

King's Town Bank Co., Ltd. Personal Data Management Goals and Policies

Formulated on January 17, 2022

Article 1 Purpose

In order to implement the protection and management of personal data and abide by the Personal Data Protection Act (hereinafter referred to as “PDPA”) and any relevant rules and regulations, King's Town Bank Co., Ltd. (hereinafter referred to as “the Bank”) has formulated the Personal Data Management Goals and Policies to mitigate possible impact incurred by incidents of personal data infringement.

Article 2 Scope

The Personal Data Management Goals and Policies (hereinafter referred to as “the Goals and Policies”) serve as the basic framework of the Bank’s personal data protection and management system, regulating the framework and establishment methods of the Bank’s personal data management, elaborating the personal data management goals and policies to be abided by all employees of the Bank, and specifying the roles and responsibilities of the employees in their work of planning, implementation, and continuous improvement of personal data management. The Goals and Policies shall be applicable to all employees of the Bank, and all the employees shall understand and abide by the Goals and Policies.

Article 3 Definition

- I. Personal data management system: With reference to the operating risks, the system is used to establish, practice, operate, monitor, review, maintain, and improve personal data management.
- II. Personal data incidents: The incidents refer to harm or threat to the Bank’s personal data caused intentionally, negligently, or by force majeure.
- III. Managerial officers: Managerial officers include the Board of Directors, managers, and supervisors of all departments.

Article 4 Duties and Responsibilities

In order to implement personal data protection and management, the Bank shall establish a “Personal Data Protection Execution Team” which should be responsible for regular reviews of personal data protection operations so as to ensure compliance with the PDPA and other related laws and regulations.

Article 5 Management Goals and Policies

- I. The Bank's personal data management goals are as follows:
 - (I) The Bank shall comply with all laws and regulations of ROCs personal data protection, and letters and orders issued by the competent authorities.
 - (II) The Bank shall protect the personality rights of the concerned parties and provide them with legal autonomy related to personal data protection.
 - (III) The collection, processing, and use of the personal data shall be conducted based on integrity, and trust within the necessary scope, and the specific purposes of the personal data collection shall have legitimate and reasonable relations to the incidents.
 - (IV) The Bank shall provide safety measures to the personal data protection to ensure the Bank may exercise its fiduciary duties, and due care.
- II. The Bank's personal data management policies are as follows:
 - (I) The collection, processing, and use of personal data can only be conducted within the necessary scope with the legitimate specific purposes, and only with the consent of the concerned parties, or under statutory circumstances.
 - (II) Personal data may only be kept as required by the law or for legitimate specific purposes.
 - (III) The concerned parties shall be clearly informed of the categories of personal data, time period, territory, recipients, and methods of the personal data are used, and other statutorily required matters of the collection of the personal data.
 - (IV) The Bank shall respect the right of a concerned party, which include making an inquiry of, review, requesting a copy of, supplementing or correcting, demanding the cessation of the collection, processing or use of, and erasing his/her personal data.
 - (V) The Bank shall keep a list of all personal data.
 - (VI) The Bank shall ensure the correctness of personal data and make updates when necessary.
 - (VII) The Bank shall ensure the safety of all personal data and be equipped with adequate transmitting mechanisms to ensure domestic and international transmission of personal data.
 - (VIII) When entrusting a third party to collect, process, and use the personal data, relevant rules and regulations of the Banks are applicable to the said entrustee.

- (IX) When establishing and implementing the personal management system, the Bank shall implement personal data management policies.
- (X) The Bank shall clearly specify the duties and responsibilities of all the Bank's employees regarding the operation of the personal data management system.

Article 6 Personal Data Management Operation System

The personal data management system adopts the cyclic operation model of "Plan-Do-Check-Act (PDCA)" as detailed below:

I. Plan

Based on the Bank's overall strategy and goal, control potential threats and weaknesses and plan risk assessment and safety control mechanisms by establishing a personal data management organization so as to establish the personal data management system

II. Do

Establish or revise required control mechanisms based on the planning results.

III. Check

Monitor the implementation of all personal data management system operations, and review the achievement of personal data management goals.

IV. Act

Conduct correction and preventive measures based on the results and suggestions of the check results. Improve and execute required control mechanisms so as to maintain the operation of the personal data management system.

Article 7 Responsibilities of the Managerial Officers

Regarding the planning, establishment, implementation, operation, monitoring, review, maintenance, and improvement of all personal data management operations, the managerial officers shall formulate and promise to comply with the following matters:

- I. Approve the Personal Data Management Goals and Policies.
- II. Regulate the roles and responsibilities of personal data management.
- III. Provide necessary resources for all operations of the personal data protection and management system.
- IV. Specify the risk level and corresponding control measures of the personal data held by the Bank.
- V. Execute the management review of personal data protection and management system.

- VI. Establish and plan personal data protection and management measures.
- VII. Establish the processing principles and emergency countermeasures for personal data incidents (including methods to control the damage to the concerned party, the methods to inform the concerned party after the investigation has concluded, the content to be informed to the concerned party such as the incidents and countermeasures taken, and consulting hotline).
- VIII. Require the supervision, establishment, and implementation of the personal data management system based on the Goals and Policies.

Article 8 Review of the Personal Data Management System

The Bank carries out personal data management system assessment or review operation on a regular or occasional basis, or when major changes take place.

Article 9 Continued Improvements to the Personal Data Management System

The Bank shall strive to attain the personal data management goals with the assist of review results and preventive correction measures.

Article 10 Guidance and Review of the Policies

The Goals and Policies shall be evaluated at least annually to reflect the statutory laws and regulations, information technology, and the latest development of the Bank's operations, so as to ensure the achievement of personal data management goals.

Article 11 Regulatory Compliance

All employees of the Bank shall comply with the Goals and Policies, and any violators shall be punished. All employees shall assume the duty of personal data protection (including the duty of confidentiality), and continue after the termination of employment.

Article 12 Supplemental provisions

- I. The formulation and revision of the Goals and Policies shall be disclosed in a reasonable manner to ensure that the concerned parties are aware of their rights, and shall be included in the Bank's internal control and review system management.
- II. Matters not specified in the Goals and Policies shall be handled in accordance with the relevant laws and regulations and the Bank's relevant regulations.
- III. The Goals and Policies shall become effective upon resolution at the board meeting, and amendments thereafter shall be approved by the President.