

CATL

Preface

To comply with laws, regulations and social norms, Contemporary Amperex Technology Co., Limited has established a set of corporate code of conduct (hereinafter

standards and guidelines which the employees of Contemporary Amperex Technology Co., Limited and its subsidiaries and branches (hereinafter collectively referred to as

(employees of the company which CATL owns minority share can take it as a reference).

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 this 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.

Table of contents

PREFACE

1.1 Vision, mission, values

1.2 Moral philosophy

2.1 CATL Corporate Code of Conduct for Business Activities

2.2 Code of Conduct for CATL and stakeholders

3.1 Organizational structure

3.2 COC responsibilities and obligations

3.3 Responsibilities and obligations of COC Advisory Office

3.4 Training and education

3.5 Informer reporting and prevention

3.6 Disciplinary punishment

3.7 Establishment, revocation and revision of CATL Code of Conduct

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: Rooted in Chinese civilization and embracing global culture, striving to be a world-class technology innovator, delivering superior contributions to green energy for the world, and providing a platform of pursuing spiritual and material well-being for employees!

CATL keeps its missions in mind: Innovating for customers!

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)

2)

3)

4)

5)

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

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 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.

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.

CATL should treat investors, customers, suppliers, competitors and employees

Contemporary Amperex Technology Co., Limited
No.2 Xingang Road, Zhangwan Town, Jiacceng District,
Ningde City, Fujian, PRC 352100

www.catl.com
Tel +86 0593-8901666
Fax +86

The confidential information used by CATL employees trusted by the Company 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

Company and continue to perform their confidentiality obligations after leaving the Company.

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 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, 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) Intellectual property rights, including patents, trademarks, copyrights, and other rights developed by CATL employees (when they are doing the work in CATL or the work related to CA) in accordance with applicable copyright laws or similar laws concerning intellectual property;
- 4) Other non-public information.

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

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) channels to explore business opportunities and seek personal benefits;
- 2) Accept or engage in business that will affect their performance, responsibilities
- 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 relatives¹ to obtain direct or indirect economic benefits on behalf of CATL.

represented by an employee in performing his/her duties and his/her own personal interests, which may harm the interests of the Company and its shareholders. CATL members should avoid any events that may involve or have involved conflicts between their pe

customers, suppliers, contractors and competitors, CATL members should set aside

Unless otherwise specified, employees may not conduct transactions which may

the employees or specific related persons² hold shares or work for 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.

1

² 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.



or other forms of remuneration that benefit customers personally.

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*.



CATL

Contemporary Amperex Technology Co., Limited
No.2 Xingang Road, Zhangwan Town, Jiacceng District,
Ningde City, Fujian, PRC 352100

www.catl.com
Tel +86 0593-8901666
Fax +86 0593-8901999

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

CATL 宁德时代

enhance internal safety control, and develop a safety management system.

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.

Environmental protection and disaster prevention

(including but not limited to the *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 environmental management, occupational health and safety, and safety production

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

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-efficient 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.

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

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

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 [i(rtic)353 s)-250(s)-10(e)4(lec)6(ti)-3(on)-259(a)4(n)-9(d)-249

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

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

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 co-presidents, vice presidents and first-level department heads of comprehensive management department, human resources

department, financial department, internal service department and board office.

All departments of the Company have set up Integrity and Self-discipline Supervisors, which are generally served by managers of integrity, principles and hard work at the level of grade 11 or above to comprehensively supervising and promoting the work of integrity construction.

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 decision 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-

4) Investigation

Employees should strictly abide by the Code of Conduct. In the event of any violation of the Code of Conduct and/or laws and regulations, the COC Advisory Office should investigate or ask the relevant departments to conduct self-examination, and the relevant departments should cooperate. After the investigation of a case is ended, COC Advisory Office may put forward solutions and management improvement suggestions to the department where the case broke out according to the cause of the case, require relevant personnel to take improvement measures and supervise their implementation, report the case internally as appropriate and incorporate it into the integrity training course material for training purpose, and record the participants and time of each training.

5) Accept consultation

Contemporary Amperex Technology Co., Limited
No.2 Xingang Road, Zhangwan Town, Jiacceng District,
Ningde City, Fujian, PRC 352100

www.catl.com
Tel +86 0593-8901666
Fax

reporting of any 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 and prevent the informer 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 respective department, department head or the 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, the relevant department head 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) _____ who

3.7 Establishment, revocation and revision of CATL Code of Conduct

Establishment, revocation and revision of CATL Code of Conduct must be approved by the General Manager of CATL. COC shall promptly revoke, revise and refine such provisions which require revocation, revision or refinement in the CATL Code of Conduct and submit the proposal of revocation, revision and refinement to the General Manager of CATL for approval.

