



受理檢舉管道

本行對於建立誠信、透明的企業文化及促進健全經營等議題非常重視，如您發現本行人員有犯罪、舞弊、違反法令之行為或不誠信行為，可透過以下方式及管道與我們聯繫：

檢舉方式及管道

- 電話：(02)5573-2225
- 電子信箱：whistleblowing@ctbcbank.com（本行檢舉信箱）/
ctbcbankchairman@ctbcbank.com（董事長信箱）
- 信件收件地址：115 臺北市南港區經貿二路 168 號 23 樓「中國信託銀行法令遵循處檢舉信箱」收

檢舉人須知

為加速案件之受理及調查，惠請檢舉人於檢舉時提供聯絡方式或可供調查之具體事證供本行查證，如有下列情形，本行得不予受理：

1. 檢舉人未檢附可供調查之具體事證。
2. 檢舉內容非屬本行人員有犯罪、舞弊、違反法令之虞、違反本行誠信經營守則或道德行為準則等行為之受理類型(包括：被檢舉人非本公司或子公司人員，或檢舉內容不涉及違法或不誠信行為等)。
3. 與本行或子公司業務無關者。
4. 檢舉內容屬惡意攻訐、虛偽不實或顯無理由者。
5. 同一檢舉內容業經確認不予受理或已調查審議結案，且檢舉人未提出新具體事證證明有重啟調查之必要者。
6. 檢舉內容已進入司法偵查或調查程序，或業經提起訴願，或已於法院訴訟繫屬中，或業經法院判決或裁定，或已成立調處、和解、調解或仲裁判斷者。
7. 檢舉內容(如：勞資爭議、性騷擾、客訴等)於本行或子公司已訂有申訴或相關處理程序者。
8. 依規定轉請子公司辦理者。

對檢舉人的保護及表揚



中國信託銀行
CTBC BANK

本行受理、調查或其他參與檢舉案件處理的人員，對於檢舉人的身分及檢舉案件的內容，均負有保密義務。違反者，本行得終止其參與案件之調查與處理，並視情節進行懲處及追究責任。

本行不因所屬人員提出檢舉或協助他人檢舉而對其為不利處分。但為因應業務、經營需求之組織改組、整併、裁撤或人力調動，非針對檢舉人個人之處置，或檢舉人有違法或不當之行為，經本行查證屬實而依相關規定懲處者，不在此限。

檢舉人如遭受他人威脅、恐嚇或其他不利行為，經檢舉人要求時，本行將協助檢舉人報請警察機關處理。

檢舉案件經查證屬實且對本行貢獻及所產生之經濟效益重大者，本行將依內部規定給予表揚或適當獎勵。



中國信託商業銀行檢舉表

本表格為供檢舉人檢舉本行之犯罪、舞弊、違反法令之虞、違反誠信經營守則、道德行為準則等行為。為妥適調查檢舉事項，請檢舉人提供相關資訊，以利本行受理。

	項目	填寫內容
檢舉人基本資料	姓名（可匿名）	
	身分證字號	
	通訊地址	
	聯絡電話	
	電子郵件	
檢舉對象（被檢舉人）	姓名	
	所屬單位	
	職稱	
	從事業務	
其他案關人員姓名或資訊		
檢舉案相關資訊	本案是否已進入法律程序？ <input type="checkbox"/> 是 <input type="checkbox"/> 否	
	您是否曾經向金融主管機關或其他機構檢舉過？ <input type="checkbox"/> 是 <input type="checkbox"/> 否	
	如果您曾經檢舉過，請說明下列事項：	
	(1)曾檢舉的機構及第一次檢舉時間： <input type="checkbox"/> 金融主管機關，____年____月____日。 <input type="checkbox"/> 其他，機構名稱：_____，____年____月____日。 (2)該機構是否已對於您的檢舉作出回應？ <input type="checkbox"/> 金融主管機關： <input type="checkbox"/> 是 <input type="checkbox"/> 否 <input type="checkbox"/> 其他機構： <input type="checkbox"/> 是 <input type="checkbox"/> 否 (3)該機構回應內容：（如有書面資料，請提供相關資料影本）	



中國信託銀行
CTBC BANK

檢舉內容	事實經過（包含事實內容、發生時間及地點，並檢附可供調查之具體事證，如：單據、憑證、合約、信函、錄音、錄影、相片等，本欄如不敷填寫可附另頁）
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關於您的檢舉，請您瞭解下列事項：

當您提供本檢舉表及相關資料時，視同您已充分瞭解本行得於處理檢舉案件之範圍內，依法令規定蒐集、處理及利用您的個人資料，您亦得依「個人資料保護法」第三條行使當事人權利，包括請求查詢、閱覽、製給複製本、補充、更正等權利，以維護自身權益。

日期：_____年____月____日

檢舉人：_____



Whistleblowing channels

CTBC Bank is committed to maintaining an honest, transparent corporate culture and promoting sound business operations. Should you discover any criminal, fraud/corruption, illegal or dishonest conduct, we encourage you to report it to us via any of the following whistleblowing channels:

