

## Lumosa Therapeutics “Workplace” Sexual Harassment Prevention, Appeals and Disciplinary Measures

1. Lumosa Therapeutics (hereinafter referred to as “the Company”) provides a working environment free from sexual harassment for personnel (including employees, dispatched employees and interns) and job seekers. The Company adopts appropriate prevention, correction, reprimanding, and handling measures to protect the rights and privacy of the parties. These measures are formulated in accordance with Article 13 Paragraph 1 of the Gender Work Equality Act and the "Criteria for Complaints and Disciplinary Measures for the Prevention and Treatment of Sexual Harassment in the Workplace" promulgated by the Ministry of Labor.
2. The term “sexual harassment” as mentioned in these Measures is defined in Article 12 of the Gender Work Equality Act, which refers to any person (including supervisors, employees, customers at all levels, etc.) requesting and possessing sexuality when performing their duties. Or gender-discriminatory words or actions that create a hostile, coercive or offensive working environment for the person, infringe or interfere with one’s personal dignity, personal freedom, or affect one’s work performance; or the supervisor expressly expresses to the former expositors and job applicants; or implied sexual requirements, sexually or gender-discriminatory words or behaviors, as a condition of exchange for the establishment, survival, alteration or distribution, allocation, remuneration, performance appraisal, promotion, downgrading, rewards and punishments of the labor service contract.  
Conducts of sexual harassment include the following:
  - 2.1 Attitudes and behaviors that are insulting, contemptuous or discriminatory due to gender differences.
  - 2.2 Inappropriate, unpleasant, offensive language, body, touch, or sexual demands related to sexual act.
  - 2.3 Use threats or punishments to demand sexual acts or acts related to sexual act.
  - 2.4 Compulsory intercourse and sexual assault.
  - 2.5 Display pictures and texts with sexual connotation or sexual temptation.
3. The Company shall prevent the occurrence of sexual harassment in the workplace, protect employees from the threat of sexual harassment, establish a friendly working environment, and promote the concept of gender equality between supervisors and employees. In the event of sexual harassment or suspected circumstances  
In time, the prevention and control measures should be reviewed and improved immediately. If the before-mentioned personnel work in a workplace that is not under the control and management of the employer, the employer should identify the type of sexual harassment risk in the work environment, provide necessary protective measures, and inform in advance.
4. The Company shall establish channels for complaints of sexual harassment in the workplace, and publicly disclose and print relevant information to all employees in a prominent place in the workplace. (Please clearly list the dedicated line and dedicated mailbox receiving address for internal appeals)  
Telephone number: 02-26557918 ext.5728  
Designated mailbox: 885@lumosa.com.tw
5. The Company should use various means of transmission of information such as gatherings, broadcasts and printed materials to strengthen the promotion of relevant sexual harassment prevention measures and complaint channels; and regularly implement education and training on prevention of sexual harassment in the workplace, and rationally plan for gender equality and gender equality in on-the-job

training or workshops. Sexual harassment prevention and control courses, and related information is publicly disclosed in prominent places in the workplace.

6. The Company will take immediate and effective corrective and remedial measures upon learning the occurrence of sexual assault or harassment, as listed below:
  - 6.1 Protect the rights and the privacy of the victims.
  - 6.2 Conduct maintenance or improvement for better security of the area.
  - 6.3 Reprimand the perpetrators.
  - 6.4 Conduct other prevention and improvement measures deemed appropriate.
7. The Company has set up a Workplace Sexual Harassment Complaint Committee (hereinafter referred to as the Committee), which is composed of employers and employees' representatives, and is responsible for handling workplace sexual harassment complaints. The Workplace Sexual-Harassment Complaint Committee shall have a chairman and the chairman of the meeting. If the chairman is unable to preside over the meeting for some reason, the chairman may appoint another committee member to act as the chairman's agent; three to seven committee members shall be appointed, and experts and scholars shall be hired as committee members as necessary. Female member representatives shall not be less than one-half of the committee. If a dispatched worker suffers from sexual harassment while performing the duties, the Company will accept the complaint and conduct a joint investigation with the dispatching institution and notify the dispatching institution and the parties of the results.
8. Complaints of sexual harassment can be filed in verbally or in writing. In case of a verbal complaint, the person or the unit that accepts the complaint shall keep a record, which shall be signed or sealed by the complainant after reading or reading it to the complainant and confirming that the content is correct. The petition should be signed or sealed by the petitioner, and should include the following items:
  - 8.1 The name of the complainant, service unit and title, residence, contact number, and date of the complaint.
  - 8.2 If there is an agent, the letter of appointment should be attached, and the name, residence, and contact number should be stated.
  - 8.3 The facts and content of the complaint.

If the record of the complaint or statement does not conform to the example in the preceding paragraph, and the circumstances can be supplemented and corrected, the complainant shall be notified to supplement and correct within 14 days. If no correction is made within the time limit, the appeal will not be accepted.

