

## **CATL CODE OF CONDUCT**

## Preface

To comply with laws, regulations and social norms, Contemporary Amperex Technology Co., Limited. has established a set of corporate code of conduct (hereinafter referred to as "CATL Code of Conduct" "Code of Conduct" or "this Code" ) as standards and guidelines which the employees of Contemporary Amperex Technology Co., Limited and its subsidiaries and branches (hereinafter collectively referred to as "CATL" or the "Company" ) must strictly abide by in handling the company businesses (employees of the company which CATL owns minority share can take it as a reference). CATL' s directors, supervisors, senior management, financial staff and auditors should abide by and perform the special responsibilities specified in this Code, in addition to complying with the applicable code of conduct for CATL employees.

The applicable laws and regulations vary in the different countries and regions. If there is any conflict between the provisions of this Code and the laws and regulations of the place where the overseas company operate, the local laws and regulations shall prevail; if no requirements are expressly stated in the laws and regulations of the place where the overseas company operates, this Code shall prevail.

CATL Code of Conduct is based on the following three parts:

1. Corporate Moral Philosophy
2. Corporate Code of Business Conduct
3. Supervision and Management Program

Anyone who violates these Code will be dealt with in accordance with applicable laws, regulations and company rules on a case-by-case basis.

CATL will guide the formulation of relevant policies and implementation procedures, so that the Code of Conduct complies with the social responsibility requirements of the RBA (Responsible Business Alliance), and laws and regulations concerning labor, ethics, occupational health and safety, and environmental protection.

To ensure compliance with the Code of Conduct, CATL will regularly organize training on the Code of Conduct, and continue to establish and improve relevant regulations and processes.

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## **1 Corporate Moral Philosophy**

Corporate moral philosophy is the fundamental charter of CATL and applies to all employees.

### **1.1 Vision, mission, values**

CATL embraces a corporate vision – rooting in the Chinese culture while embracing the global culture, strive to be a global premier innovative technology corporation, deliver excellent contribution to green energy resolution for mankind, and provide a platform for perceiving the spiritual and material well-being for employees.

CATL keeps its missions in mind: Innovate to enable customers' achievements, power your life.

CATL upholds the values: refine, enable, strive, innovate.

CATL insists on being a socially responsible and healthy corporate citizen in the world. This is the basic essence of the Company and every employee should abide by it.

In conducting the company business, all employees should abide by the above corporate vision, follow the corporate principles and constantly enhance their consciousness and enthusiasm for observing the Code of Conduct.

### **1.2 Moral philosophy**

- 1) The Company is in constant pursuit of originality, and gains satisfaction, trust and support from customers, suppliers and stakeholders by innovation and providing safe products and services that are beneficial to the society;
- 2) The Company endeavors to establish a fair, open and market-oriented business environment;
- 3) The Company creates a working atmosphere of compliance, integrity and honesty for all employees, and strengthens the prevention and punishment of violations of laws and regulations to fully protect the interests of the Company, partners and employees;

- 4) The Company conducts extensive and proactive communication with stakeholders and public figures, and actively and fairly discloses various corporate information. The confidential information held by CATL should be properly protected.
- 5) While respecting the personality and character of employees, the Company should provide a safe and easy-to-operate working environment to guarantee the comfort and richness of operations;
- 6) The Company should be grateful for the earth and carry out the main activities at any time by regarding environmental protection as a common human issue and a necessary condition for the survival and development of the Company;
- 7) As a "good corporate citizen", the Company should actively carry out various cultural and sports activities and social welfare activities, and set up the targeted poverty alleviation fund, the orphan education assistance fund and distress relief mutual fund to fulfill its social responsibility. The Company seeks the common development of the company and the society;
- 8) The Company resolutely resists social forces or groups which endanger public safety and prohibit the business with them;
- 9) The Company should actively respond to the globalization of corporate activities, respect the laws, human rights and other international norms, culture and customs of various countries and regions, attach importance to the concerns of stakeholders, and conduct corporate activities in a reasonable manner;
- 10) The management should take the realization of this concept as their responsibility, take the lead in promoting it across the Company, and actively promote it to partners. At the same time, they should always grasp the internal and external suggestions, and constantly improve the enterprise system;
- 11) In the event of violating this concept, the Company should actively show an attitude to solve the problem, severely punish the relevant responsible personnel, strive to find the cause and develop preventive measures to prevent reoccurrence.

