



Document No	W-LW-I-002	Release Date	201224
Document Name	Reporting Illegal, Immoral, or Dishonest Cases Case Handling Procedures	Version	B

# Reporting Illegal, Immoral, or Dishonest Cases Case Handling Procedures



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Revise History				
Version	Owner	Review	Release Date	Release Explain
A	Li Yumei	Chu Juiyang	161223	First Release
B	Li Shuhui	Li Yumei	201224	Modify the content to suit the current situation



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## 1. Purpose :

To implement the provisions of our company's Code of Ethics and Integrity Management Regulations and encourage reporting of any illegal or infringing conduct, this regulation has been established to establish internal and external reporting channels and handling systems for our company and its affiliated companies. This will ensure the implementation of our company's Code of Ethics and Integrity Management Regulations and protect the legitimate rights and interests of reporters and those who report violations.

## 2. Scope :

This regulation applies to the internal and external units and personnel of the Company and its affiliated enterprises.

## 3. Rights and Responsibilities :

This regulation is formulated and revised by the Legal Department in accordance with the Company's "Code of Ethical Conduct Management Regulations", "Integrity Management Code Management Regulations" and related regulations.

## 4. Definition :

None

## 5. Assignment Details :

### 5.1 Responsible Units :

#### 5.1.1 Spokesperson/Deputy Spokesperson: Accepts reports from shareholders, investors, and other external



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parties.

5.1.2 Legal and Audit Units: Accepts reports from internal employees of the Company and its subsidiaries, as well as from customers, suppliers, and contractors.

5.2 Reporting Channels and Methods :

5.2.1 Reports may be made in person, by phone, or by mail.

5.2.2 The Company has established and publicly announced an independent reporting mailbox and hotline for internal and external personnel.

Open/Complaint Mailbox: [speak-up@alechem.com](mailto:speak-up@alechem.com)

Reporting Hotline: 03-3646655 ext. 81301 or 81152

5.2.3 Reporters must provide at least the following information :

5.2.3.1 The reporter's name and ID number; the address, phone number, and email address where the reporter can be contacted.

5.2.3.2 The name of the person being reported, or other information sufficient to identify the person being reported.

5.2.3.3 Specific evidence available for investigation.

5.2.4 The Company's personnel handling reports must make a written statement regarding the confidentiality of the whistleblower's identity and the content of the report. The Company also pledges to protect the whistleblower from any inappropriate action resulting from the report.

5.3 Handling Procedures :

5.3.1 Reports involving general employees should be reported to the department head. Reports involving directors or senior executives should be reported to independent directors.

5.3.2 The Company's dedicated unit and the supervisor or personnel to whom the report is addressed as described in the preceding paragraph shall promptly investigate the relevant facts, with assistance from other relevant departments as necessary.

5.3.3 If it is confirmed that the person reported has violated relevant laws and regulations or the Company's integrity management policies and regulations, the person reported shall be immediately required to cease the relevant conduct and appropriate action shall be taken. If necessary, legal proceedings may be pursued to protect the Company's reputation and interests.

5.3.4 Written documentation of the acceptance of reports, the investigation process, and the results of the



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investigation shall be retained for five years. Such retention may be electronic. If litigation related to a report occurs before the expiration of the retention period, the relevant information shall continue to be retained until the conclusion of the litigation.

- 5.3.5 If a report is verified to be true, the relevant department of the Company shall be responsible for reviewing the relevant internal control systems and operating procedures and proposing improvement measures to prevent the recurrence of the same behavior.
- 5.3.6 The responsible department of the Company shall report the report, its handling, and subsequent review and improvement measures to the Board of Directors.
- 5.4 The Company encourages internal and external personnel to report dishonest or improper conduct and will provide bonuses based on the severity of the report. Internal personnel who make false reports or malicious accusations will be subject to disciplinary action, and serious offenses may result in dismissal.
- 5.5 Any matters not covered by these regulations shall be handled in accordance with relevant laws and regulations and other relevant Company regulations.
- 5.6 These regulations shall be implemented upon approval by the Board of Directors, and shall apply to any amendments.

## 6. Reference Documents :

- 6.1 Regulations for the Management of the Code of Ethical Conduct.
- 6.2 Regulations for the Management of the Code of Integrity in Business Operations.

## 7. Related Forms: None

## 8. Attachments :

- 8.1 Inspection Content



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Work Credentials :

None

Notes :

1. Does the reporting method comply with Section 5.2
2. Does the handling procedure comply with Section 5.3

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