

## TaiGen Biopharmaceuticals Holdings Limited

### 太景醫藥研發控股股份有限公司

#### Rules for Prevention of Insider Trading

#### 防範內線交易辦法

- Chapter 1            General Rules  
第一章            總則
- Article 1            The Rules for Prevention of Insider Trading (the "Rules") are specially adopted to establish sound mechanisms for the handling and disclosure of material inside information of TaiGen Biopharmaceuticals Holdings Limited and its affiliated companies (together as the "Company") in order to prevent improper information disclosures and to ensure the consistency and accuracy of information released by the Company to the public.  
第一條            為建立本公司及本公司之從屬公司（以下合稱「本公司」）良好之內部重大資訊處理及揭露機制，避免資訊不當洩漏，並確保本公司對外界發表資訊之一致性與正確性，特制定本辦法，以資遵循。
- Article 2            The Company shall implement its handling and disclosure of material inside information in accordance with applicable laws and regulations, the rules and regulations of the Taiwan Stock Exchange Corporation or the Taipei Exchange and the Rules.  
第二條            本公司辦理內部重大資訊處理及揭露，應依有關法律、命令及臺灣證券交易所或證券櫃檯買賣中心之規定及本辦法辦理。
- Article 3            The Rules are applicable to the Company's directors, supervisors, managers, and employees.  
第三條            The Company shall request any other person who has learned about the Company's material inside information due to their identity, occupation, or relationship of control to comply with the relevant provisions of the Rules.  
本辦法適用對象包含本公司之董事、監察人、經理人及受僱人。  
其他因身分、職業或控制關係獲悉本公司內部重大資訊之人，本公司應要求其遵守本辦法相關規定。
- Article 4            The so-called material inside information provided in the Rules refers to the material information defined in the Securities Exchange Act and related laws, orders, and the by-laws of Taiwan Stock Exchange Corporation or Taipei Exchange.  
第四條            本辦法所稱之內部重大資訊係指證券交易法及相關法律、命令暨臺灣證券交易所或證券櫃檯買賣中心相關規章所稱重大訊息。

Article 5  
第五條

The Company should establish an unit designated to handle material inside information. The responsible unit shall be composed of an adequate number of competent members based on the size, business conditions and management needs of this Company and shall be approved by the Board of Directors. The unit shall have the following functions and authorities:

1. Responsible for the preparation and amendment of the Rules;
2. Responsible for receiving inquiries in connection with the methods of handling material inside information and for the consultation, review, and recommendations related to the Rules;
3. Responsible for receiving and processing reports on material inside information leakage;
4. Responsible for the preservation of all documents, files, and electronic records relating to the Rules;
5. Other activities related to the Rules.

本公司應設置處理內部重大資訊專責單位，並依公司規模、業務情況及管理需要，由相關單位主管指派適任及適當人數之成員組成，其職權如下：

- 一、負責擬訂、修訂本辦法。
- 二、負責受理有關內部重大資訊處理作業及與本辦法有關之諮詢、審議及提供建議。
- 三、負責受理及處理有關洩漏內部重大資訊之報告。
- 四、負責保存本辦法有關之所有文件、檔案及電子紀錄等資料。
- 五、其他與本辦法有關之業務。

Chapter 2  
第二章

Procedures for Maintaining Confidentiality of Material Inside Information  
內部重大資訊保密作業程序

Article 6  
第六條

The Company's directors, supervisors, managers, and employees should exercise the due care and fiduciary duty of a good administrator and act in good faith when performing their duties, and should comply with the Company's confidentiality policy.

The Company's directors, supervisors, managers, and employees who have knowledge of the Company's material inside information may not disclose it to any third party.

The Company's directors, supervisors, managers, and employees may not inquire about or collect the Company's non-public material inside information irrelevant to their individual duties from the person who has knowledge of such material inside information, nor may they disclose to others any non-public material inside information of the Company of which they become aware for reasons other than the performance of their duties.

本公司董事、監察人、經理人及受僱人應以善良管理人之注意及忠實義務，本誠實信用原則執行業務，並遵守公司保密政策。

知悉本公司內部重大資訊之董事、監察人、經理人及受僱人不得洩露所知悉之內部重大資訊予他人。

本公司之董事、監察人、經理人及受僱人不得向知悉本公司內部重大資訊之人探詢或蒐集與個人職務不相關之公司未公開內部重大資訊，對於非因執行

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業務得知本公司未公開之內部重大資訊亦不得向其他人洩露。

- Article 7  
第七條
- The Company's material inside information that is conveyed in writing, through e-mail, or other electronic means should be properly protected.  
A backup copy should be made for the Company's material inside information and stored in a safe place.  
本公司內部重大資訊檔案文件以書面傳遞或電子郵件或其他電子方式傳送時，應有適當之保護。  
公司內部重大資訊之檔案文件，應備份並保存於安全之處所。
- Article 8  
第八條
- The Company shall ensure the establishment of the firewalls stated in the preceding two Articles with the following measures adopted:  
1. Adopt appropriate firewall control measures and have them tested regularly.  
2. Enhance measures for custody and maintaining the confidentiality of files and documents containing non-public material inside information of the Company.  
本公司應確保前二條所訂防火牆之建立，並採取下列措施：  
一、採行適當防火牆管控措施並定期測試。  
二、加強公司未公開之內部重大資訊檔案文件之保管、保密措施。
- Article 9  
第九條
- The institutions or personnel other than the Company and the Company's staff that have participated in the Company's mergers and acquisitions, substantial memorandum of understanding, strategic alliance, other business cooperation plans or the execution of important contracts should sign a confidentiality agreement and shall not disclose the Company's material inside information to any third party.  
本公司以外之機構或人員因參與本公司併購、重要備忘錄、策略聯盟、其他業務合作計畫或重要契約之簽訂，應簽署保密協定，並不得洩露所知悉之本公司內部重大資訊予他人。
- Chapter 3  
第三章
- Procedures for Disclosing Material Inside Information  
內部重大資訊揭露之處理程序
- Article 10  
第十條
- The Company shall have its material inside information disclosed in compliance with the following principles:  
1. Information is disclosed accurately, completely and timely.  
2. Information disclosure is according to well-founded basis.  
3. Information is disclosed fairly.  
本公司對外揭露內部重大資訊應秉持下列原則：  
一、資訊之揭露應正確、完整且即時。  
二、資訊之揭露應有依據。  
三、資訊應公平揭露。
- Article 11  
第十一條
- Unless otherwise provided by law or regulations, the disclosure of material inside information should be handled by the Company's spokesperson or the deputy spokesperson acting in such capacity in a confirmed sequential order.