## **2 Corporate Code of Business Conduct**

The Corporate Code of Business Conduct provides guidelines, principles and rules for CATL to handle business. All employees of the Company should observe when handling the business.

### **2.1 CATL Corporate Code of Conduct for Business Activities**

#### **2.1.1 Provide excellent products and services, and maintain safety**

CATL implements quality management throughout the whole life cycle of products from four aspects: product development, material supply, manufacturing and market operation. CATL adheres to the principle of safety first and creates new energy products that users can be assured to buy and use to lay the foundation for sustainable development.

Excellent products and services are the foundation of CATL. To ensure excellent quality, CATL should make every effort to improve its R&D, manufacturing and engineering technology departments. It should be noted that excellent products should be of high quality, safe, and harmless to human health. CATL should be committed to the pursuit of excellence in products and services.

1) Correct understanding of customer needs

All CATL' s employees should always pay a close attention to the evolving market and remain sensitive to customer needs.

2) Quality control

CATL must constantly check the safety of products in research, design, production and sales to avoid accidents and damage caused by negligence. All CATL' s employees should comply with laws, regulations and official regulations concerning product safety (if any).

3) Understandable instructions

Improper use of products often leads to accidents. Accidents due to improper use can be prevented by sticking the correct warning label on the products. The instructions for use of CATL' s products should be simple and understandable to ensure that consumers can use them correctly.

4) Damage control



In case of accidents caused by defective products, CATL must take damage control measures immediately, and if necessary, recall the defective products and immediately release the information about the defective products to customers and consumers. Suppliers should dutifully ensure product quality to prevent further accidents caused by the similar defective products.

5) Prevention of recurrence of product quality and safety problems

When a product defect occurs, the same or similar accidents are likely to occur again unless the causes have been identified and the problem has been completely eliminated. Therefore, in order to prevent the occurrence of the same and similar accidents, CATL should establish an internal system to properly keep the information of all defective products and communicate within the relevant departments of CATL to find out the causes and propose solutions.

2.1.2 Maintain a reasonable and good relationship with investors, customers and suppliers

All employees of the Company are strictly prohibited from providing or accepting benefits in the business dealings with investors, customers and suppliers, and must maintain good judgment and take wise actions to avoid any misinterpretation and negative impact on the reputation of CATL.

2.1.3 Fair trade

CATL should treat investors, customers, suppliers, competitors and employees fairly. In addition, no employee may deceive others by tampering with,, hiding and abusing privileged information, or by misrepresentation of material facts or other unfair business activities.

2.1.4 Maintain brand value of CATL

The CATL brand is one of CATL' s most important operating resources. All employees should strive to maintain and increase its value. Meanwhile, all employees should keep CATL' s mission in mind and make unremitting efforts to fulfil CATL' s mission - "Innovate to enable customers' achievements, power your life" .

### 2.1.5 Protect CATL' s assets and intellectual property<sup>1</sup>

All employees should protect CATL' s assets (including electronically transmitted, stored data and computer resources) and ensure their proper use. Theft and waste of CATL' s assets will directly affect CATL' s business capabilities, reputation and success. It is strictly forbidden to damage, lose or use CATL' assets for personal purposes without authorization.

Intellectual property is the source and guarantee of the Company' s profits, and employees should vigorously protect the intellectual property. CATL respects the intellectual property of third parties. Employees should strictly abide by company rules, laws and regulations to avoid potential civil or criminal liabilities resulting from the use of trade secrets of others that are obtained illegally (against applicable laws).

### 2.1.6 Keep secrecy of the confidential information

The confidential information used by CATL employees trusted by the Company may only be used for the intended business purposes of CATL. CATL' s employees are not allowed to share confidential information with anyone outside of CATL, including their family members and friends, or with anyone who does not require the information at work. CATL' s employees should sign a confidentiality agreement when joining the Company and continue to perform their confidentiality obligations after leaving the Company.

CATL employees must strictly abide by the Company' s rules and regulations concerning confidentiality and the confidentiality agreement signed with the Company, and perform the confidentiality duties in relevance with their work. Improper disclosure of CATL' s confidential information may damage the interests and reputation of the Company. Confidential information may be transmitted and distributed through electronic media, product media, social media (such as WeChat, Weibo), oral communication, and written forms.

