

Contemporary Amperex Technology Co., Limited

Responsible AI Statement

1. Purpose

This Policy sets out the core principles and commitments of Contemporary Amperex Technology Co., Limited ("CATL") in the field of artificial intelligence (AI). The Company advocates and upholds a responsible, inclusive, innovative, and sustainable approach to AI development. This policy serves as the fundamental guideline for the Company's AI strategic direction, governance principles, full-lifecycle management, and continuous improvement.

Responsible AI represents not only CATL's compliance baseline, but also a important cornerstone of the Company's innovation capacity and stakeholder trust. The Company consistently adheres to a human-centric approach, ensuring that AI technologies benefit a wider range of users and business scenarios. Under no circumstances shall the application of AI technology undermine CATL's dedication and commitment to product safety, quality, data protection, ethical compliance, and social responsibility.

2. Scope

This Policy applies to CATL, its branches, and its controlling subsidiaries (collectively, the "Company"), and to the Company's employees, in respect of AI systems

developed, procured, integrated, deployed, tested, validated, operated, or used worldwide, including AI systems developed by the Company itself and those provided by third parties.

All organizations and individuals within the Company involved in activities related to AI systems must comply with the principles and requirements set forth in this Policy.

The Company encourages suppliers, partners and other relevant parties to refer to this Policy and work together to promote the responsible development and application of AI.

3. Governance Structure

3.1 AI Governance Organizational Structure

To ensure the effective implementation of Responsible AI, CATL will refine its AI governance framework, which comprises oversight by the Board of Directors and senior management, coordination by dedicated corporate functions, and collaborative execution by business units and functional departments. The Company will facilitate effective top-down communication of governance directives while establishing smooth bottom-up feedback channels, so that experience and risks arising from AI applications can be promptly escalated to management, driving continuous optimization and iteration of this Policy

3.2 Accountability

Following the OECD principles of accountability, CATL emphasizes clear allocation of responsibilities throughout the full lifecycle of AI systems. Leveraging the Company's existing safety and compliance management system, CATL will refine requirements for

AI safety, compliance and usage management.

Based on the intended use and risk level of AI systems, The Company will adopt appropriate tiered management, record-keeping and oversight measures to protect personal information, prevent AI misuse, and enhance the traceability of AI activities.

4. General Principles

CATL adheres to the following six core principles:

- **Diversity & Inclusion:** CATL adheres to a human-centric approach and supports AI technologies that benefit a wider range of users and business scenarios. The Company attaches importance to mitigating potential bias and unfair impact of AI systems, and protects the safety, dignity, rights, and autonomy of customers, employees, and other stakeholders.
- **Privacy & Security:** CATL is committed to protecting individual and group data privacy throughout the full lifecycle of AI systems, as well as defending against cybersecurity threats.
- **Accountability & Reliability:** CATL upholds clear allocation of responsibility and authority, and promotes AI systems that remain robust, reliable, verifiable, and traceable within their intended uses, enhancing the compliance and business continuity of AI applications.
- **Explainability:** CATL supports explaining the purpose, behavior, and limitations of AI systems to stakeholders in plain and comprehensible language where reasonably feasible, enhancing the intelligibility of AI systems and their outputs.
- **Transparency:** CATL upholds the principle of transparency and appropriately informs users of their interactions with AI systems, ensuring that users are

informed and able to exercise oversight.

- **Environmental & Social Impact:** CATL embraces the principles of inclusive growth and sustainable development, pays attention to the potential environmental and social impact of AI development and applications, seeks to reduce related negative effects through appropriate measures, and promotes AI development that benefits all and serves the greater good.

5. Application Commitments

5.1 Privacy and Data Protection

CATL continuously protects personal data throughout the entire lifecycle of AI development and deployment, adhering to the principles of data minimization and purpose limitation, and to applicable data protection laws. For sensitive AI functions that may raise ethical or privacy risks, the Company shall implement appropriate access controls measures to prevent unauthorized access, use, disclosure, or misuse.

5.2 Robustness, Network and Information Security

Following the principles of robustness and security, CATL continuously strengthens the network and information security defenses of its AI systems, as well as its ability to identify and handle harmful or inappropriate outputs, keeping AI applications safe and under control. The Company also pays attention to potential model drift, performance degradation, or output bias of AI models in real-world use, and will take appropriate monitoring, review, and adjustment measures.

5.3 Fairness and Bias Prevention

Based on human-centric values and the principle of fairness, CATL pays attention to potential bias and unfair impact arising from AI training data, model outputs, applications, and explores appropriate assessment and mitigation measures in light of actual risks. The Company also enhances the diversity and representativeness of datasets to reduce the risk of bias entrenchment at the source, and promotes AI products that treat affected stakeholders fairly.

5.4 Human Oversight

Based on the principles of human-centricity and accountability, CATL will ensure that key decisions affected by AI are subject to effective and documented human oversight. Depending on the risk level of the decision, the Company will define clear boundaries for human intervention, override, and escalation, preventing AI systems from making autonomous, irreversible, or high-risk decisions without effective human oversight.

5.5 Clear AI Application Boundaries

CATL defines the permitted scope of use, capability limits, and necessary escalation control points for AI. To prevent AI from operating beyond its intended scope, the Company will take necessary safeguards.

CATL prohibits the use of AI to bypass approvals, falsify records, generate misleading information, infringe intellectual property rights, process unauthorized data, or directly use AI outputs as controlled documents, regulatory submissions, customer commitments, or quality conclusions.

5.6 Content Labeling

Guided by the principle of transparency, CATL will appropriately label content generated or co-generated by AI systems, taking into account applicable laws and regulations, technical feasibility, application scenarios, and risk levels. This helps users identify the extent and scope of AI involvement, enables stakeholders to distinguish between AI-generated and non-AI-generated content, and safeguards users' right to know and to make their own judgments.

5.7 Green AI and Environmental Sustainability

Following the principle of sustainable development and acting on the Company's zero-carbon commitment, CATL pays attention to the computing demands, energy consumption, and environmental footprint of AI applications.

When planning and using AI applications, the Company will, in light of actual circumstances, comprehensively consider business value, risks, computing demands, energy consumption, and environmental impact. CATL supports improving the resource and energy efficiency of AI applications and reducing their potential environmental impact through model and algorithm optimization, energy-efficient deployment, and reasonable selection of computing infrastructure and model services.

5.8 Prohibited Practices

Following human-centric values, the principle of fairness, and aligned with the prohibited practices under the EU AI Act, CATL explicitly opposes and prohibits the deployment of the following types of AI systems:

- **Manipulative AI:** AI systems that use subliminal, intentionally manipulative, or deceptive techniques to materially distort the behavior of individuals or groups.

- **Exploitation of Vulnerabilities:** AI systems that exploit the characteristics of vulnerable groups such as age, disability, or specific socio-economic circumstances to materially distort their behavior.
- **Social Scoring:** AI systems that evaluate or classify the trustworthiness of individuals based on their social behavior or personal characteristics, leading to harmful or unfair treatment in unrelated contexts.
- **Unauthorized Biometrics Surveillance:** Unauthorized large-scale biometric surveillance systems.

CATL is committed to ensuring that the development and deployment of AI systems always respect human rights, the rule of law, human dignity, and does not engage in, deploy, or disseminate any of the prohibited AI applications described above.

5.9 Employee AI Literacy

CATL attaches importance to enhancing employees' awareness and capability to use AI responsibly. It will gradually provide appropriate AI literacy and security training to help employees understand AI capabilities and limitations, data confidentiality, prompt security, output verification, bias risks, information leakage risks, and the consequences of non-compliance.

5.10 Management System and Regulatory Basis

Following the principle of accountability, CATL draws on international standards, including ISO/IEC 42001 Artificial Intelligence Management System and ISO/IEC 42005 AI Impact Assessment, as well as applicable laws and regulations, to continuously refine its requirements for Responsible AI.

6. Feedback and Continuous Improvement

Adhering to the principles of accountability and human-centricity, CATL adopts explainability to the extent feasible, helping business owners, users, and governance functions understand the key input logic, output logic, capability limits, applicable conditions, and potential risks of AI systems.

Users and affected third parties may raise objections to AI-generated decisions or outcomes through the Company's existing feedback channels. The Company will properly register, assess and address relevant comments and objections in accordance with applicable laws, regulations and existing internal management mechanisms, and take verification, correction or improvement measures where necessary. Such comments and their handling will serve as references for the continuous improvement of AI systems and related management requirements.

7. Policy Revision and Effective Date

This Policy takes effect on the date of its issuance and shall be revised promptly in the event of significant regulatory changes, major industry-related AI incidents, or material changes in the Company's business processes.

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