

# Contemporary Amperex Technology Co., Limited

## Responsible Mineral Resources Supply Chain

### Grievance Mechanism

#### I. Purpose

Contemporary Amperex Technology Co., Limited (hereinafter referred to as “CATL”) is committed to adopting an open and transparent method to handle grievances from affected stakeholders regarding the mining, logistics, trade, export and processing of Minerals, so as to promote communication with stakeholders and protect the rights of CATL and stakeholders. CATL is committed to establishing a grievance mechanism by adopting the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains (hereinafter referred to as “China Guidelines”) which was issued by the China Chamber of Commerce of Metals, Minerals & Chemicals Importers and Exporters (“CCCMC”), OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (Third Edition)(hereinafter referred to as “OECD Guidance”) which was issued by the Organization for Economic Cooperation and Development (“OECD”), CATL Sustainable Supply Chain Management Policy and CATL Due Diligence Management Policy for Responsible Mineral Resources Supply Chain (hereinafter referred to as “Responsible Mineral Policy”) .

#### II. Grievance Scope

CATL accepts grievances that meet all of the following conditions:

1. Related to due diligence management of CATL's Mineral supply chain;
2. Damage to the interest of stakeholders due to the lack of responsible management in the Mineral supply chain;
3. Violation of the requirements of OECD Guidance, China Guidelines, CATL Sustainable Supply Chain Management Policy, Responsible Mineral Policy and other related due diligence management policies for CATL responsible Mineral resources supply chain;
4. There is sufficient reasonable and objective evidence to support the grievance.

CATL does not accept grievances under any of the following conditions:

1. Not related to CATL due diligence management for responsible Mineral resources supply chain;

2. No sufficient evidence to support the grievance;
3. Malicious grievance;
4. If the grievance goes beyond the scope of CATL's internal mechanism, CATL shall not accept it. However, CATL would ask an external agency for assistance.

### **III. Definition of Mineral**

Mineral shall mean Cobalt, Lithium, Nickel, Manganese, Graphite, Copper and Aluminum.

### **IV. Grievance Agency**

1. The Supplier Management Team of the Sourcing Department is responsible for receiving external grievances and reporting the information to the Supply Chain Sustainability Management Committee;
2. The Supply Chain Sustainability Management Committee will respond to grievances reported by stakeholders in a transparent manner, including grievances from any external source such as individuals, government organizations and relevant non-governmental organizations.

### **V. Grievance Channel**

The public may send grievance information to the following email address:

[CATL-SME@CATL.COM](mailto:CATL-SME@CATL.COM).

The grievance information shall include: name (may be anonymous), organization, occupation, address, telephone/fax/email address, a detailed description of the grievance content, and evidence supporting the content of the grievance. The complainants may request to have their identity remain confidential, but have to provide contact information. On the premise that a third party abides by the procedure, a third party could be appointed to submit a grievance.

### **VI. Grievance Handling**

After receiving grievances from the public, the Supplier Management Team of the Sourcing Department shall promptly report them to the Supply Chain Sustainability Management Committee; according to the grievance, the members of the Supply Chain Sustainability Management Committee shall be responsible for tracking and handling the grievance, and the Supplier Management Team shall assist in the investigation of the grievance. If necessary, the parties to the grievance may be required to conduct a dialogue for mediation, and CATL shall reply to the complainant

within 15 working days about whether the content of grievance falls within the Grievance Scope.

If the content of the complaint is true, CATL will implement the risk response mechanism in accordance with CATL Sustainable Supply Chain Management Policy and Responsible Mineral Policy. Afterwards, CATL shall inform the complainant of the result of the grievance handling.

CATL will archive the materials about the grievance handling, and keep it for at least 5 years.

## **VII. Grievance protection**

CATL promises to keep the complainant's information completely confidential. For employees who fail to observe the principle of confidentiality and cause damage to the interests of the complainant, CATL will impose penalties based on the circumstances. In severe cases, the labor contract may be terminated and the case transferred to the judicial authorities for handling.

Those who retaliate or instruct others to retaliate against the informant shall be subject to serious punishment according to the CATL Supplier Code of Conduct and the CATL Code of Conduct. Those suspected of crimes shall be reported to the judicial authorities.

## **VIII. Effective date**

The Mechanism shall be effective from September 1, 2021.