

# **Global Unichip Corporation**

## **Complaints Policy**

### **Article 1 - Purpose**

For safeguarding the rights and interests of employees, developing mutual labor relations and establishing a complete management system, Global Unichip Corporation (hereinafter referred to as "Corporation") has established the Global Unichip Corporation Complaints Policy ("Policy") to institute the Company's complaint filing channels and investigation procedures, and to protect the Company's legitimate rights and interests.

### **Article 2 - Scope**

Employees of Global Unichip Corporation and any of its subsidiaries ("GUC") or a third party may make a disclosure in any of the following circumstances:

1. When a GUC employee encounters unlawful infringement in the workplace.
2. When a GUC employee suffers from sexual, or any other form, of harassment during their performance of duties.
3. When a GUC employee is under mistreatment or unfair treatment.

The second circumstance above applies to GUC Sexual Harassment Prevention related instructions.

### **Article 3 - Responsible Unit**

The Human Resource Department is the responsible unit for receiving and investigating Complaint cases.

### **Article 4 - Complaint Method and Channel**

A complainant may make a disclosure through written form, telephone, email or other methods by including the following information:

1. The name and contact method of the complainant .
2. Address the issue and name of the defendant, or further information to identify the defendant. Provide concrete matters, relevant information or investigational documentation, and evidence related to the case (including physical evidence and witnesses).

If the report is made by telephone, the responsible unit will be responsible in making the complaints record.

Complainant may provide the above information through the following channels: Inbox: [ombudsman@guc-asic.com](mailto:ombudsman@guc-asic.com), Mail address: No. 10, Li-Hsin 6th Rd. Hsinchu Science Park, Hsinchu City, Taiwan/GUC's Human Resource.

GUC employees shall file reports in accordance with the procedures under this Regulation. Unless under exceptional circumstances, complaint cases shall not be disclosed to external third parties (e.g. news media, public representatives, affiliated companies) without authorization.

### **Article 5 - Handling of Complaints**

The handling process of complaints is shown as attachment below, explanation as follow:

The responsible unit shall promptly inspect for relevant facts, judge whether to accept the case, and notify the president within 3 days of response for them to assign investigating members to compose a legal investigation unit. The size and members in the investigation unit depends on the decision of the president.

If the complaint case involves senior-level executives, the case should be reported to the chairman.

The investigation unit may inquire the complainant, defendant, witnesses and related persons, and conduct investigations for necessary evidence. Inquiring process of related personnel should be just and fair, investigations should be conducted in private. The responsible unit shall complete the investigation and issue an investigation report within 60 days from the date of acceptance. If necessary, the time limit may be extended with the president's approval.

The investigation report shall be submitted to the president. If it involves senior-level executives including the vice president or above, or if major violations are discovered, it should further be reported to the chairman. The investigation report shall include the legal analysis, evaluation, and follow-up disposition recommendations of the legal unit regarding the investigation results. If qualms regarding the legality of the recommendations are to ensue, one may seek consultation from the legal affairs department with the approval of the president.

After the complaint case is concluded with the approval of the president, the responsible unit shall handle it in accordance with the recommendations, and notify the complainant of the results.

#### **Article 6 - Whistle Blowing Rejection**

Complaints may be rejected in any of the following circumstances:

1. When the complaint is made in an anonymous manner: unless otherwise concrete facts and evidences are presented, and circumstance of violation against the law are severe.
2. When the claim is untrue, incomplete, or has no concrete evidence attached; and remains incomplete past the time issued by the responsible unit to make corrections.
3. When the claim has already been addressed, re-complainants, or when a case is still under investigation; unless otherwise new fact or new evidence is discovered or provided.

#### **Article 7 - Protection of the Complainants and Punishment Measures**

The Company will treat personal information of complainants with strict confidentiality, and apply appropriate protective measures.

The responsible unit and relevant personnel are obligated to keep information related to the complainant, facts of the complaint, and information learnt of in the course of handling the complaint confidential. In the event of violation of this obligation, the Company reserves the right to impose disciplinary actions on the violators.

The Company may not make actions unfavorable to the interests of the complainant due to the case of complaint. If, however, the complainant misrepresents the facts, alters or tampers with the evidence, or colludes with the witnesses to make false statements, the Company may penalize them in accordance with the Company's disciplinary rules, and may also report them to law enforcements.

#### **Article 8 - Complaint Investigation Recusal System**

If any member of the responsible unit or legal unit becomes the target of a

complaint, has direct interests in the facts of a complaint case, or other circumstances that may affect the fair investigation and handling of the complaint case, such person shall reclude him/herself from the investigation. If the complainant or the defendant believes that a member of the responsible unit or legal unit is affected in terms of their impartial performance of duties, they may request that such member reclude him/herself. In the event of the recusal of this article, or other particular circumstances, the president may assign another appropriate unit or manager to act on his/her behalf.

#### **Article 9 - Data Retention**

The data related to a whistle blowing case shall be retained by the responsible unit for a period of five years, provided that in the event of any litigation arising from any such complaint case, the retention period shall be five years after the close of such litigation.

#### **Article 10 - Implementation and Amendment**

This Policy and the amendment thereof shall be implemented following the adoption by the chairman, provided that the complaint cases accepted prior to any such implementation shall be handled in accordance with the rules prior to the amendment. Any matter not covered by this Policy shall be governed by other internal regulations of the Company, or relevant laws and regulations.

Attachment:  
The Complaint Filing Process

