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供应商行为守则

Supplier Code of Conduct

赣州腾远钴业新材料股份有限公司（以下简称“腾远”或“我们”）制定本《供应商行为守则》，旨在与合作伙伴携手，共同预防和解决供应链上的环境、社会责任、公司治理及合规风险，构建负责任、透明的供应链伙伴关系，为新能源产业的可持续发展作出积极贡献。

Ganzhou Tengyuan Cobalt New Material Co., Ltd. (hereinafter referred to as "Tengyuan" or "we") has established this Supplier Code of Conduct to work together with our partners to prevent and address risks related to environmental protection, social responsibility, corporate governance, and supply chain compliance. Our aim is to build responsible and transparent supply chain partnerships and contribute to the sustainable development of the new energy industry.

秉持高标准、严格遵守法律法规并积极履行企业社会责任，是腾远始终坚持的准则。因此，我们期望供应商以同样的标准开展业务。我们致力于与认同腾远价值观并遵守行为守则的供应商合作，同时要求供应商推动其上下游供应链中的合作伙伴共同遵守。为确保行为守则的有效实施，我们已将其纳入供应商评估与筛选体系，并通过持续的宣导和监督，帮助供应商理解和落实相关要求。任何违反腾远行为守则的行为，都可能对供应商与腾远的合作关系造成不利影响，甚至导致合作终止。

Tengyuan consistently adheres to the principles of maintaining high standards, strictly complying with laws and regulations, and actively engaging in corporate social responsibility throughout its business operations. Therefore, we expect our suppliers to uphold the same standards in their operations. We are committed to collaborating with suppliers who align with Tengyuan's values and comply with this Code of Conduct. Suppliers are also required to ensure that their upstream and downstream supply chain partners adhere to these standards. To ensure the effective implementation of this Code, we have integrated it into our supplier evaluation and selection system. Through continuous advocacy and monitoring, we assist suppliers in understanding and fulfilling these requirements. Any violation of this Code may negatively impact the business relationship between suppliers and Tengyuan, potentially leading to the termination of the partnership.

本守则借鉴国际公认的标准，包括国际劳工组织《关于多国企业和社会政策的三方原则宣言》《联合国全球契约十项准则》《联合国工商与人权指导原则》《联合国儿童权利公约》《国际劳工组织公约第 138 号（最低工作年龄公约）》《国际劳工组织公约第 182 号（最恶劣形式的童工）》《联合国反腐败公约》《国际劳工组织安全与健康实施准则》《安保和人权自愿原则》《公民权利和政治权利国际公约》和《经济、社会及文化权利国际公约》，经合组织《跨国企业准则》《负责任商业行为尽责管理指南》《关于来自受冲突影响和高风险区域的矿石的负责任供应链尽责管理指南》等，阐明了腾远对供应商行为的期望和要求，以及在劳工和人权、健康及安全、环境保护、道德规范以及负责任采购方面的要求。

This Code of Conduct draws on internationally recognized standards, including the International Labour Organization's Tripartite Declaration of Principles Concerning Multinational Enterprises and Social Policy, the Ten Principles of the United Nations Global Compact, the United Nations Guiding Principles on Business and Human Rights, the United Nations Convention on the Rights of the Child, the International Labour Organization's Convention No. 138 on Minimum Age for Employment, Convention No. 182 on the Worst Forms of Child Labour, the United Nations Convention against Corruption, the International Labour Organization's Code of Practice on Safety and Health, the Voluntary Principles on Security and Human Rights, the International Covenant on Civil and Political Rights, and the International Covenant on Economic, Social and Cultural Rights. It also refers to the OECD Guidelines for Multinational Enterprises, the OECD Due Diligence Guidance for Responsible Business Conduct, and the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. The Code outlines Tengyuan's expectations and requirements for supplier, including standards related to labor and human rights, health and safety, environmental protection, ethical practices, and responsible sourcing.

第一章：劳工和人权

Provision 1: Labor and Human Rights

- 1、禁止童工：供应商雇佣员工必须符合当地法律规定的最低工作年龄，尤其要避免最恶劣形式童工。

No child labor: the employee hired by the supplier shall meet the minimum age required by the local laws and regulations, and must especially avoid the worst forms of child labor.

- 2、强迫或强制劳动：供应商不可以用任何形式的强迫或强制劳动（比如强制、抵押、契约、或非自愿的监狱劳动）。用工是自愿的。

Forced or involuntary labor: supplier shall not use forced or involuntary labor of any type (e.g., forced, bonded, indentured or involuntary prison labor); employment is voluntary.

