

# Farasis Energy's Supplier Code of Conduct Letter of Commitment

## 孚能科技供应商行为准则承诺书

It is hereby stated that we will comply with the Farasis Energy's Supplier Code of Conduct (hereinafter referred to as "Supplier Code of Conduct") and agree as follows:

本公司特此申明将遵守「孚能科技供应商行为准则」(以下简称“供应商行为准则”)并同意如下:

We commit that all our activities, in addition to complying with this Supplier Code of Conduct, shall adhere to the laws and regulations of the country/region where we operate. In case of any conflict between this Supplier Code of Conduct and the applicable laws and regulations, the latter shall prevail. We further commit to proactively cascading this approach throughout the supply chain, requiring at a minimum that upstream suppliers acknowledge and apply this Supplier Code of Conduct, reflecting the company's fundamental requirements for suppliers regarding respect for human right, environmental protection, and social responsibility.

我们承诺所有活动除遵守本供应商行为准则外,还遵守经营所在国/地区的法律法规,若本供应商行为准则和法律法规有冲突之处,以法律法规为准。我们承诺将主动将此做法应用于整个供应链,至少要求上游供应商认同并应用本供应商行为准则,体现公司对供应商在人权尊重、环境保护和社会责任等方面的基本要求。

# Supplier Code of Conduct

## 《供应商行为准则》

Farasis Energy (Ganzhou) Co., Ltd. (hereinafter, "Farasis Energy") has always been committed to promoting honest business practices and social responsibility in our supply chain, demanding high standards of business ethics and integrity in all our business transactions.

孚能科技(赣州)股份有限公司(以下简称“孚能科技”)一直致力于在供应链中推行诚实的商业行为和社会责任,我们要求在所有商业交易中奉行高标准商业道德与诚信。

To accomplish this goal, Farasis Energy formulates the Supplier Code of Conduct (SCoC), which is intended to reaffirm the commitment of integrity and moral standards and explain to all suppliers the impact of these standards when they conduct business with Farasis Energy. Farasis Energy cherishes the partnership with all suppliers and requires all suppliers to comply with at least the following standards:

在实现这一目标的过程中,孚能科技制定了供应商行为准则(SCoC)。本准则旨在重申孚能科技对诚信与道德标准的承诺,并向所有供应商说明这些标准在他们与孚能科技合作业务时的影响。孚能科技非常珍视与供应商之间的业务关系并要求供应商至少遵守下列标准:

### A. Labor 劳工

Suppliers are committed to upholding the human rights of their employees, and treating them with dignity and respect in accordance with the internationally recognized standards. Employees include temporary worker, immigrant, apprentice, contract worker, direct employee, and any other type of employees.

供应商承诺按照国际社会公认准则维护员工人权,并给予其尊严和尊重。此处的员工包括临时工、移民、学徒、合同工、直接雇员和任何其他类型的员工。

劳工标准如下 **The labor standards are as below:**

#### 1) 童工和未成年工 **Child Labor and Underage Labor**

[Red Line 1] Suppliers shall not employ or use child labor, and shall not employ any person below the minimum legal age for employment. In China, a "child" refers to any person under the age of 16; in other countries, a "child" refers to any person under the age of 15. Where national or local laws and regulations specify a higher compulsory education age or a higher minimum legal age for employment, the higher standard shall prevail. "Child labor" refers to work performed by children or adolescents, except in cases acceptable under the International Labour Organization (ILO) Minimum Age Convention (C1973).

If a supplier discovers the employment or use of child labor, it must immediately take remedial measures. These measures shall primarily consider the best interests of the child and be designed to safeguard them. The supplier shall provide, support, and/or establish policies and programs to help identify any child engaged in child labor.

【红线1】供应商不得雇佣或使用童工，不得雇佣低于最低法定就业年龄的任何人。在中国，“儿童”指任何16周岁以下的人；在其他国家，“儿童”指任何15周岁以下的人；当国家或当地法律法规规定了更高的义务教育年龄或者最低的法定就业年龄时，以较高者为准。“童工”指儿童或青少年从事劳动，国际劳工组织（ILO）最小年龄公约（C1973）规定可以接受的情形除外。

若供应商发现有雇佣或使用童工的行为，应立即采取补救措施，该补救措施应以儿童的最大利益为主要考虑因素，补救措施能保障其最大利益。供应商应提供、支持和/或制定政策和计划，以协助发现任何从事童工的儿童。

Suppliers shall ensure that employees under the age of 18 do not perform any hazardous work. In this context, “hazardous work” means work that exposes employees to underground, underwater, high-altitude and restricted spaces, hazardous machinery, apparatus and tools, or the handling or transport of heavy objects, exposure to hazardous substances, agents, processes, temperatures, noise or vibration, and other improper conditions such as long working hours or night work .