Whistleblowing channels

- Phone: (02)5573-2225
- Email: whistleblowing@ctbcbank.com (Whistleblowing Mailbox)/
ctbcbankchairman@ctbcbank.com (Chairman Mailbox)
- Post: Attn: Complaint Mailbox, Compliance Division, CTBC Bank
23F., No.168, Jingmao 2nd Rd., Nangang Dist., Taipei City 115

Notices to Whistleblower

To facilitate a speedy investigation, please provide contact information and/or any concrete evidence regarding your report. Your report may not be accepted by CTBC Bank if:

1. The whistleblower does not provide concrete facts and evidence for investigation;
2. The content of the complaint does not fall under suspected of committing a crime, fraud/corruption, violation of laws or regulations, or violating the Bank's Ethical Corporate Management Best Practice Principles or Code of Ethical Conduct (including the situation where the accused person is not a personnel of the Bank or subsidiary company, or the complaint does not involve any violation of laws and regulations or unethical conduct and so on);
3. The content of the complaint is not relevant to the business of the Bank or subsidiary company;
4. The contents of the complaint are malicious, fraudulent, or obviously groundless;
5. The same content of the complaint has already been confirmed as unacceptable or concluded as closed after investigation, and no concrete new evidence has been provided to demonstrate the need to reopen the investigation;
6. The content of the complaint is undergoing judicial investigation or an administrative appeal process, is pending in a court, has already been determined by a court judgment or ruling, or has already been settled through mediation, conciliation, or arbitration process;



7. The complaint involves issues (such as labor disputes, sexual harassment, customer complaints, etc.) that shall be handled in accordance with grievance or other relevant procedures of the Bank or subsidiary companies;
8. The case has been transferred to the subsidiary company for further handling.

Protection and incentives for Whistleblower

Company personnel who accept, investigate, or otherwise engage in the handling of reports shall keep the identities of whistleblowers and the content of their reports confidential. Anyone who violates this confidentiality faces removal from the relevant investigation and disciplinary action, depending on the seriousness of the case.

CTBC Bank will not disadvantage an employee for making a report or assisting others in making a report. However, this restriction does not apply to the circumstances that CTBC Bank requires reorganization, consolidation, dismissal or staffing change in response to business and business needs, which is not aimed at the personal disciplinary actions of the whistleblower, or if the whistleblower has committed illegal or improper acts, which is verified by the Bank to be true, then disciplinary actions will be taken.

If the whistleblower is being threaten, intimidated, or experiencing any adverse actions, upon his/her request, the Bank shall assist the whistleblower to report such to the police.

If the whistleblowing case is verified to be true and makes significant contribution in terms of economic benefits to the Bank; CTBC Bank will give praise or rewards in accordance with internal rules.



Whistleblower Report Form

This form is designed for the reporting of any crime, fraud, violation of laws or regulations, or violation of the Ethical Corporate Management Best Practice Principles or Code of Ethical Conduct and so on. To facilitate a proper investigation, please provide necessary information for us .

Item		Content
Your information	Name*	
	ID number	
	Address	
	Telephone no.	
	Email	
Information of the accused	Name	
	Department/company	
	Title	
	Job description	
Name(s) or other information related to the case		
Relevant information	Does this case involve ongoing legal proceedings? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	Have you reported this case to a competent financial authority or any association/institution? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<p>If you have reported this case to a competent financial authority or any association/institution, please provide the following information:</p> <p>(1) When and to which authority/association/institution did you first report the case:</p> <p><input type="checkbox"/> Name of competent financial authority: _____; Date: (dd/mm/yyyy) _____</p> <p><input type="checkbox"/> Name of association/institution: _____; Date: (dd/mm/yyyy) _____</p> <p>(2) Has the authority/association/institution responded to your report?</p> <p><input type="checkbox"/> Financial competent authority: <input type="checkbox"/>Yes <input type="checkbox"/>No</p> <p><input type="checkbox"/> Association/institution: <input type="checkbox"/>Yes <input type="checkbox"/>No</p> <p>(3) If so, what was the response (please provide a copy of any relevant written response):</p>	

* CTBC Bank allows anonymous whistleblowing



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Report content	Tell us what happened, including where and when with specific facts that can be further investigate, such as receipts, certificates, contracts, letters, audio recordings, video recordings, photographs and so on; you may attach additional pages if necessary.
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Please note the followings that concerns your whistleblowing act:

In the course of handling your report, CTBC Bank may collect, process, and use your personal information in accordance with relevant laws and regulations. You may exercise the rights provided in the Personal Information Protection Act regarding your own information held by CTBC Bank, such as the right to inquire, review, and request duplicate copies of personal information and the right to supplement or rectify the personal information.

Date: _____
(dd/mm/yyyy)

Whistleblower: _____
(sign)