

Epidemic Prevention Operating Guidelines for Shareholder Meetings During Level 3 Alarm Period

Date of Revision: June 29 2021

1. This *Operating Guidelines* is based on the *Regulations Governing Level 3 Alert Standards and Response Measures and Related Penalties for Severe Pneumonia with Novel Pathogens (COVID-19)* stated in the *Order #MOHW-Approval-Disease-Character-1100200495 dated May 28 2021* announced by the Ministry of Health and Welfare (MOHW), as well as the *Order #FSC-SecuritiesTransaction-Character-10903618021 dated April 20 2020*, *Order #FSC-SecuritiesTransaction-Character-11003621371 dated May 20 2021*, and *Order #FSC-SecuritiesTransaction-Character-1100362665 dated June 29 2021* announced by the Financial Supervisory Commission (FSC).
2. Contingency Plans and Risk Assessments for Disease Prevention
 - 2.1. According to the pandemic alert standards issued by the Central Epidemic Command Center (CECC), companies are required to formulate disease prevention contingency plans and adequately implement the above-mentioned plans accordingly.
 - 2.2. Companies should undertake related risk assessments to understand the meeting venues and numbers of participants in their shareholder meetings. The risk indicators are as follows:
 - 2.2.1. Shareholder Meeting Venues should comply with the crowd size and distancing requirements for gatherings stipulated in the regulations on alert standards and response measures.
 - 2.2.2. Proper Backup Venues for shareholder meetings should be prepared in response to any developments of the pandemic and stay within the limits on crowd size for gatherings stipulated in the regulations on alert standards and response measures.
 - 2.2.3. Information of Participants should be properly tracked, e.g. shareholders' and staff's travel history to high-risk regions and contact history with confirmed cases.
 - 2.2.4. Health Monitoring of Participants should be implemented. During shareholder meetings, if shareholders or staff show respiratory

symptoms, companies should help promptly send them to hospitals according to their disease prevention contingency plans.

2.2.5. Companies should review their disease prevention measures regarding shareholder meeting venues and ensure that their measures meet the requirements of disease prevention regulations.

3. Companies are required to comply with the government's disease prevention policies. Careful and thorough decisions regarding gift-giving at shareholder meetings should be made. If companies plan to distribute meeting gifts, they need to consider withholding their gifts until the curve is flattened.

4. On the Day of a Shareholder Meeting

4.1. Route Planning

4.1.1. Route planning and crowd management for check-ins, entries, and exits should all be properly planned. Signs should be clear enough for participants to identify different routes.

4.1.2. Crowd management should be reinforced in the check-in area and surrounding area. Participants are required to keep a distance of at least 1.5 meters from each other indoors and at least 1 meter from each other outdoors to avoid the risk of cluster infection.

4.2. Venue Planning

4.2.1. A cleaning and disinfection regimen for meeting venues before and after the events should be implemented. The frequency of disinfection of the restrooms and shared objects such as microphones and pens should be increased.

4.2.2. Notices for disease prevention should be put in place.

4.2.3. Hand sanitizers, disinfectant products, and other necessary disease prevention products should be provided for shareholders.

4.2.4. Venues of indoor gatherings should be well-ventilated. Continuous air monitoring for ventilation and replacement should be implemented.

4.3. Meeting Affairs Operation

4.3.1. To comply with disease prevention measures, shareholder services professionals are advised to process shareholder check-ins earlier, so

shareholders' rights to attending meetings will not be affected.

4.3.2. Name-based or contact-based systems should be adopted. Shareholders are required to provide their contact phone numbers or mobile phone numbers during check-ins.

4.3.3. Shareholders and staff inside and outside the shareholder meeting venues are required to wear masks at all times. Nobody is allowed to consume food or beverages. Staff number inside the venues should be properly reduced.

4.3.4. Companies are required to assign staff to take shareholders' temperature and **sanitize their hands** before they check in. Any shareholders without a mask, with a fever of or above 37.5°C for forehead temperature measured twice in a row, or with a fever of or above 38°C for ear temperature measured twice in a row will not be allowed to enter the shareholder meeting venues.

4.3.5. Shareholder meeting venues should use checkerboard seating or keep every other seat empty. Shareholders are required to be seated in the same chair. It is advised to keep a distance of at least 1.5 meters between each seat.

4.3.6. The total number of shareholders and staff that **a shareholder meeting venue accommodates should not exceed 20 people in each indoor place or 40 people in each outdoor place**. Otherwise, shareholders or staff should be guided to the backup meeting venues.

4.3.7. Shareholders should be able to keep track of meetings at all times in the backup meeting venues. They should also be able to speak and vote from the backup meeting venues.

4.4. Meeting Procedures

4.4.1. To contain the pandemic and avoid the risk of infection, shareholders are required to write down what they want to say on a speech note if they wish to speak.

4.4.2. Shareholders are required to keep their speeches concise when they wish to speak in the meeting venues. For the same motion, only two speeches are allowed for each shareholder. Chairs may interrupt

shareholders if one speech exceeds three minutes.

4.5. Exit Route Planning

When meetings are adjourned, shareholders should be guided to leave the venues according to the planned routes.

5. When convening shareholder meetings, companies are required to comply with the disease prevention regulations imposed by the competent authorities, i.e. MOHW Centers for Disease Control (CDC) and the local governments directing the areas where the venues are located.
6. The Taiwan Depository & Clearing Corporation (TDCC) may assign inspectors to meeting venues and examine the disease prevention measures on the day of a shareholder meeting. Companies cannot refuse or avoid such inspections.
7. The clauses of the *Guidelines* may be revised according to further announcements of the MOHW and CECC. Matters not covered should be subject to the MOHW *Guidelines for Large-Scale Public Gatherings*.