供应商应保证18岁以下员工不会从事有危害性的工作。本供应商行为准则中“危害性工作”指使员工处于以下工作环境：受到身体、精神或性侵犯；地下、水下、高空和受限空间；需使用危险机械、仪器和工具，或处理、运输重物；暴露于有害物质、药剂、工序、温度、噪声或振动环境下；长时间劳动或夜间工作或受到无理由的限制等其他困难环境。

## 2) 强迫劳动 **Forced Labor**

[Red Line 2] Forced labor is strictly prohibited. Suppliers shall not use forced labor, compulsory labor, prison labor, debt bondage, slavery or human trafficking, nor engage in physical or verbal abuse, sexual violence, or similar practices. Suppliers must ensure that the employment relationship between workers and the company is based on free choice and free from coercion.

Workers have the right to resign or terminate their employment relationship after providing reasonable notice. Employees may leave on their own after the expiry of such reasonable notice. All employment relationships must be voluntary. Suppliers shall sign an employment contract with each employee that includes a contractual notice period.

Suppliers shall not require employees to pay deposits, withhold wages, impose debts on employees, or require them to surrender any identity documents or similar papers as a condition of employment or for the retention of wages.

【红线2】严禁强迫劳动。供应商不得使用强迫劳工、强制劳动、监狱劳工、债役、奴役或贩卖人口、肢体或语言虐待、性暴力等。供应商应保证员工和公司之间是自由选择 and 不受胁迫的。

员工有权在给出合理的通知后离职或解除劳动关系。员工可在此类合理通知期满后自行离职。

所有雇佣关系均为自愿。供应商应跟每位员工签署包含合同通知期的雇佣合同。

供应商不得要求员工缴纳押金或不予支付工资或使员工承担债务，或要求员工质押任何身份证明文件或类似证件，并将此作为雇佣或保留工资的条件。

## 3) 工作时间 **Working Hours**

Working hours shall not exceed the maximum limit set by local law. Furthermore, unless in emergency or unusual situations, a workweek should not be more than 60 hours per week, including overtime. Employees shall have at least one day off every seven days.

工作时间不得超过当地法律规定的最大限度。而且，除非遇到紧急或异常情况，一周的工作时间包括加班在内不得超过60个小时。员工每七天至少休息一天。

#### 4) 薪资福利 Wages and Benefits

Compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. Deductions from wages as a disciplinary measure shall not be permitted.

向员工支付的报酬应符合所有适用的薪资法律，包括有关最低薪资、加班时间及法定福利的法律。禁止以扣减工资作为纪律处分手段。

#### 5) 歧视与骚扰 Discrimination and Harassment

The supplier shall prohibit direct or indirect discrimination based on the following and ensure equal opportunity and fair treatment in employment and work: race, color, age, gender, sexual orientation, caste, disability, pregnancy, language, religion, political belief, association membership, marital and childbearing status, national or social origin, social status, property, descent or other circumstances. In addition, employees or prospective employees shall not be forced to undergo discriminatory medical examinations.

供应商应禁止直接或者间接的基于以下情况的歧视并确保雇佣和工作中的机会平等和公平对待：种族、肤色、年龄、性别、性取向、种姓、残疾、怀孕、语言、宗教、政治信仰、社团成员、婚育状况、国家或社会出身、社会地位、财产、血统或其他情况。另外，不得强迫员工或准员工接受带有歧视性的医学检查。

The supplier shall completely prohibit any harassment or abusive behavior, including emotional abuse, sexual harassment, discriminatory gestures, sexual, coercive, threatening, slanderous and exploitative language and physical contact.

供应商应完全禁止任何骚扰或者侮辱性的行为，包括：精神虐待，性骚扰，歧视性的动作，和性有关的、强迫性的、威胁性的、诽谤性的和剥削性的语言和肢体接触。

#### 6) 结社自由与集体协商 Freedom of Association and Collective Bargaining

As required by local law, suppliers shall respect the rights of all employees to freely associate and join unions in collective bargaining and peaceful assembly, and shall respect the rights of employees not to participate in such activities. Employees and/or their representatives shall be able to communicate openly and share suggestions and opinions regarding the working environment and management practices without fear of discrimination, retaliation, threats or harassment.

按照当地法律的要求，供应商应尊重所有员工自由结社及加入工会、集体谈判和参与和平集会的权利，并尊重员工不参加此类活动的权利。员工和/或其代表应能与管理层公开沟通和分享有关工作环境和管理的建议与意见，而无需担心歧视、报复、威胁或骚扰。

#### B. Health and Safety 健康与安全

Suppliers shall understand that in addition to minimizing work-related injuries and illnesses, establishing a safe and healthy work environment improves the quality of products and services, facilitates production, increases employee retention and boosts employee morale. Suppliers shall also understand that ongoing employee engagement and education is critical to identifying and addressing health and safety issues in the workplace.