All non-public information in relevance with CATL and its business, employees,

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<sup>1</sup>Intellectual property refers to the rights for inventions created through intellectual activities and commercially developed with good vision. Intellectual property includes but is not limited to patents, commercial designs, commercial packaging, trademarks, copyrights, business know-how and other trade secrets on technology and marketing.



customers and suppliers is confidential information, including but not limited to:

- 1) Financial and non-public financial information of CATL;
- 2) Trade secrets, including business and technical information, such as: procedures, methods, technology, compilation, and valuable information that is not known to the public;
- 3) Inventions and processes that are “works made for hire” , owned by CATL and developed by CATL employees (when they are doing the work in CATL or the work related to CATL’ s business) using CATL equipment or trade secrets in accordance with applicable copyright laws or similar laws concerning intellectual property;
- 4) Other non-public information.

#### 2.1.7 Non-competition

Any employees who have entered into employment agreements, non-compete agreements, confidentiality agreements, or similar agreements with former employers that restrict or prohibit them from performing their duties or obligations in CATL should explain to the Company before joining the Company, and provide a copy of such agreements to the head of the HR Department and relevant departments to assess whether they are suitable for the position. Employees should not use the trade secrets, proprietary information or other similar information obtained during their employment with other employers in their work for or on behalf of CATL.

Employees should abide by the non-competition agreement signed with the Company and the rules and regulations concerning non-competition when they are in service in the Company. After any employees leave the Company, the Company may require them to fulfill relevant terms concerning non-competition within a specified period (Non-Competition Period) based on their job content and job situation during their service in the Company.

#### 2.1.8 Integrity and self-discipline

Employees should be honest in performing their duties, observe laws and disciplines concerning anti-commercial bribery or anti-duty encroachment, and internal rules and regulations of the company. It is prohibited to accept bribes from others, offer or introduce bribes to others, or embezzle the property and public funds of the Company by taking advantage of their positions. The Company should

establish the integrity files for all employees, and use their performance of duties with integrity as an important basis for the Company to assess, appoint and dismiss employees.

Employees are strictly prohibited from the following acts:

- 1) Use the CATL' s property, address book, information, position or other channels to explore business opportunities and seek personal benefits;
- 2) Accept or engage in business that will affect their performance, responsibilities or CATL' s business interests in CATL (including consulting or similar work);
- 3) Solicit, request, accept or agree to accept anything of value from anyone related to their work performance or responsibilities at CATL;
- 4) Be involved in any transaction that allows him or his relatives<sup>1</sup> to obtain direct or indirect economic benefits on behalf of CATL.

#### 2.1.9 Proactively report conflicts of interest

CATL members should avoid any events that may involve or have involved conflicts between their personal interests and CATL' s interests. When dealing with current and potential customers, suppliers, contractors and competitors, CATL members should set aside their personal interests and put CATL' s best interests first.

Unless otherwise specified, employees may not conduct transactions which may result in the transfer of or damage of the Company' s interests with suppliers in which the employees or specific related persons<sup>2</sup> hold shares or work and other partners on behalf of the Company. When conducting business transactions on behalf of the Company with suppliers in which the employees or specific related persons hold shares or work and other partners, employees must proactively declare their specific related persons and the business details in advance to the head of the first-level department and the COC Advisory Office in writing.

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<sup>1</sup> Relatives refer to the spouse, parents, children, siblings, spouse' s parents, children' s spouse, and siblings' spouse of employees.

<sup>2</sup> Specific related persons refer to relatives who hold shares or serve in suppliers and other partners and other persons and their relatives with whom they share an interest with, and/or business organizations of any form which are controlled by specific related persons control or where specific related persons serve as senior managers.

#### 2.1.10 Information communication

When conducting business, employees should promptly report good news and bad news (if any) of CATL to the management.

#### 2.1.11 Purchase minerals in a responsible manner

CATL undertakes to ensure that the purchase of minerals such as tantalum, tin, tungsten, gold manufactured products contain does not directly or indirectly support armed organizations that abuse human rights.

### 2.2 Code of conduct for CATL and stakeholders

#### 2.2.1 CATL and investors

CATL strives to improve the performance of the Company in return for all investors and stresses the protection of the legitimate rights and interests of small and medium shareholders. Relevant departments of the Company should perform the obligation of information disclosure in strict compliance with the information disclosure requirements of listed companies and the relevant internal regulations of the Company.

