

Intellectual Property Management Report

This report has been submitted to the 8th meeting of the 16th Board of Directors on 2024/11/05

1. Implementation of the Taiwan Intellectual Property Management System (TIPS)

- **Passed the on-site audit for TIPS certification on 2024/10/11**

To enhance the effectiveness of the company's intellectual property management and improve the intellectual property management system, the Taiwan Intellectual Property Management System (TIPS) was implemented this year. A task force was also established to focus on "trademarks" and promote TIPS certification efforts. On 2024/10/11, the company successfully passed the on-site audit, becoming the first in the engineering and technical services industry to obtain TIPS certification.



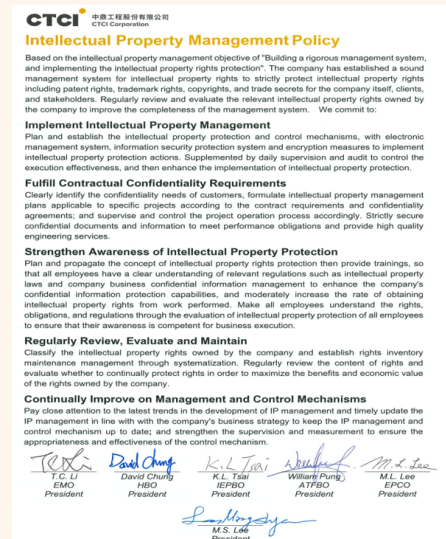
Pic. 1 - Opening Meeting of TIPS Certification On-Site Audit

2. Intellectual Property Management Policy and Objectives

- **Review and announce the "Intellectual Property Management Policy"**

In 2023, the company established the "Intellectual Property Management Policy" in accordance with the requirements of the "Corporate Governance Best Practice Principles for TWSE/TPEX Listed Companies." This year, in response to the implementation of TIPS, the company re-examined the "Intellectual Property Management Policy" from the perspectives of risks and opportunities, internal and external issues, and stakeholders. The review concluded that the five intellectual property management policies set by the company still meet the current

operational needs and do not require adjustments at this time. Therefore, the policies were re-announced to employees on 2024/07/05, and the operational requirements corresponding to each policy continue to be implemented.



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Intellectual Property Management Policy

Based on the intellectual property management objective of "Building a rigorous management system, and implementing the intellectual property rights protection". The company has established a sound management system for intellectual property rights to strictly protect intellectual property rights including patent rights, trademark rights, copyrights, and trade secrets for the company itself, clients, and stakeholders. Regularly review and evaluate the relevant intellectual property rights owned by the company to improve the completeness of the management system. We commit to:

Implement Intellectual Property Management
Plan and establish the intellectual property protection and control mechanisms, with electronic management system, information security protection system and encryption measures to implement intellectual property protection actions. Supplemented by daily supervision and audit to control the execution effectiveness, and then enhance the implementation of intellectual property protection.

Fulfill Contractual Confidentiality Requirements
Clearly identify the confidentiality needs of customers, formulate intellectual property management plans applicable to specific projects according to the contract requirements and confidentiality agreements; and supervise and control the project operation process accordingly. Strictly secure confidential documents and information to meet performance obligations and provide high quality engineering services.

Strengthen Awareness of Intellectual Property Protection
Plan and propagate the concept of intellectual property rights protection then provide trainings, so that all employees have a clear understanding of relevant regulations such as intellectual property laws and company business confidential information management to enhance the company's confidential information protection capabilities, and moderately increase the rate of obtaining intellectual property rights from work performed. Make all employees understand the rights, obligations, and regulations through the evaluation of intellectual property protection of all employees to ensure that their awareness is competent for business execution.

Regularly Review, Evaluate and Maintain
Classify the intellectual property rights owned by the company and establish rights inventory maintenance management through systematization. Regularly review the content of rights and evaluate whether to continually protect rights in order to maximize the benefits and economic value of the rights owned by the company.

Continually Improve on Management and Control Mechanisms
Pay close attention to the latest trends in the development of IP management and timely update the IP management in line with the company's business strategy to keep the IP management and control mechanism up to date; and strengthen the supervision and measurement to ensure the appropriateness and effectiveness of the control mechanism.