- 3、工作时间：供应商应当遵守关于工作时间的国际公约和当地的法律法规。

Working hours: supplier shall obey the international conventions or local laws and regulations applied to working hours.

- 4、工资与福利：供应商应遵守地方及国家法律规定，给员工提供合理的工资及福利。所有员工的工资不得低于法定最低工资。

Wage and Benefit: Supplier shall provide its employees reasonable wage and benefit according to the local and national laws and regulations. The wages of all the employees shall not be less than the statutory minimum wage.

- 5、人道待遇：供应商不得对员工实施性骚扰、性虐待、体罚、精神或肉体胁迫或言语侮辱等严苛的非人道行为；亦不得威胁要实施任何此类行为。

Humane Treatment: There is to be no harsh and inhumane treatment including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers; nor is there to be the threat of any such treatment.

- 6、歧视：供应商在招聘和雇佣员工时，不得因种族、宗教信仰、年龄、国籍、性取向、性别、性别认同和性别表现、婚姻状况、怀孕、政治派别或残障等其他类似因素而歧视他人。

Discrimination: Supplier shall not discriminate in hiring and employment practices on grounds of race, religion, age, nationality, sexual orientation, gender, gender identity or expression, marital status, pregnancy, political affiliation, disability and etc.

- 7、结社自由：在法律允许范围内，供应商不得干涉、阻挠或禁止员工组建或加入各类组织、选举代表、参与集体谈判以及开展各项合法活动。

Freedom of association: Supplier shall not interfere, obstruct or forbid its employees to establish or join all kinds of organizations, electing representatives, participating in collective bargaining and carrying out any legal activities.

- 8、土著权益与文化遗产保护：供应商应在其经营活动及相关供应链中，确保土著社区能够自由、事先和知情地参与影响其利益的决策过程，保护土著文化的独特性，包括语言、艺术、仪式和传统知识，并保护土著人民的圣地和历

史遗迹免受破坏。

Indigenous Rights and Cultural Heritage Protection: Suppliers shall ensure that indigenous communities are able to freely, prior, and informedly participate in decision-making processes that affect their interests within their operations and related supply chains. They shall protect the uniqueness of indigenous cultures, including their languages, arts, rituals, and traditional knowledge, and safeguard sacred sites and historical heritage from destruction.

- 9、安保与人权：供应商承诺遵循《安保和人权自愿原则》，不雇佣任何存在人权侵犯的安保人员。

Security and Human Rights: Suppliers commit to adhering to the Voluntary Principles on Security and Human Rights and not employing any security personnel involved in human rights violations.

第二章 健康与安全

Provision 2: Health and Safety

- 1、职业安全：供应商应识别、评估、消除安全隐患，并向员工提供与工作相关且适当、安全的个人防护装备，并开展相关培训和指导。

Occupational safety: supplier shall identify, assess and eliminate safety hazards. Supplier shall provide their employees with proper and safe personal protective equipment relevant to the work, as well as conduct relevant training and guidance.

- 2、应急管理：供应商应识别并评估紧急情形和紧急事件，并通过实施应急方案及应对程序将其影响降到最低，包括：紧急报告、员工通知和撤离程序、员工训练与演习、适当的火灾侦测及扑灭设备和充足的出口设施。

Emergency Preparedness: suppliers shall identify and assess potential emergency situations and events, and implement emergency plans and response procedures to minimize their impact, including: emergency reporting, employee notification and evacuation procedures, worker training and drills, appropriate fire detection and extinguishing equipment, and adequate exit facilities.

- 3、工伤和疾病：供应商应当制定合适的程序和体系以预防、管理、跟踪和报告工伤和疾病。

Occupational Injury and Illness: supplier shall have procedures and systems in place to prevent, manage, track and report occupational injuries and illness.

- 4、生活条件：供应商或劳工代理机构应当为员工提供干净的卫生间设施、饮用水以及清洁食物的准备、储藏与用餐场所以及完善的消防设施及紧急出口。

Living Conditions: Suppliers or labor agencies should provide employees with clean restroom facilities, drinking water, clean food preparation, storage, and dining areas, as well as adequate fire safety equipment and emergency exits.