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When necessary, the disclosure can be handled directly by the responsible person of the Company.

The statement made by the Company's spokesperson or deputy spokesperson is limited to the scope of Company's authorization. Also, except for the responsible person, spokesperson and deputy spokesperson, all unauthorized personnel may not disclose any material inside information to the public.

本公司內部重大資訊之揭露，除法律或法令另有規定外，應由本公司發言人或代理發言人處理，並應確認代理順序；必要時，得由本公司負責人直接負責處理。

本公司發言人及代理發言人之發言內容應以本公司授權之範圍為限，且除本公司負責人、發言人及代理發言人外，本公司人員，非經授權不得對外揭露內部重大資訊。

Article 12  
第十二條

The Company shall keep records of the following in respect of any disclosure of information to the public:

1. The person disclosing the information, the date, and the time;
2. How the information is disclosed;
3. What information is disclosed;
4. What written material is delivered;
5. Other related information.

公司對外之資訊揭露應留存下列紀錄：

- 一、 資訊揭露之人員、日期與時間。
- 二、 資訊揭露之方式。
- 三、 揭露之資訊內容。
- 四、 交付之書面資料內容。
- 五、 其他相關資訊。

Article 13  
第十三條

If any content released by the media agency is inconsistent with which disclosed by the Company, the Company shall immediately issue a clarification on the Market Observation Post System (MOPS) and, if necessary, request the media agency to correct the information.

媒體報導之內容，如與本公司揭露之內容不符時，本公司應即於公開資訊觀測站澄清，必要時向該媒體要求更正。

Chapter 4  
第四章

Handling of Unusual Events  
異常情形之處理

Article 14  
第十四條

The Company's directors, supervisors, managers, and employees who become aware of any unauthorized disclosure of material inside information shall report it to the responsible unit and the internal audit department of the Company as soon as practicable.

Upon receipt of the report made pursuant to the preceding paragraph, the responsible unit shall formulate corresponding measures. Where necessary, it may invite members from the internal audit and other departments to meet for discussion of the measures, and shall keep a record of the results of the

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measures for future reference. The internal auditors shall also perform such audits as their duties may require.

本公司董事、監察人、經理人及受僱人如知悉內部重大資訊有洩漏情事，應儘速向專責單位報告。

專責單位於接受前項報告後，應擬定處理對策，必要時並得邀集內部稽核等部門商討處理，並將處理結果做成紀錄備查，內部稽核亦應本於職責進行查核。

Article 15  
第十五條

The Company shall hold the relevant personnel responsible for any of the following circumstances and take appropriate legal measures against such personnel accordingly:

1. The Company's personnel discloses material inside information without authorization or is in violation of the Rules or other regulations or laws.

2. The statement made by the Company's spokesperson or deputy spokesperson is beyond the scope authorized by the Company or is otherwise in violation of the Rules or other laws and regulations.

Regarding the unauthorized disclosure of the material inside information made by person other than the Company that is detrimental to the Company's property or interest, the Company shall pursue appropriate measures to hold the person divulging the information legally liable.

有下列情事之一者，本公司應追究相關人員責任並採取適當法律措施：

一、本公司人員擅自對外揭露內部重大資訊或違反本辦法或其他法令規定者。

二、本公司發言人或代理發言人對外發言超過本公司授權範圍或違反本辦法或其他法令規定者。

本公司以外之人如有洩漏本公司內部重大資訊之情形，致生損害於本公司財產或利益者，本公司應循相關途徑追究其法律責任。

Chapter 5  
第五章

Internal Control Procedures and Internal Educational Propaganda  
內部控制作業及內部教育宣導

Article 16  
第十六條

The Rules are included in the Company's internal control system. Internal audit staff should regularly check on the compliance of the Rules and prepare an audit report to substantiate the implementation of the Rules.

本辦法納入本公司內部控制制度，內部稽核人員應定期瞭解其遵循情形並作成稽核報告，以落實本辦法之執行。

Article 17  
第十七條

The Company shall arrange the educational propaganda of the Rules and relevant laws for the directors, supervisors, managers and employees at least once a year.

The educational propaganda should be arranged for the new directors, supervisors, managers and employees timely.

本公司每年至少一次對董事、監察人、經理人及受僱人辦理本辦法及相關法令之教育宣導。

對新任董事、監察人、經理人及受僱人應適時提供教育宣導。

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Chapter 6  
第六章

Annex  
附則

Article 18  
第十八條

The Rules are implemented with the approval of the Board of Directors, so are their amendments.

本辦法經董事會通過後實施，修正時亦同。