T.C. Li
EMO
President

David Chung
HBO
President

K.L. Yeh
IEFBO
President

William Fung
ATFBO
President

M.L. Lee
EPCO
President

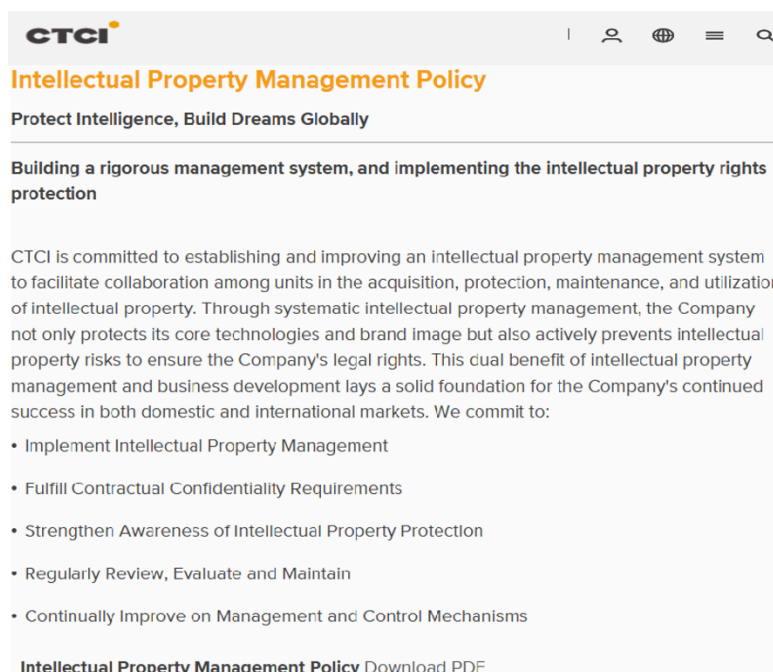
S.M. Liao
President

Management Policy:

- **Implement Intellectual Property Management**
- Management Mechanism, Information Security, Supervision, and Auditing
- **Fulfill Contractual Confidentiality Requirements**
- Identify Needs, Develop Plans, Monitor and Control
- **Strengthen Awareness of Intellectual Property Protection**
- Educational Training, Comprehensive Evaluation
- **Regularly Review, Evaluate and Maintain**
- System Management, Regular Review, Rights Protection Assessment
- **Continually Improve on Management and Control Mechanisms**
- Monitor Trends, Align with Strategy, Keep Up with the Times

Pic. 2 - IP Management Policy and Operational Requirements

Additionally, the company has placed the "Intellectual Property Management Policy" on the group's official website to facilitate access for relevant stakeholders when needed.



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Intellectual Property Management Policy

Protect Intelligence, Build Dreams Globally

Building a rigorous management system, and implementing the intellectual property rights protection

CTCI is committed to establishing and improving an intellectual property management system to facilitate collaboration among units in the acquisition, protection, maintenance, and utilization of intellectual property. Through systematic intellectual property management, the Company not only protects its core technologies and brand image but also actively prevents intellectual property risks to ensure the Company's legal rights. This dual benefit of intellectual property management and business development lays a solid foundation for the Company's continued success in both domestic and international markets. We commit to:

- Implement Intellectual Property Management
- Fulfill Contractual Confidentiality Requirements
- Strengthen Awareness of Intellectual Property Protection
- Regularly Review, Evaluate and Maintain
- Continually Improve on Management and Control Mechanisms

[Intellectual Property Management Policy Download PDF](#)

Pic. 3 - "Intellectual Property Management Policy" on the Group's Official Website

- **Establish and announce the "2024 Intellectual Property Management Objectives"**

After completing the review of the "Intellectual Property Management Policy," the company examined and established this year's "Intellectual Property Management Objectives," clearly defining the evaluation methods and responsible units for each objective. These objectives were announced to employees concurrently with the "Intellectual Property Management Policy." As of 2024/11/05, the implementation status of the "Intellectual Property Management Objectives" is shown in Pic. 4.

Policy	Objective	Evaluation Method	Responsible Unit	Status
Implement Intellectual Property Management	Implementation and establishment of the TIPS system, successfully passing the initial TIPS A-level certification	With "trademarks" as the certification target, pass the initial TIPS A-level certification (fewer than three minor non-conformities).	QMD/ IP Management Team	Completed
Fulfill Contractual Confidentiality Requirements	Strengthen the mechanism for confidential document control	Revise and announce the management regulations (or mechanisms) related to confidential documents at least once.	QMD/ IP Management Team	Ongoing. (Will be revised based on the on-site audit and internal audit results, and is expected to be issued by 2024/12/31)
Strengthen Awareness of Intellectual Property Protection	Conduct intellectual property-related training	Conduct at least two intellectual property training sessions, seminars, or comprehensive evaluations during the year.	QMD/ IP Management Team	Completed
Regularly Review, Evaluate and Maintain	Review the trademark inventory annually to verify trademark usage status.	Review the trademark inventory at least once a year.	Legal	Completed
Continually Improve on Management and Control Mechanisms	Optimize the Intellectual Property Management Manual.	Review the applicability of the Intellectual Property Management Manual at least once a year.	QMD	Ongoing. (Will be revised based on the on-site audit and internal audit results, and is expected to be issued by 2024/12/31)

Pic. 4 - Implementation Status of the "2024 Intellectual Property Management Objectives" (as of 2024/11/05)

3. Intellectual Property Execution Results

The intellectual property rights obtained by the company to date are shown in Pic. 5.

Trademarks			Total	113	112	111
	Taiwan (All)	Obtained	56	0	0	0
		Applying	0	0	0	0
	US	Obtained	6	0	0	0
		Applying	0	0	0	0
	China	Obtained	19	0	0	0
		Applying	0	0	0	0
	Others (Note)	Obtained	216	0	0	10
		Applying	0	0	0	0
Patents			Total	113	112	111
	Taiwan (Invention Patent)	Obtained	5	0	4	0
		Applying	1	1	0	0

Note: Includes countries such as South Korea, Japan, Singapore, Malaysia, Indonesia, Vietnam, the Philippines, Saudi Arabia, Qatar, Oman, Brunei, the United Arab Emirates, Kuwait, Thailand, Macau, Hong Kong, India, Europe, the United Kingdom, and Canada.