- 5、健康与安全信息沟通：供应商应向员工提供以员工主要语言授课的健康安全培训。健康与安全相关信息应张贴在现场醒目处。

Health and safety information communication: Supplier shall provide workers with appropriate safety training in their primary language. Health and safety-related information shall be clearly posted in the facility.

- 6、安全防护：供应商须对可能导致员工受伤的机械提供物理防护装置并进行定期检修和维护。

Safety Protection: Supplier shall provide physical protection devices, where machinery presents an injury hazard, and carry out regular equipment repair and maintenance.

第三章：环境

Provision 3: Environment

- 1、供应商应遵守所有与环保相关的法律法规，并评估以降低对土壤、空气、水造成的不利影响。

Suppliers shall comply with all environmental laws and regulations and evaluate and mitigate adverse impacts on soil, air, and water.

- 2、防止污染及节约资源：供应商应在源头上或通过实践减少和消除所有类型的资源消耗和污染（包括水和能源）。

Pollution Prevention and Resource Conservation: Suppliers should reduce and eliminate all types of resource consumption and pollution (including water and energy) at the source or through effective practices.

- 3、有害物质：供应商应当识别和控制释放到环境中会造成危险的化学物质及其他材料，确保这些物质得到安全处理、运输、存储、使用、回收或再利用和处置。

Hazardous Materials: Supplier shall identify and manage chemicals and other materials posing a hazard if released to the environment to ensure their safe handling, movement, storage, use, recycling or reuse and disposal.

- 4、控制和处理废水及固体废物：供应商在经营、工业加工和清洁设施中产生的废水及固体废物在排放或处置前，应当按照要求对其进行监测、控制和处理。

Control and disposal of wastewater and solid waste: For the wastewater and solid waste which are generated during the operation, manufacturing, and facility cleaning, supplier shall monitor, control and treat them according to the requirement before being discharged or disposed.

- 5、气体排放：供应商在经营过程中产生的挥发性有机化学物质、腐蚀性气体、微粒、臭氧消耗化学物质以及燃烧副产品等废气在排放之前，应当按照要求对其进行鉴别、监测、控制和处理。

Air emissions: according to relevant requirements, supplier shall identify, monitor, control and treat the VOCs, corrosive gases, particulates, Ozone-depleting chemicals and Combustion by-products which are generated by the manufacturing process before discharging.

- 6、材料限制：供应商应当遵守在产品中以及制造过程中禁用或限用某些特定物质（包括回收和处置标志）的相关法律法规以及符合客户要求。

Materials Restrictions: Suppliers are to adhere to all applicable laws, regulations and customer requirements regarding prohibition or restriction of specific substances in products and manufacturing, including labeling for recycling and disposal.

- 7、供应商应探索开发有成本效益的方法以提高能源效率，并最大程度地减少能源消耗与温室气体排放。

Suppliers are to look for cost-effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

- 8、供应商应该在供应链中致力于保护生物多样性，避免因自身的经济活动影响生物多样性。

Suppliers should strive to protect biodiversity within the supply chain and avoid impacting biodiversity due to their economic activities.

第四章：道德规范

Provision 4: Ethics

- 1、遵守法律法规：供应商的经营活动应符合所在国法律法规，并依法纳税。

Compliance with Laws and Regulations: Suppliers' business activities must comply with the laws and regulations of the host country and fulfill their tax obligations accordingly.

- 2、商业诚信：供应商应采取零容忍政策，禁止任何形式的贿赂、腐败、敲诈勒索和挪用公款行为。

Business Integrity: Supplier shall maintain a zero tolerance policy to prohibit any and all forms of bribery, corruption, extortion and embezzlement.

- 3、信息公开：供应商应依照适用法规和主要的行业惯例公开有关商业活动、组织结构、财务状况、劳工、健康与安全环境的信息。

Disclosure of Information: Supplier shall disclose the information regarding its business activities, structure, financial status, labor, health and safety, and environmental practices according to applicable laws and prevailing industry practices.

- 4、社区参与：鼓励供应商参与社区活动，以推动社区的社会和经济发展。

Community Engagement: Supplier is encouraged to join the community activities to promote social and economic development.

- 5、申诉渠道：供应商应建立申诉渠道以便员工、客户等利益相关方能够及时反馈诉求。申诉必须允许匿名，确保举报者身份的机密性和匿名性，禁止报复行为。

Grievance Mechanism: Suppliers shall establish channels through which employees, customers, and other stakeholders can promptly voice their concerns. An anonymous complaint system must be implemented to ensure the confidentiality and anonymity of whistle blowers, with strict prohibition of any retaliatory actions.