9. Before the Workplace Sexual Harassment Complaint Committee makes a resolution, the complainant or the authorized agent may withdraw the complaint in writing; if the complaint is withdrawn, the complainant shall not make another complaint for the same reason.
10. The Company shall follow the following investigation principles when investigating incidents of sexual harassment:
  - 10.1 The investigation of sexual harassment incidents should be conducted in a closed manner, and the investigation process should protect the privacy and personal legal interests of the parties.
  - 10.2 The investigation of sexual harassment incidents should adhere to the principles of objectivity, fairness, and professionalism, and give the parties the opportunity to fully state their opinions and reply.
  - 10.3 If the victim's statement is clear and there is no need to interrogate, repeated interrogations should be avoided.

- 10.4 In the investigation of sexual harassment incidents, the parties concerned and related persons shall be notified to explain on the scene, and relevant knowledge and experience persons may be invited to assist.
  - 10.5 When the parties or witnesses of a sexual harassment incident have unequal powers, confrontation should be avoided.
  - 10.6 The investigator may, if required for the investigation, prepare additional written materials without violating the obligation of confidentiality, and submit them to the parties for reading or summary.
  - 10.7 All personnel handling sexual harassment incidents shall keep confidential the names of the parties or other information sufficient to identify them, except for those necessary for investigation or based on public safety considerations.
  - 10.8 In the process of appealing, investigating, gathering information, or hearing sexual harassment incidents, persons who appeal, tell, report, file a lawsuit, testify, provide assistance, or participate in other acts shall not be treated as undue differential treatment.
11. Personnel involved in handling, investigating and resolving sexual harassment incidents shall keep confidential the content of complaints. The chairman of the Workplace Sexual Harassment Complaint Committee shall terminate the participation of the violators, and the Company may, depending on the circumstances, discipline and pursue relevant responsibilities in accordance with relevant regulations, and terminate their selection and employment.
  12. The Workplace Sexual Harassment Complaint Committee shall close the case within two months from the filing of the complaint; if necessary, the case may be extended for additional month and the parties concerned shall be notified. The results of the investigation shall be made into a decision with reasons, and may be made into disciplinary or other handling recommendations.

The Committee shall have more than half of the members present before the meeting can be held, and the approval of more than half of the present members shall be adopted before the resolution can be made. The Chairman shall decide when the votes are equal in both sides.

The resolution of the Committee shall be notified in writing to the complainant, the counterparty of the complaint and the company, and it shall be noted that those who disagree with the resolution may submit an appeal to the Committee within 20 days from the day after the resolution is served to the parties.

However, for the appeals that occurs or is known in the later time, the date should be counted from the day that is acknowledged.

The application for appeals shall be accompanied by written reasons, and the Committee shall convene another meeting to resolve the matter. After the case is closed, no further appeals may be filed for the same reason.

13. In any of the following circumstances, the party concerned shall file an appeal against the resolution of the Committee:
  - 13.1 The appeals and the stated reasons are contradictory.
  - 13.2 The organization of the Committee is illegal.
  - 13.3 Participation in decision-making by members who should be avoided under Article 15 of the Guidelines for the Prevention and Control of Sexual Harassment.
  - 13.4 The Committee members who participated in the resolution have been determined by the guilty verdict in a criminal offence regarding the violation of their duties in the appealed case.

- 13.5 The conclusion is made according to a false statement of witness.
  - 13.6 The conclusion is made according to fake evidence.
  - 13.7 The conclusion is made according to a court ruling and the ruling has to be modified afterwards.
  - 13.8 New evidence is found afterwards.
  - 13.9 The conclusion missed to take important evidence into account.
14. If the behavior of sexual harassment is confirmed by investigation, the Company may, depending on the severity of the case, deal with the counterparty of the complainant as transfer, demotion, salary reduction, punishment or other treatment in accordance with relevant regulations such as working rules. If criminal liability is involved, the company shall also assist the complainant in filing a complaint. If the act of sexual harassment is proved to be a false accusation, the company may, depending on the seriousness of the circumstances, punish or deal with the complainant as appropriate in accordance with work rules and other relevant regulations.
  15. The Company shall follow up, evaluate and supervise the resolutions of the Committee to ensure the effective implementation of disciplinary or handling measures and avoid the occurrence of the same incident or retaliation.
  16. For those who need counseling, medical treatment or legal assistance, the Company may actively refer or provide professional counseling, medical institutions or legal assistance.
  17. The Company will not dismiss, transfer or take other unfavorable sanctions for the filing of the complaints or in the assistance of others in complaints.
  18. If the perpetrator of sexual harassment is not an employee of the Company, the Company shall provide due protection accordingly.
  19. Matters not covered in these Measures shall be handled in accordance with the Gender Equality in Work Law. If there is a violation of the Gender Equality in Work Law, the violation will be invalid.
  20. The measures are implemented after approval and promulgation by the human resources department. The same shall apply to the revision of this Measure.