriminate, coerce, transfer or treat the petitioners in any unfavorable ways, and shall not affect the petitioners' work rights or interests.

Article 12: Enforcement and Amendments

These *Regulations* are put into enforcement upon approval by the President of the Company. The same rule shall apply for revisions of the *Regulations*.