供应商应了解，除了尽量减少与工作相关的伤病事故以外，建立安全健康的工作环境可提高产品和服务质量，有利于促进生产、提高员工保留率并提升员工士气。供应商还应了解持续的员工投入和教育对于发现和解决工作场所中的健康与安全问题至关重要。

**健康与安全标准如下 The health and safety standards are as below:**

### 1) 职业安全 Occupational Safety

[Red Line 3] It is strictly prohibited to expose employees, contractors, partners, or any other individuals who may be affected by its activities to work environments that could immediately lead to death, severe physical injury, or serious health damage. Hazards in the work environment must be fully identified, and effective control measures must be established to eliminate any work conditions that may pose an immediate risk of death, severe physical injury, or serious health damage. Employees have the right to refuse unsafe work and to report unhealthy working conditions.

【红线3】严禁将员工、承包商、合作伙伴或可能受其活动影响的其他人员暴露在可能立即导致死亡、严重人身伤害和严重健康损害的工作环境中。应当充分识别工作环境中的危险源，并制定有效的控制措施，消除任何可能立即造成死亡、严重人身伤害和严重健康损害的工作环境。员工有权拒绝不安全的作业和报告不健康的工作环境。

Potential safety hazards that employees may encounter (e.g., electrical and other energy sources, fire, vehicle and falling danger) should be controlled through proper design, engineering and administrative controls, preventative maintenance and safe work procedures (including lockout/tagout), and ongoing safety training. If the hazard cannot be effectively controlled by the above means, employees shall be encouraged to raise their safety concerns by providing them with appropriate and well-maintained personal protective equipment and educational information on the risks that may result from the above hazards. 应通过正确的设计、工程和管理控制、预防性维护和安全工作流程（包括上锁/挂牌）以及持续的安全培训来控制员工可能遇到的潜在安全危险（如电器和其他能源、火、车辆及坠落危险）。如果无法通过上述方式有效控制危险，应为员工提供适当的、保养良好的个人防护装备和有关上述危险可能导致风险的教育资料，并应鼓励员工提出安全疑虑。

### 2) 应急准备 Emergency Preparedness

Emergency situations and incidents shall be identified and assessed, and their impact minimized by implementing emergency plans and response procedures, including: emergency report, employee notification and evacuation procedures, employee training and exercise, appropriate fire detection and suppression equipment, adequate exit facilities and recovery plans. Such plans and procedures shall minimize hazards to life, the environment and property.

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、员工培训与演习、适当的火灾侦测及扑灭设备、充足的出口设施和复原计划。此类计划和程序应尽可能减少对人身、环境和财产的危害。

### 3) 工伤和疾病 Occupational Injury and Illness

Procedures and systems shall be in place to prevent, manage, track and report occupational injury and illness, including the following provisions: encourage employees to report; classify and record injury and illness cases; provide necessary medical treatment; investigate cases



and implement corrective actions to eliminate their causes; and facilitate return of employees to work.

应制定程序和体系以预防、管理、跟踪和报告工伤和疾病，包括以下规定：鼓励员工报告；对工伤和疾病案例进行分类和记录；提供必要的医疗服务；调查案例并采取纠正措施以消除影响；帮助员工重返工作。

#### 4) 工业卫生 Industrial Hygiene

The effects of chemical, biological and physical agents on employees shall be identified, evaluated, and controlled. Overexposure to hazards must be controlled by engineering or management measures. If hazards cannot be adequately controlled by such means, health of employees must be protected by appropriate personal protective equipment programs.

应鉴别、评估并控制由化学、生物及物理试剂给员工带来的影响。必须采取工程技术或管理手段来控制危险源过度暴露。无法通过这些方法有效控制危险源时，须通过适当的个人防护装备方案保护员工健康。

#### 5) 强体力型工作 Physically Demanding Work

The impact on employees of physically demanding work, including manual handling of materials and repeated lifting of heavy objects, prolonged standing, highly repetitive or forceful assembly work, should be identified, assessed and controlled.

应鉴别、评估并控制从事强体力型工作给员工带来的影响，包括人工搬运材料和重复提举重物、长时间站立、高度重复或强力的装配工作。

#### 6) 机器防护 Machine Safeguarding

Production equipment and other machinery shall be evaluated for safety hazards. Physical protective guards, interlocking devices and barriers shall be provided and properly maintained for machinery that could lead to employee injuries.