CATL should disclose the information truthfully, accurately, completely and promptly in strict compliance with the *Company Law*, *Securities Law*, other laws and regulations, and the Company's Articles of Association. In addition to disclosing information in accordance with mandatory provisions, CATL should proactively and promptly disclose all information that may have a substantial impact on the decisions of shareholders and other stakeholders, and ensure that all shareholders have equal access to obtain the information.

#### 2.2.2 CATL and customers

CATL always insists on being customer-centric, creates the greatest possible value for customers with excellent products and services, seeks win-win cooperation, responds quickly to customers' needs, and exceeds customers' expectations.

Employees' entertaining customers and giving gifts to customers should in compliance with laws and company rules within the scope of normal business practices. It is strictly forbidden for employees to provide customers with rebates, commissions or other forms of remuneration that benefit customers personally.

#### 2.2.3 CATL and suppliers

CATL and suppliers work together to make sustainable development an important part of the procurement strategy, and motivate all suppliers to operate in a socially and environmentally responsible manner to ensure that products and services meet the sustainable development requirements from the source.

CATL should insist on market-oriented selection of suppliers by opening doors and channels, and create a fair and open supplier selection system.

Improving technical performance and reducing business costs is the direction of CATL improvement. Relevant departments must continuously improve the supplier access and evaluation mechanism in an objective way. In principle, no less than three suppliers of the same type that meet the requirements for technical parameters, performance indicators and quality can enter the bid evaluation stage, and the single-source procurement method (where the purchaser purchases from the sole supplier) is adopted with caution. Suppliers should be evaluated on the price, quality, service and other relevant standards after admission, and those who do not meet the requirements shall be downgraded or eliminated, and those who meet the requirements may be upgraded.

CATL opposes any form of commercial bribery, and suppliers must sign the *Letters of Commitment for Supplier Integrity*.

#### 2.2.4 CATL and employees

##### 1) Talent development

CATL firmly believes that enterprise development and talent development are complementary: enterprise development can provide more options and platforms for talent development, and talent development can further facilitate enterprise development. The key to talent development is the development of ability and willingness: ability is reliable only when acquired and verified through practice; willingness is guided by challenging opportunities and supporting incentive policies. Practice represents the highest standard for testing talents. CATL encourages employees to become famous in practice and “employs all talents without overstressing qualifications” .

CATL will provide development opportunities for employees with the following abilities and wishes:

- i. Identify the company culture and values, and actively practice in the work;

- ii. Actively break out of the comfort zone, continue to strive towards higher goals and achieve sustained good performance results through self-cultivation and self-motivation;
- iii. Make contributions in business innovation, technological innovation, product innovation and other aspects without being constrained by established practices;
- iv. Create value for customers depending on professional technology and services with customers as the center and keen insight into customer needs.

CATL will, as always, select and empower outstanding talents to provide a platform for employees to strive for spiritual and material well-being.

2) Respect the diversity, personality and characters of employees

CATL respects the personality of each employee. CATL manages the job qualification of employees, and treats all employees equally and fairly, so that employees can motivate, shape and develop themselves by challenging higher goals and tasks to achieve personal added value in a spiraling manner.

3) Respect human rights and personal privacy

CATL respects the privacy of every employee and manages personal information of employees carefully and properly. CATL respects the human rights of all employees. Illegal discrimination or unfair treatment is prohibited in employment, salary, benefits, development, selection, promotion, and other issues related to race, belief, gender, religion, age, marital status, nationality, disability, and sexual orientation.

CATL will never tolerate insulting or demeaning behaviors, including corporal punishment, mental abuse, physical abuse, violence, obscene language and sexual harassment.

Under no circumstances shall CATL's employees use forced labor or employ child labor in violation of applicable laws, rules, regulations, orders and restrictions in the country or region where it operates the business.

4) Working conditions and working environment

CATL should fully comply with laws, rules and regulations regarding minimum wages, working hours and other working conditions.