- 6、知识产权保护：供应商应尊重知识产权，保护客户信息的安全。

Protection of Intellectual Property: Supplier shall respect intellectual property rights and safeguard customers information.

- 7、反垄断及反不正当竞争：供应商应遵守所有适用的国家和国际反垄断和贸易控制的法规。合作伙伴不得独自或伙同其他合作伙伴进行市场垄断或不正当竞争的行为。

Anti-Trust and Unfair Competition: Supplier shall comply with all applicable national and international regulations of anti-trust and trade control. Partner is prohibited to have monopoly or unfair competition alone or with other partners.

第五章：负责的矿物采购

Provision 5: Responsible Sourcing of Minerals

负责的矿物采购要求矿产资源的开采、生产、贸易等活动不会造成侵犯人权、破坏环境、助长冲突等风险。为实现这一目标，供应商在供应链管理中应遵守《经济合作与发展组织关于来自受冲突影响和高风险区域的矿石的负责任供应链尽责管理指南》《中国矿产供应链尽责管理指南》《矿产供应链全球负责任采购尽职调查标准—所有矿产》以及腾远《矿产供应链尽责管理政策》与《供应商行为守则》，并在实践中确保其合规性、透明度并持续改进。

Responsible mineral sourcing requires that the extraction, production, and trade of mineral resources do not pose risks such as human rights violations, environmental damage, or exacerbation of conflicts. To achieve this goal, suppliers should adhere to the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, the Chinese Due Diligence Guidelines for Mineral Supply Chain released by CCCMC, Global Responsible Sourcing Due Diligence Standard for Mineral Supply Chains (All Minerals), as well as Tengyuan's Due Diligence Policy for Supply Chain of Minerals and Supplier Code of Conduct. Suppliers must ensure compliance, transparency, and continuous improvement in practice.

第六章：公司治理

Provision 6: Company Management

- 1、管理责任和义务：供应商应设有 ESG 部门或类似岗位，并向公司管理层负责，ESG 负责人应承担管理企业环境、社会责任、公司治理、供应链合规的责任，并拥有相应的职责和权力。

Management Responsibility and Obligation: Suppliers shall establish an ESG department or a similar position that reports to the company's management. The ESG leader shall be responsible for managing the company's environmental, social responsibility, corporate governance, and supply chain compliance, and shall be granted the corresponding responsibilities and authority.

- 2、风险识别与评估：供应商应识别和评估与业务相关的劳工与人权、健康与安全、供应链合规等风险，同时采取适当的程序和控制措施防范和缓解风险。

Suppliers should identify and assess risks related to labor and human rights, the environment, occupational health and safety, and supply chain compliance associated with their business activities, and implement appropriate procedures and

control measures to prevent and mitigate these risks.

- 3、信息传递与沟通：供应商应清晰、准确地向其员工、供应商和客户传递企业政策、合规表现等信息，以提高透明度。

Information Dissemination and Communication: Suppliers should clearly and accurately communicate corporate policies, compliance performance, and other relevant information to their employees, suppliers, and customers to enhance transparency.

- 4、纠正措施流程：对于通过内部和外部审核、评估、检查、调查或评审等发现的不足或违规行为，供应商应建立及时开展纠正措施的流程。

Corrective Action Process: Supplier shall establish a process to correct any deficiencies or violations timely identified by an internal or external audit, assessment, inspection, investigation, or audit.

赣州腾远钴业新材料股份有限公司

2024年12月25日

Ganzhou Tengyuan Cobalt New Material Co.,Ltd

25-December-2024

供应商声明和承诺

Supplier Declaration and Commitment

作为赣州腾远钴业新材料股份有限公司的供应商，我们承诺将遵守本《供应商行为守则》所述条款和内容，我们了解不遵守本《供应商行为守则》将会对与赣州腾远钴业新材料股份有限公司的合作关系带来不利影响。

As a supplier of Ganzhou Tengyuan Cobalt New Materials Co., LTD., we are committed to comply with the terms and contents of this Supplier Code of Conduct. We understand that failure to comply with this Supplier Code of Conduct will cause adverse impact on the cooperation relationship with Ganzhou Tengyuan Cobalt New Materials Co., LTD.

公司名称（盖公章）：

Company name (stamp):

公司代表（签字）：

Company representative (signature):

签署地点与日期：

Signing place and date: