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4) Investigation

Employees should strictly abide by the Code of Conduct. For violations of the Code of Conduct and laws and regulations, the COC Advisory Office should investigate or ask the relevant departments to conduct self-examination, and the relevant departments should cooperate.

5) Accept consultation

A consultation hotline or email should be indicated on the CATL website to enable CATL' s employees or partners to send complaints and information, opinions, inquiries, requests, or consultations about the Code of Conduct to the COC Advisory Office by phone or email.

Hotline number: 19959356699, 0593-8903598 (fax)

E-mail: [CATL-COC@catlbattery.com](mailto:CATL-COC@catlbattery.com)

The COC Advisory Office should accept complaints, information, questions, comments, requests or inquiries regarding the CATL Code of Conduct, and evaluated the information submitted.

6) Liability of confidentiality and protection of consulters

The COC Advisory Office shall keep the information obtained through the implementation of the CATL Code of Conduct confidential and protect the consulters from any unfair treatment or loss due to the consulting behavior. The COC Advisory Office shall act based on the will of the consulter. To solve the problem of the consulter, it may disclose certain information obtained from the consulter if it deems it necessary.

7) Record and preservation

The COC Advisory Office shall record and preserve all anonymous and signed complaints, information, comments, inquiries, requests and consultation received for 3 years.

### **3.4 Training and education**

To familiarize CATL' s employees with the Code of Conduct, CATL Human Resources Department and relevant departments should organize Code of Conduct training courses, regular training and online learning and testing.

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### **3.5 Reporting and prevention**

To create a clean corporate culture, CATL encourages real-name reporting of violations of the Code and suspected violations of the Code. Where reporting clues are evaluated and confirmed authentic by the COC Advisory Office, the informer will be rewarded. Reward rules are stipulated separately. CATL opposes false accusations and false reports; CATL will protect the informer's personal information and prevent them from being framed or retaliated.

Employees noticing violations or suspected violations of CATL Code of Conduct or relevant internal rules and regulations shall report to the integrity and Self-discipline Supervisor of their department, department head or COC Advisory Office. Employees who report on violations that cannot be confirmed, or report on violations due to non-malicious retaliation reasons, will not be subject to disciplinary action, but they shall not intentionally make false reports.

For reporting on violations or suspected violations of CATL Code of Conduct or relevant internal rules and regulations, relevant department heads or Integrity and Self-discipline Supervisor should take the initiative to investigate and take preventive measures.

### **3.6 Disciplinary Punishment**

- 1) Those who violate the CATL Code of Conduct will be subject to disciplinary action in accordance with relevant laws, regulations and relevant company regulations.
- 2) The disciplinary action is based on the principle of "leniency to those who confess, severity to those who resist" .

### **3.7 Establishment, cancellation and revision of CATL Code of Conduct**

Establishment, cancellation and revision of CATL Code of Conduct must be approved by CATL President. The COC can discuss the cancellation and revision of the certain provisions in the CATL Code of Conduct and submit such proposals to the CATL President for approval.

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Remarks: the English version of this Code is available for reference, and the final interpretation is based on the Chinese version.