CATL gives top priority to creating a safe, healthy and comfortable working environment. CATL should abide by all applicable relevant laws and regulations, enhance internal safety control, and develop a safety management system.

i. Elimination of safety accidents

It is an important part of business management to obtain a safe, healthy and comfortable working environment. In order to prevent labor accidents, CATL strictly abides by all applicable laws and regulations, establishes and adopts internal company rules and regulations concerning work safety, regularly organizes safety training courses to enable employees to receive systematic training, and timely discover and eliminate hidden dangers.

ii. Environmental protection and disaster prevention

It is CATL's social responsibility to comply with applicable environmental laws (including but not limited to the *Environmental Protection Law of the People's Republic of China* and the *Emission standard of pollutants for battery industry*). CATL establishes and operates an occupational health and safety management system related to environment, abides by "procedure documents" and "operation instructions" related to environmental management, occupational health and safety, and safety production management, and prevents occurrence of accidents to protect the safety of "employees", "machine" and "materials" and achieve safe production.

#### 2.2.5 CATL and environment

CATL adheres to the concept of sustainable development and is committed to manufacturing first-class green products to create a friendly cycle of enterprise development and environmental development. The Company should establish and operate an occupational health safety management system for the environment by adhering to the environmental policy of "protecting the global environment, implementing cleaner production and building a green culture".

CATL strives to protect global environment through business activities. The Company should also continue to participate in the following activities:

- 1) Development of environmentally friendly products;



- 2) Energy-saving, waste reduction and cyclic utilization of CATL's facilities and offices;
- 3) Active disclosure of information and updates on environmental protection to CATL members and the outside world;
- 4) Organization of internal staff training on environmental protection.

#### 2.2.6 CATL and society

CATL actively performs its social responsibility and strives to contribute more to the development and progress of human society. CATL wants to coordinate and cooperate with and maintain good relations with regional social, administrative, and industrial partners. The Company does everything possible to solve social issues based on its business philosophy.

CATL should abide by applicable laws and regulations, social norms and social rules in the course of business. CATL employees should fully recognize the importance and significance of applicable laws and regulations, and must act in accordance with the law under any circumstances. CATL should pay special attention to laws that are socially required to be strictly followed, including:

- 1) Foreign Exchange and Foreign Trade Control Law

CATL employees involved in import and export activities should fully understand and abide by the internal rules and regulations of the Company regarding trade control, and perform their duties in accordance with applicable foreign exchange and foreign trade management laws.

- 2) Securities Trading Law

CATL employees should strictly abide by the laws and regulations and the rules and regulations of the Company concerning the prevention of insider trading. No CATL employees may purchase, sell, or trade public securities that have not been released to the public or otherwise participate in the said activity when they have material information related to the Company as required by his/her position. Similarly, no CATL employee may purchase, sell or trade the securities of the Company or otherwise participate in such activity when the employees hold similar non-public material information about the Company directly obtained from insiders of the listed company.

- 3) Anti-Bribery Act

CATL's employees shall not offer any illegal or unjustified benefits to any domestic or foreign government officials related to work performance.

CATL has selection and training procedures for personnel holding sensitive positions that are particularly prone to corruption, and adopts appropriate procedures for rotating such personnel at its own discretion to facilitate standards for adequate remuneration and fair wage. CATL takes measures to prevent corruption, strengthen accounting and auditing standards, and, where appropriate, impose effective and modest penalties of warning importance for any non-compliance with the measures.

CATL should pay attention to the content of the United Nations Anti-Corruption Convention and the Foreign Corrupt Practices Act (FCPA) regarding the prohibition of bribery, and abstain from violating relevant regulations.

1) Anti-Money Laundering Act

CATL employees must strictly abide by the relevant regulations on anti-money laundering and conduct due diligence on the property received by partners and companies with which the Company has business relationship (such as funds, goods, raw materials, equipment); if anything questionable is found in the ownership of the mentioned business partner and the payment transaction, it should be reported to the Legal Department and the Financial Department in a timely manner. It should abstain from collecting illegal funds or participating in activities and transactions involving illegal funds.

2) Antitrust Law and Anti-Unfair Competition Law

Generally, antitrust laws and similar competition laws in many countries are designed to encourage free competition and trade, and protect consumer rights. CATL must take extreme caution to ensure that business activities with representatives of other companies will not violate the applicable antitrust laws and similar anti-unfair competition laws in the country. For applicable antitrust laws and similar anti-unfair competition laws, CATL must have a compliant company policy which must be abide by all employees.

