

Procedures for Investigating Whistleblowing Cases by the Task Force (Translation)

Article 1: Basis for Formulation

These procedures are formulated in accordance with Article 5 of the "Regulations Governing Realtek Internal (External) Personnel Whistleblowing on Illegal or Immoral Behaviors".

Article 2: Purpose of Formulation

The objective of formulating these procedures is to establish a standardized investigation process for handling whistleblowing cases, safeguarding the legal rights and interests of both the whistleblower and the reported individual.

Article 3: Scope of Application

These procedures are applicable when any department within Realtek or responsible personnel of reporting channels receive reports of illegal or unethical conduct from either internal or external individuals. If the provided information is deemed relevant and essential for investigation, the report will be further forwarded to the audit unit for thorough processing.

Article 4: Composition of the Task Force

1. Upon receiving a report, the audit unit will evaluate the nature of the reported incident and the hierarchical level of the reported individual's unit to establish a task force to investigate the whistleblowing cases (hereafter referred to as the Task Force).
2. The Task Force should comprise, at minimum, the department supervisor to which the reported individual belongs, a representative from the ethical management unit, and any other pertinent supervisors that may be required.

Article 5: Investigation Timeline

1. Date of acceptance: The date of acceptance is considered the day when the audit unit receives the information provided by the whistleblower.
2. The Task Force is responsible for completing the investigation within 90 days from the date of acceptance. If additional time is required beyond the initial 90 days, an extension of the investigation period may be granted with the approval of the CEO.

Article 6: Methods and Procedures for Conducting Investigations

1. The verification of reported cases shall be conducted through methods such as telephone, mail, or interviews, based on the requirements of each specific case. A detailed record of the verification process and its findings will be documented and kept from the date the case is accepted until the investigation is concluded.
2. If the Task Force review panel confirms the reported individual's violations before the investigation is concluded, they must promptly request the reported individual to stop the relevant behavior. If deemed necessary, the reported individual's partial or entire duties may be temporarily suspended to prevent the situation from deteriorating.
3. Files provided by whistleblower should be protected by encryption. During the investigation, the transmission and access of these files should be limited to the personnel directly involved in the investigation process.
4. The findings of the investigation must be documented in writing and preserved for a period of five years, which can be done electronically. If a lawsuit related to the report arises before the expiration of the preservation period, the relevant documents must continue to be preserved until the litigation concludes.

Article 7: Follow-up Measures

1. If the reported case is verified as true by the Task Force, the internal audit unit will conduct a project audit of the relevant internal control systems and operational procedures, and propose improvement suggestions to prevent the recurrence of similar incidents. The related processes will be carried out in accordance with Realtek's internal control system and internal audit system.
2. If the Task Force concludes that the whistleblowing cases warrants legal action for damages, the relevant evidence shall be handed over to the company's legal unit for handling.

Article 8: Implementation and Amendments

These procedures shall be implemented upon approval by the Chairman or Chairman's authorized representative, with amendments following the same procedure.