应对生产设备和其他机械进行安全危害评估。应为可能导致员工受伤的机械提供物理防护装置、连锁装置及屏障，并正确进行维护。

#### 7) 公共卫生、饮食和住宿 Sanitation, Food and Accommodation

Employees shall be provided with clean bathroom facilities, drinking water and clean food preparation, storage and dining facilities. Staff accommodation provided by the supplier shall be kept clean and safe and be provided with appropriate emergency exits, hot water for bathing, adequate heating and ventilation, and reasonably accessible private spaces.

应为员工提供干净的卫生间设施、饮用水及洁净的食物准备、储藏与用餐设施。供应商提供的员工宿舍应保持洁净安全，并提供适当的紧急出口、洗浴热水、充足的供暖和通风，以及合理的出入方便的私人空间。

#### 8) 健康与安全的沟通 Communication of Health and Safety

Supplier shall provide employees with appropriate workplace health and safety training in their primary language. Health and safety related information shall be clearly posted in the workplace.

供应商应向员工提供以员工主要语言授课的适当的工作场所健康与安全培训。应在工作场所清晰张贴健康与安全相关信息。

## C. Environment 环境

Suppliers shall recognize that environmental responsibility is integral to producing world class products. In manufacturing operations, suppliers shall minimize adverse effects on the community, environment and natural resources and safeguard the health and safety of the public.

供应商应认识到环境责任是生产世界一流产品的重要部分。在制造作业中，应尽可能减少对社区、环境和自然资源的不利影响，同时保护公众的健康和安全。

环境标准如下 **The environmental standards are as below:**

### 1) 环境许可与报告 **Environmental Permit and Report**

All required environmental permits (e.g. discharge monitoring), approvals and registrations shall be obtained, maintained and renewed and suppliers shall obey their operating and reporting requirements.

应获取、维护并更新所有必需的环境许可证（如排放监测）、批准文书及登记证，并遵守其运营和报告要求。

### 2) 预防污染和节约资源 **Pollution Prevention and Resource Conservation**

The suppliers shall reduce and eliminate all kinds of resource consumption and pollution (including water and energy) from the source or through practice, such as improving the production, maintenance and installation technology, alternating materials, saving resources, recycling and reusing materials. And systematically enhancing resource efficiency, gradually establishing clear performance targets to drive continuous improvement.

应在源头上或通过实践（如改进生产、维护和设施工艺，替换材料、节约资源、材料回收和再利用）减少和消除所有类型的资源耗费和污染（包括水和能源）。致力于系统性地提升资源效率，逐步设定明确的绩效目标以驱动持续改进。

### 3) 有害物质 **Hazardous Substances**

Chemicals and other materials posing a hazard if released to the environment shall be identified and managed to ensure their safe handling, transportation, storage, use, recycle or reuse and disposal. The products that suppliers provide shall comply with local and international general environmental standards, regulations and directives, such as REACH and RoHS. Make time-bound commitments to replace or phase out hazardous substances to the extent possible, collaborate with industry associations or invest in R&D resources/budgets to gradually replace or phase out such substances, and transparently report progress toward achieving these goals.

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，确保其得到安全处理、运输、存储、使用、回收或再利用和处置。供应商提供的产品应符合本地和国际通用的环境标准以及法规和指令，例如REACH、RoHS。在力所能及的情况下，对替代有害物质、淘汰有害物质做出有时限的承诺，与行业协会合作或投入研发资源/预算，逐渐替代或淘汰有害物质，并透明地报告实现目标的进展情况。

### 4) 废水与固体废物 **Wastewater and Solid Waste**

Suppliers shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous). Wastewater generated from operations, industrial processes and sanitation facilities shall be characterized, monitored,

controlled and treated as required prior to discharge or disposal. In addition, measures should be implemented to reduce generation of wastewater. Suppliers shall conduct routine monitoring of the performance of its wastewater treatment systems.

供应商应采取系统化的方法来鉴别、管理、减少和负责任地处置或回收固体废物（非有害物质）。作业活动、工业流程和卫生设施产生的废水在排放或处置前，需按要求进行性质识别、监测、控制和处理。此外，还应采取措施减少废水产生。供应商应对其废水处理系统性能进行常规监测。

## 5) 废气排放 Exhaust Emissions

Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting chemicals and combustion by-products generated from operations shall be characterized, routinely monitored, controlled and treated as required prior to discharge. Suppliers shall conduct routine monitoring of the performance of its exhaust emission control systems.

经营过程中产生的挥发性有机化学物质、气溶胶、腐蚀物、粉尘、消耗臭氧层的化学品和燃烧副产物等废气排放，需在排放前按要求进行性质识别、常规监测、控制及处理。供应商应对其废气排放控制系统性能进行常规监测。

## 6) 材料限制 Material Restrictions

Suppliers shall 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. Minimize the negative impact of raw materials on sustainability; where feasible, collaborate with external stakeholders to develop best practices for sustainable raw materials, increase the proportion of third-party certified materials, raise the utilization rate of recycled materials, and avoid sourcing from globally or nationally critical biodiversity areas.

供应商应遵守所有关于禁止或限制在产品 and 制造过程中使用特定物质（包括有关回收和处置的标识）的适用法律法规和客户要求。最大限度降低原材料对可持续性的负面影响，在可行的情况下，与外部利益相关方合作制定可持续原材料的最佳实践方案，增加第三方认证原材料的使用比例，提升再生原材料的使用比例以及避免使用来自全球或国家重要生物多样性保护区内的原材料。

## 7) 暴雨管理 Storm Water Management

Suppliers shall implement a systematic approach to prevent contamination of storm water runoff. Suppliers shall prevent illegal discharges and spills from entering storm drains.

供应商应采取系统化的方法来预防暴雨径流污染。供应商应防止非法的排放和泄漏物质进入排水渠。

## 8) 能源消耗和温室气体排放 Energy Consumption and Greenhouse Gas Emissions

Energy consumption and greenhouse gas emissions shall be tracked and documented, at the facility and/or corporate level. Suppliers shall seek cost-effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

应在工作场所级和/或企业级对能源消耗和温室气体排放进行跟踪和记录。供应商应寻求具有成本效益的方式以提高能源效率并尽可能减少能源消耗和温室气体排放。



## 09) 土壤管理 Soil Management

Suppliers' construction land shall conform to territorial spatial planning, annual land use plans, and land use control regulations, as well as requirements for resource conservation and ecological environment protection. Suppliers shall strictly implement construction land use standards and refrain from engaging in land development activities within areas designated as prohibited for reclamation under territorial spatial planning.

When conducting production or business activities, suppliers shall take effective measures to prevent and mitigate soil pollution, and shall bear legal liability for any soil pollution caused in accordance with applicable laws.

供应商的建设用地应当符合国土空间规划、土地利用年度计划和用途管制以及节约资源、保护生态环境的要求，并严格执行建设用地标准，不得在国土空间规划确定的禁止开垦的范围内从事土地开发活动。

在从事生产经营活动时，应当采取有效措施，防止、减少土壤污染，对所造成的土壤污染依法承担责任。

## 10) 生物多样性 Biodiversity

Suppliers shall comply with the Convention on Biological Diversity (CBD) to mitigate adverse impacts of their operations, services, and products on biodiversity, including but not limited to damage to habitats, wildlife, flora, and ecosystems.

Suppliers shall not support activities detrimental to biodiversity, such as selling hunting tools for wildlife or engaging in wildlife trade. Conversely, they shall actively support, advocate for, and promote biodiversity conservation initiatives.

供应商应遵循《生物多样性公约》，减少运营、服务和产品对生物多样性的负面影响（包括但不限于对栖息地、野生动物、植物群和生态系统的破坏）。

不支持对生物多样性有危害的活动，例如不售卖捕猎野生动物的工具，不进行野生动物交易，同时支持、倡导、宣传生物多样性保护。

## 11) 噪声与振动管理 Noise and Vibration Management

Suppliers shall systematically identify and manage all categories of noise sources (including production machinery and transportation vehicles), implementing source control measures (such as procuring low-noise equipment and optimizing production processes), strategically locate noise-generating facilities, and apply acoustic mitigation techniques including sound insulation, absorption, noise cancellation, and vibration damping to minimize impacts of vibration and acoustic emissions on adjacent residential communities and the ecological environment.

供应商应识别、管理各类噪声源（如生产设备、运输车辆等），采取噪声源头控制（如选用低噪声设备、优化工艺流程等），合理布局噪声源，利用隔声、吸声、消声、减振等措施，减少振动、噪声对周边社区居民及环境的影响。

## 12) 植物安全 Plant Safety

Suppliers shall comply with the International Plant Protection Convention (IPPC) to mitigate adverse impacts of their operations, services, and products on plant health, and refrain from supporting activities detrimental to plant ecosystems. Specific measures include standardizing planting practices during landscape construction projects, strictly prohibiting indiscriminate harvesting and unauthorized excavation activities, while encouraging suppliers

to engage in public education initiatives and volunteer programs that promote plant conservation.

供应商应遵循《国际植物保护公约》，减少运营、服务和产品对植物安全的负面影响，不支持对植物有危害的活动。例如规范园林建设过程中的种植行为，严格禁止乱采乱挖等行为，鼓励供应商通过参与科普活动、志愿者服务等形式来宣传和保护植物。

## D. Ethics 道德规范

In order to fulfill social responsibility and establish a successful position in the market, suppliers shall adhere to the highest standards of ethics, including:

为履行社会责任并确立市场成功地位，供应商应遵循最高标准的道德要求，包括：

### 1) 腐败贿赂等违法行为 **Corruption, Bribery and Other Illegal Acts**

The supplier shall comply with laws and regulations regarding bribery, corruption, fraud and other prohibited business practices, including but not limited to America's Foreign Corrupt Practices Act (FCPA), UK Bribery Act and OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions. The supplier shall not promise to provide or provide any benefit, advantage or incentive, whether directly or indirectly, to any government official, international agency or third party that would influence or have the tendency to influence any business decision. The supplier shall not directly or indirectly provide any form of benefit, such as goods, gift cards, coupons, money, services, reception, employment, donation, etc., which may be regarded as bribery to Farasis' s employees, representatives and others.

供应商应遵守有关贿赂、腐败、诈骗和其他禁止的商业行为的法律法规（包括但不限于美国“反海外腐败法”、英国“反贿赂法”和根据经合组织“打击在国际商业交易中贿赂外国公职人员行为的公约”颁布的法律）。供应商不能允诺提供或提供任何将会影响或可能影响任何业务决策的好处、利益或者激励给任何政府官员、国际机构或第三方，不管是直接给予还是间接提供。供应商不能直接或者间接向孚能科技员工、代表或其他人员提供可能被认定为贿赂的任何形式的好处（如：物品、礼品卡、礼券、金钱、服务、接待、雇佣、捐赠等）。

### 2) 洗钱 **Money Laundering**

The supplier shall persistently object to all forms of money laundering and take measures to prevent financial transactions from being used for money laundering by others, which shall not violate the laws and regulations of combating money laundering and terrorist financing or conduct business with customers who have illegal funding sources.

供应商应坚定反对各种形式的洗钱并采取措施防止其金融交易被他人用于洗钱活动，不得违反反洗钱和反恐怖融资的法律和法规，不得与资金来源不合法的客户开展业务。

### 3) 维护公平竞争 **Defending Fair Competition**

The supplier undertakes to comply with and uphold the laws, regulations and compliance requirements for maintaining fair competition in the market, including the Anti-Unfair Competition Law and the Anti-Monopoly Law. Under no circumstance shall the supplier lead to or participate in any conduct limited by the general or special competition regulations, including collective price fixing, illegal market allocation, the colluding in bidding, establishment of price alliance, sabotage of tendering procedure, sensitive information exchange with competitors, segregation of the market and the limit of the production volume.

供应商承诺遵守并维护反不正当竞争法和反垄断法等维护市场公平竞争的法律法规及合规要求，在任何情况下都不能引发或者参与所有通用或特定竞争规定中所限定的行为，包括集体操纵价格、非法市场分配、串标、形成价格联盟、破坏投标程序、与竞争对手交换敏感信息、分割市场、限制产品生产产量等。

#### 4) 贸易合规 Trade Compliance

Any goods or services procured by the Supplier for Farasis Energy shall not originate from any entity known to be based in or belonging to or controlled by Cuba, Iran, North Korea, Sudan, Syria or the Crimea region of Ukraine or any other person or entity listed on the applicable Denied or Restricted Party List. When the supplier provides goods to Farasis Energy, the origin, routing or shipping route of the goods or the port of call (whether unloaded or not) shall not be any country subject to trade sanctions, including Cuba, Iran, North Korea, Sudan, Syria or the Crimea region of Ukraine.

供应商为孚能科技采购的任何商品或服务不得来自于已知总部位于或所属于或受控于古巴、伊朗、朝鲜、苏丹、叙利亚或乌克兰克里米亚地区的任何实体或适用的被拒方或受限方名单上列出的任何其他个人或实体。供应商为孚能科技提供货物时，商品的原产地、途经或货运路线或经停港口（无论是否卸货）不得是任何受贸易制裁的国家，这些国家包括古巴、伊朗、朝鲜、苏丹、叙利亚或乌克兰克里米亚地区。

#### 5) 信息披露 Disclosure of Information

Relevant participant Information regarding labor, health and safety, environmental practices, business activities, corporate structure, financial situation and performance shall be disclosed in accordance with applicable regulations and prevailing industry practices. Falsification of records or misrepresentation of conditions or practices in the supply chain are unacceptable. 依照适用法规和主要的行业惯例公开有关参与者劳工、健康与安全、环境实践、商业活动、公司架构、财务状况和绩效的信息。不允许伪造记录或虚报供应链中的状况或实践。

#### 6) 知识产权 Intellectual Property

Intellectual property rights shall be respected. Technology and experiential knowledge shall be transferred in a manner that protects intellectual property rights.

应尊重知识产权，技术或经验知识的转让应以保护知识产权的方式进行。

#### 7) 公平交易、广告和竞争 Fair Dealing, Advertising and Competition

Standards of fair business, advertising and competition shall be upheld. Appropriate means to safeguard customer information shall be available.

应秉持公平交易、广告和竞争的标准。必须以适当的方式保护客户信息安全。

#### 8) 身份保护和无报复政策 Protection of Identity and Non-Retaliation Policy

Procedures shall be formulated to protect whistleblowers and to ensure the confidentiality and anonymity of their identity, unless explicitly prohibited by law. The supplier shall develop the procedure of communication to enable employees to raise concerns without fear of retaliation.

应制定程序以保护员工举报者并确保其身份的机密性和匿名性，除非法律明令禁止。供应商应制定沟程序，让员工能够提出疑虑而无需担心遭到报复。

## 9) 负责任的矿物采购 Responsible Sourcing of Minerals

Suppliers shall have a policy to reasonably assure that the tantalum, tin, tungsten and gold in the products they manufacture does not directly or indirectly finance or benefit armed groups that are perpetrators of serious human rights abuses in the Democratic Republic of the Congo or an adjoining country. Suppliers shall exercise due diligence on the source and chain of custody of these minerals and other minerals, which are requested by Farasis Energy, and make their due diligence measures available to customers upon customer request.

供应商应制定政策以合理确保其制造产品中所含的钽、锡、钨和金不会以直接或间接的方式为刚果民主共和国或周边国家/地区中严重侵犯人权的武装团体提供资金或利益。供应商应对这些矿物和其他孚能所要求的矿物的来源和产销监管链进行尽职调查，并按照客户要求向客户提供所采取的尽职调查措施。

## 10) 隐私 Privacy

The supplier shall undertake to protect reasonable expectation of privacy for the personal information of all persons involved in their business, including suppliers, clients, consumers and employees. The supplier shall comply with privacy and information security laws and regulatory requirements when personal information is collected, stored, processed, transmitted, and shared.

供应商应承诺保护所有业务相关人员，包括供应商、客户、消费者和员工的个人信息的合理隐私期望。供应商在收集、存储、处理、传输和共享个人信息时应遵守隐私和信息安全法律及法规要求。

## E. Management System 管理体系

Suppliers shall adopt or establish a management system whose scope is relevant to the content of this Code. The management system shall be designed to ensure: (a) compliance with applicable laws, regulations and customer requirements related to the supplier's operations and products; (b) adherence to this Code; and (c) identification and mitigation of operational risks related to this Code. The system shall also promote continuous improvement.

供应商应采用或建立范围与本准则内容相关的管理体系。在设计该管理体系时，应确保：(a) 符合与供应商的经营和产品相关的适用法律、法规及客户要求；(b) 符合本准则；以及(c) 识别并减低与本准则相关的经营风险。该体系还应推动持续改进。

该管理体系应包含以下要素 **The management system shall contain the following elements:**

### 1) 公司承诺 Commitment of the Company

The corporate social and environmental responsibility policy statements shall clarify the supplier's commitment to compliance and continual improvement, endorsed by management and posted in the workplace in the local language.

企业社会和环境责任政策声明，应阐明供应商对合规和持续改进的承诺并由管理层签署，以当地语言印发。

### 2) 管理问责与责任 Management Accountability and Responsibility

The supplier shall clearly identify senior executive and company representative(s)



responsible for ensuring implementation of the management systems and associated programs. Senior management reviews the status of the management system on a regular basis.

供应商应明确指定由高层管理和公司代表负责确保管理体系和相关方案的实施。高层管理应定期审核管理体系状态。

### 3) 法律要求与客户要求 **Legal Requirements and Customer Demands**

Procedure to identify, monitor and understand applicable laws, regulations and customer requirements, including the requirements of this Code.

用以鉴别、监测和理解适用法律法规及客户要求（包括本准则的要求）的程序。

### 4) 风险评估与风险管理 **Risk Assessment and Management**

Procedure to identify legal compliance, environment, health and safety, labor practice and ethics risks associated with suppliers' operations. Determination of the relative significance for each risk and implementation of appropriate procedural and physical controls to control the identified risks and ensure regulatory compliance.

用以识别与供应商经营相关的法律遵从、环境、健康与安全，以及劳动实践和道德风险的程序。确定各风险的相对重要程度，实施适当的程序和实质控制措施，以控制已识别风险并确保合规。

### 5) 改进目标 **Improvement Objectives**

Written performance objectives, targets and implementation plans to improve the supplier's social and environmental performance, including a periodic assessment of Supplier's performance in achieving those objectives.

用于提高供应商社会和环境绩效的书面绩效目标、指标和实施计划，包括对供应商为达成这些目标所取得的绩效进行定期评估。

### 6) 培训 **Training**

Programs for training managers and employees to implement Supplier's policies, procedures and improvement objectives and to meet applicable legal and regulatory requirements.

