

# Contemporary Amperex Technology Co., Limited Company Rules on Protecting and Rewarding Informers Reporting Behavior in Violations of Laws and Non-compliance of CATL's Code of Conduct

## 1 Purpose

Based on the requirements in the Code of Conduct of Contemporary Amperex Technology Co., Limited ( "CATL" or "the Company" ) and the actual situations of the Company, the Rules are established to protect legitimate rights and interests of informers, encourage partners (clients, suppliers, etc.) and the public to report behaviors in violation of laws and non-compliance of code of conduct, gather more information about violations, motivate partners (clients, suppliers, etc.) and the public to find information about behaviors in violation of laws and non-compliance of code of conduct, protect interests and the image of the Company, stick to the operation philosophy of "**Compliance, honesty and mutual benefits**", guide the Company and individual behaviors towards better compliance, strengthen the investigation, punishment and deterrence against the behaviors that infringe on the interests of the Company, and create good operation environment.

## 2 Scope of application

- 2.1 The Rules are applicable to CATL , its branches, and holding subsidiaries.
- 2.2

and complainants can report or submit relevant materials in the local language (Chinese, English, or any other appropriate language) to make a report or submit relevant materials.

The reporting hotline: 19959356699 and 0593-8903598 (fax).

Reporting email: CATL-COC@catl.com.

Address: COC Consulting Office, F17 CATL Technology Building, No. 2 Xin' gang Road, Zhangwan Town, Jiaocheng District, Ningde City, China.

- 3.2 The COC contacts informers via special reporting email and informers should obtain reporting passwords at the time of reporting. The reporting passwords will be checked when response is sent or reward is given to the informers.
- 3.3 The COC regularly informs employees of the company's reporting hotline and reporting email address through emails, training, etc., in order to make it easier for employees to be familiar with the communication channels.

#### **4 Handling of reported information**

- 4.1 The COC has established a well-established internal process for handling reports. After receiving the report, the COC will evaluate and verify the clues, and if there are clear facts of violation or illegal crime and loss or possible loss caused to the company, the COC will set up a project to investigate the case. After the investigation of the case is completed, solutions and management improvement suggestions are made to the department where the case occurred, and the relevant personnel are required to take improvement measures and supervise the implementation; internal notification will be made for cases with more serious circumstances.
- 4.2 Reports of violations should be handled by a specially assigned person at a special place or via dedicated email or telephone.
- 4.3 Reported information should be kept confidential by a specially assigned person and not be provided to any one unless permission from the COC Chairman is obtained.
- 4.4 Reporting materials should be kept in confidence. It is strictly prohibited to disclose any reporting contents and personal information of informers or to provide any reporting materials to any individuals or departments being reported.
- 4.5 In accordance with the law, the COC accepts real names, anonymity and other

forms of confidentiality, and keeps the personal information of the informant strictly confidential during the processing of the case. If the statement of the whistleblower is required as evidence in the investigation process, the company will disclose the personal information of the whistleblower after desensitizing it, in order to achieve strict confidentiality for the whistleblower.

- 4.6 If the reported information is found to be true, CATL should provide material reward to informers providing information and assisting in investigations. Such reward only goes to real-name informers in principle. Anonymous informers contributing greatly to investigation and punishment of reported cases will be rewarded appropriately after evaluation by the COC.
- 4.7 The COC makes public disclosure of the number of reported cases received, the types of reported cases and the measures taken through the Company's official website, the Company's ESG annual report and other channels at an appropriate time.

## **5 Reporting reward fund and rewarding methods**

- 5.1 CATL sets up a reporting reward fund under the management by the COC Consulting Office.
- 5.2 The COC should determine the amount of rewards based on nature and circumstance of violations as well as value of reported information. For an individual case, no more than RMB 200,000 will be rewarded in principle, except when special contribution is made for reporting and approval for more reward from CATL President is obtained.
- 5.3 If several people report the same violation jointly, only one reward will be granted. In principle, in such cases only the informer giving the earliest report or contributing most to case investigation will be rewarded.

## **6 Management of informers being framed up or retaliated**

- 6.1 Individuals retaliating informers or having informers retaliated will be dealt with seriously according to CATL Code of Conduct; if crime is involved, such individuals will be transferred to the judicial authority.

## **7 Safeguard measures for informers**

- 7.1 CATL will retain right of partnership and provide additional rewards for partners including clients and suppliers taking initiative to report violations. CATL will exempt partners proactively reporting violations or providing

valuable information from relevance to such violations and retain their right of partnership.

7.1.1 If a partner voluntarily reveals to CATL the fact that it has actively or passively offered unfair benefits to CATL staff and associated persons, CATL will maintain business cooperation with such partner and will exempt it from violations it has described and relevant punishment.

7.1.2 If a partner actively assists CATL in investigation of reported violations and admits its violations voluntarily, CATL will mitigate its liability for such violations; if information concerning violations provided by such partner is beyond the knowledge of CATL, CATL will exempt it from punishment within the power of CATL.

**8 The right of final interpretation of these regulations is reserved to the COC and will be enforced as of the date of its publication.**

Contemporary Amperex Technology Co., Limited

Effective Date: Jun 2023