Data Date: 2024/10/11

Pic. 5 - Intellectual Property Rights Obtained by the Company

4. Continuous Improvement of IP Management

• Formulate the "Intellectual Property Management Manual"

This year, the company formulated the "Intellectual Property Management Manual" to integrate intellectual property-related processes and serve as a guide for colleagues in their work. Additionally, the company introduced the "Existing Intellectual Property Rights Declaration" for new hires and conducted exit interviews for "key intellectual property personnel" to further enhance the company's intellectual property protection mechanisms.

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智慧財產管理手冊
Intellectual Property Management Manual

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智慧財產管理手冊
Intellectual Property Management Manual

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- ❏ CI-101 Information Security Management Regulations R2
- ❏ CP-001 Corporate Documents Management Regulations R6B
- ❏ CP-006 Corporate Procurement and Subcontracting Regulations ROC
- ❏ CP-012 Intellectual Property Management Manual R0
- ❏ CP-104 Confidential Document Management Regulations R1B
- ❏ CP-305 Employee's Training Management Regulations R5
- ❏ CP-308 Recruiting and Staffing Regulations R5B
- ❏ CP-313 Employees Resignation Regulations R1B
- ❏ CP-322 Proposal Reward Regulations R4
- ❏ CP-701 Headquarters Building Management Regulations R0A
- ❏ CP-704 Work Environment and Resources Management Regulations ROC
- ❏ GCP-103 Group Legal Consultant Engagement Management Regulations R0
- ❏ GCP-105 Group Intellectual Property Management Regulations R0

- Introduce the "Existing Intellectual Property Rights Declaration" for new hires
- Conduct exit interviews for "key intellectual property personnel"

Pic. 6 - Formulate the "Intellectual Property Management Manual" and related intellectual property protection mechanisms

- **Tracking of abnormal SOP clicking**

The implementation of management mechanisms related to SOP reading - such as the no-download policy, online reading only, and application requirements for editable files in special cases - has gradually stabilized. To further reduce the risk of confidential information leakage, we continue to set alert thresholds for employees' daily SOP views with IT assistance. If the threshold is exceeded, Heads of QMD and IT Department are notified, and QMD conducts an investigation to confirm if the views are indeed business-related. So far this year, there have been 21 alerts; after investigation, no intellectual property leakage risks have been identified.

Group	GEB									GISB			GRCB			
Company	中鼎 CTCI Corp.	俊鼎 CTCI MAC	京鼎 CTCI Beijing	上鼎 CTCI Shanghai	泰鼎 CTCI Thailand	越鼎 CTCI Vietnam	印鼎 CINDA	中鼎 化工 CTCI CHC	中鼎 美國 CTCI Americas	益鼎 CTCI SEC	萬鼎 CTCI REI	新鼎 CTCI ASI	信鼎 ECOVE ESC	暉鼎 ECOVE WMC	耀鼎 ECOVE SRC	昱鼎 ECOVE SEC
警示數 Number of warnings	16	0	2	0	0	0	0	0	0	0	1	0	2	0	0	0

Pic. 7 - Statistics Table for SOP Abnormal Click

5. Promote the concept and awareness of “Intellectual Property Management”

- **Conduct online training course on "Intellectual Property Management" to provide basic knowledge and promote the system.**

To ensure that every colleague clearly understands the basics of intellectual property management and the company's IP management system, the company annually communicates this information through evaluations or training sessions. This year, two online courses - Basic Knowledge and System Promotion - were recorded for all colleagues to attend. These courses have also been added as mandatory training for new employees, enabling them to receive essential intellectual property management information and understand related operational requirements from the start of their employment.



Pic. 8 – Online Training Course on "Intellectual Property Management" Basic Knowledge and System Promotion

- **Conduct in-person training courses for Intellectual Property Management Team and internal auditors.**

The company has conducted specialized training for members of the Intellectual Property Management Team and internal auditors to enhance employees' IP-related competencies, ensuring the smooth execution of related tasks.



TIPS training for Intellectual Property Management Team 2024/06/17



TIPS training for Internal Auditor 2024/07/26

Pic. 9 – Conduct in-person training courses for "Intellectual Property Management" responsible personnel and internal auditors

- **Intellectual Property Rights Seminar by the "Expert Service Group" of the Intellectual Property Office, Ministry of Economic Affairs**

The company applied to the Intellectual Property Rights Seminar by the "Expert Service Group" of the Intellectual Property Office, Ministry of Economic Affairs, inviting a lecturer to deliver a session at the company on 2024/11/19. The lecture will cover the following four aspects of intellectual property to enhance employees' understanding:

- Trademark: How to conduct trademark searches;
- Patent: Overview of patent rights, issues related to patent licensing, and how to conduct patent searches;
- Copyright: Copyright protection and fair use;
- Trade Secret: Reasonable confidentiality measures.