### 2.3 Special duties of CATL's management personnel

In view of the duties of importance of CATL's directors, supervisors, senior

managers, financial personnel and audit personnel (hereinafter referred to the "management personnel" ), apart from the above-mentioned CATL Code of Conduct applicable to CATL employees, the above-mentioned personnel must also obey and perform the following special duties:

- 1) Management personnel should be honest and upright when fulfilling their corresponding obligations, and strive to avoid all actions that may cause conflicts of interest within and outside their duties.
- 2) Management personnel should obtain the information about CATL operation and finance within the scope of their responsibilities as soon as possible, and report to other responsible persons in an accurate, comprehensive, objective and easy-to-understand manner.
- 3) Management personnel should abide by all applicable laws, rules and regulations issued by all relevant countries, states, provinces, local and private governments and regulatory agencies.
- 4) Management personnel must not distort major facts or information by their personal judgments when performing their CATL duties. Instead, they should perform their duties with due diligence and always be aware of their abilities and obligations.
- 5) Management personnel shall keep the information they obtain in the course of work strictly confidential (except for the disclosure having authorization or required by law) and are prohibited from trading such information for personal interests.
- 6) Management personnel should constantly strive to improve their work abilities and skills, and share the relevant information they have with other responsible persons.
- 7) Management personnel should take the initiative to emphasize the importance of CATL Code of Conduct to colleagues and subordinates, and maintain a comprehensive awareness of the importance of this principle when handling business.
- 8) Management personnel shall properly manage the corporate assets and other management resources within its scope of authority, and seek benefits for CATL fully and responsibly with these assets and resources in accordance with CATL authorization.

- 9) Management personnel noticing any violation or suspected violation of the CATL Code of Conduct should immediately report to the COC Advisory Office.
- 10) Management personnel should take the lead in complying with the CATL Code of Conduct. Management personnel failing to abide by the Code of Conduct will be subject to disciplinary action; violations of the Code of Conduct may constitute violations of laws and regulations, and severe offender must bear civil or criminal responsibility.

### **3 Supervision and Management Program**

For effectiveness of the CATL Code of Conduct, this Code provides rules for supervision and management.

#### **3.1 Organizational structure**

CATL sets up a Code of Conduct Committee (COC) and a "COC Advisory Office" to oversee the specific implementation of this Code.

COC is under the direct management of the board of directors of CATL. The COC chairman is appointed by the Chairman of the board and reports directly to the board of directors.

The COC Committee members consist of the heads of the following first-level departments: Comprehensive Management Department, Human Resources Department, Finance Department, Internal Service Department, Board of Directors office.

All departments of the Company have set up Integrity and Self-discipline Supervisors, which are generally served by upright and honest managers to comprehensively supervise and promote the construction of integrity.

Contemporary Amperex Technology Co., Limited and its subsidiaries and branches set up COC Advisory Office or Integrity and Self-discipline Supervisor as appropriate.

#### **3.2 COC responsibilities and obligations**

- 1) Formulate policies of integrity construction, and constantly establish and improve relevant rules, regulations and procedures of the Code of Conduct.

- 2) Violation handling

After confirming that employees have seriously violated laws and regulations or the CATL Code of Conduct, COC is entitled to make treatment decisions for employees or transfer them to the judicial authorities in accordance with relevant regulations, and request relevant departments to improve business operation procedures to prevent similar incidents. Relevant departments should implement the COC treatment decision and submit a report on the implementation of the corrective actions based on the COC treatment decision.

When the COC chairman deems it necessary, it can submit important matters to the Code of Conduct Committee for discussion and resolution. If the decision cannot be made due to the difference in opinion, an adjourn may be adopted, and opinions should be further communicated and exchanged, and submitted to the committee meeting for deliberation again.

### **3.3 Responsibilities and obligations of COC Advisory Office**

- 1) Integrity system construction

Draft the management system and procedural rules related to the CATL Code of Conduct according to the integrity construction guidelines formulated by the COC and submit to the COC for approval.

- 2) Integrity culture construction and training education

Take charge over integrity culture construction and training education of the Company according to the integrity construction guidelines formulated by the COC, including integrity supervision, integrity training, integrity publicity, integrity certification exams and other relevant content.

- 3) Integrity archives

Cooperate with Human Resource Department and other relevant departments to create employee integrity archives in accordance with the requirements of integrity and self-discipline. Carry out the declaration of employees' interest relations, and supervise employees' integrity.



**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@catl.com](mailto:CATL-COC@catl.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 consuler. To solve the problem of the consuler, it may disclose certain information obtained from the consuler 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.

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