

Mega Financial Holding Co., Ltd. Employee Code of Conduct

Approved by the 7th Meeting of the 8th Board of Directors on 2019.1.22

Article 1 (Formulation purpose)

This Code of Conduct has been specially formulated to ensure that employees' behavior complies with the Company's standards towards integrity and ethical behavior, thereby establishing a corporate culture of ethical management at the Company.

Article 2 (Applicability)

This Code of Conduct is applicable to employees working at the Company and at subsidiaries directly or indirectly controlled by the Company.

Article 3 (Regulatory compliance)

Employees shall be aware of the laws and regulations as well as the Company's internal regulations that are applicable to their positions and shall strictly abide by them.

Article 4 (Avoidance of conflicts of interest)

Employees shall strictly abide by the principle of avoiding conflicts of interest and shall not take advantage their duties to obtain improper benefits for themselves, their spouses or relatives within the second degree of kinship, or major stakeholders.

Article 5 (Prohibition of unethical conduct)

Employees shall not for any reason offer, accept, promise, or request any improper benefits, including rebates or commissions, to or from the trading counterparts or customers of the Company or its subsidiaries.

Article 6 (Protection of company assets)

Employees shall ensure that the Company's assets remain effectively usable and shall not damage or waste them.

Article 7 (Protection of intellectual property rights)

Employees shall respect the intellectual property rights of others when performing their duties, and shall use intellectual property legally.

Patent rights, copyrights, and other rights for intellectual property created by employees while performing their duties shall belong to the Company. The Company shall have the right to use and publish them in the name of the Company.

Article 8 (Confidentiality duties)

Employees are obligated to keep Company information and customer information in strict confidence and shall not disclose them unless required by law or with prior approved. This restriction apply even after the employee has resigned from the Company.

Article 9 (Fairness in transactions)

Employees shall treat the Company's customers, suppliers, competitors with fairness. They shall not accept illegal requests or lobbying, and shall not manipulate, conceal, or abuse any information they have obtained from their work, make false statements on important matters, or engage in other unfair transactions.

Article 10 (Prohibition of discrimination)

Employees shall not discriminate against their colleagues or customers due to their nationality, race, class, language, ideology, religion, party, native place, place of birth, gender, sexual orientation, age, marriage status, appearance, facial features, physical or mental disabilities, etc.

Article 11 (Responsibility of anti-money laundering and countering the financing of terrorism)

Employees shall abide by laws and regulations related to anti-money laundering, countering of the financing of terrorism, and the counterproliferation of weapons, as well as relevant economic and trade sanctions. They shall be aware that if they violate the regulations mentioned above, the Company or themselves may be subjected to relevant laws concerning civil, criminal, and administrative liabilities.

Employees are obligated to block money laundering channels and shall not advise or assist others in money laundering. They are strictly prohibited from having improper associations or dealings with organizations or individuals involved in terrorist activities, drug trafficking, or money laundering.

Article 12 (Political contributions)

Employees shall comply with relevant laws and regulations when they

directly or indirectly provide gifts, sponsorships, or donations to political parties or organizations or individuals involved in political activities. They shall not seek commercial interests or trading advantages.

Article 13 (Information disclosure)

Employees shall not provide or disclose information or confidential data that have not been made public without authorization.

Article 14 (Prohibition of insider trading)

Employees shall not use undisclosed information in their knowledge to engage in insider trading, nor shall they disclose it to others, in order to prevent others from using the undisclosed information to engage in insider trading.

Article 15 (Reporting violations)

If employees discover any violations of laws or the Company's rules, he or she may file a non-anonymous report according to the Company's relevant reporting regulations.

Such reports made by employees shall not be anonymous, and the Company should protect the whistleblower from being mistreated or from unfair retaliation for reporting.

Article 16 (Punishment for violations)

If any employee violates the regulations stipulated in this Code of Conduct, the unit in charge of signing and transferring human resources in the employee's affiliated organization shall report it to the Company for punishment according the relevant regulations and seriousness of the case.

Article 17 (Other matters)

Matters not specified in this Code of Conduct shall be governed by applicable laws and regulations and the Company's regulations.

Article 18 (Implementation and amendment)

This Code of Conduct shall be implemented after being approved by the Board of Directors. The same applies when This Code of Conduct is revised.