培训管理者和员工以实现供应商的政策、程序和改进目标并符合适用法律法规要求的计划。

### 7) 沟通 **Communication**

Procedure to convey clear and accurate information about Supplier's policies, practices, expectations and performance to employees and customers.

用以向员工和客户清晰准确地传达有关参与者政策、实践、期望和绩效信息的程序。

### 8) 员工反馈和参与 **Employee Feedback and Participation**

Ongoing processes to assess employees' understanding of this Code, and obtain feedback on practices and conditions covered by this Code and to foster continuous improvement.

评估员工对本准则中实践和条件的理解并获得反馈，以及促进持续改进的不间断程序。

### 9) 审核与评估 **Audits and Assessments**

Periodic self-evaluations to ensure conformity to legal and regulatory requirements related to social and environmental responsibility, the content of the Code and customer contractual



requirements.

定期进行自我评定，确保符合与社会和环境责任相关的法律和法规要求、本准则中的内容以及客户合同要求。

#### 10) 纠正行动程序 **Corrective Action Process**

Procedure for timely correction of deficiencies identified by internal or external assessments, inspections, investigations and reviews.

用以及时纠正内部或外部评估、检查、调查及审核中发现的缺陷的程序。

#### 11) 文档和记录 **Documentation and Record**

Creation and maintenance of documents and records to ensure regulatory compliance and conformity with company requirements along with appropriate confidentiality to protect privacy.

创建和维护文档和记录，确保遵从法规并符合公司要求和保护隐私的相关保密条款。

#### 12) 供应商责任 **Supplier Responsibility**

Procedure to communicate Code requirements to customers and to monitor customer compliance to the Code.

用以向客户传达准则要求并监督其遵从情况的程序。

#### 报告和通知 **Report and Notice**

To support the conduct of compliance work, Farasis Energy reserves the right to conduct appropriate anti-corruption and anti-bribery background checks or due diligence on all suppliers. It will also conduct continuous supervision of cooperative activities, carry out audits and risk assessments, and may conduct on-site audits of suppliers (and/or assign third-party supervisors to conduct such audits) with or without prior notice, so as to assess whether suppliers have complied with relevant laws, regulations and this Code of Conduct.

配合合规工作开展，孚能科技有权对所有供应商进行适当的反腐败反贿赂的背景调查或尽职调查，并对合作行为进行持续监督，开展稽核和风险评估，可能会在预先通知或不通知的情况下前往（和/或委派第三方监察人员前往）审核供应商，以评估供应商是否遵守了法律法规及本准则。

Suppliers shall actively cooperate and provide true, accurate and complete information and materials. Once a supplier is identified and confirmed to have provided false or incorrect information or violated this Code of Conduct, the company will conduct assessment and handling in accordance with relevant management systems and provisions. In case of serious circumstances or high-risk issues, Farasis Energy will take measures such as suspending or terminating cooperation and including the supplier in the blacklist. Meanwhile, Farasis Energy reserves the right to pursue relevant legal liabilities against the supplier.

供应商应积极配合并提供真实、准确和完整的信息和资料。一旦被识别并确认供应商存在提供虚假、错误信息或违反本准则的情况，公司将根据相关管理制度及规定进行评估、处理；情节严重或存在高风险事项的，孚能科技将采取中止或终止合作、纳入黑名单等措施。同时，孚能科技保留向其追究相关法律责任的权利。

When conducting supplier audits, Farasis Energy will conduct surveys or interviews with

suppliers' employees based on the audit situation to gain a detailed understanding of suppliers' sustainability risks and performance. The company has established relevant channels to receive complaints regarding supply chain sustainability. If you have any questions about this Code of Conduct, you may contact us via email at

[Sustainability@farasisenergy.com.cn](mailto:Sustainability@farasisenergy.com.cn).

孚能科技对供应商审核时，会依据审核情况对供应商的员工进行调研或访谈，以详细了解供应商的可持续发展风险及表现，公司已建立相关渠道来接收关于供应链可持续的投诉，如果您对本准则有任何疑问，可通过邮件（[Sustainability@farasisenergy.com.cn](mailto:Sustainability@farasisenergy.com.cn)）联系我们。

Any organization or individual who discovers any suspected or ongoing violations of this Code of Conduct, or applicable anti-corruption and anti-bribery laws, regulations and requirements, please provide feedback to us through the following channels. Farasis Energy will handle your inquiries or reports seriously and strictly prohibit any form of retaliation.

任何机构或个人，只要发现任何疑似或正在违反本准则或所适用反腐败、反贿赂法律法规及要求的，请通过以下渠道向我们进行反馈。孚能科技将严肃处理您的咨询或举报，并严禁任何形式的报复打击行为。

### **Farasis Energy Integrity Supervision Channels**

Report Hotline: 0797-7329850

Report Email: [fnlianjie@farasisenergy.com.cn](mailto:fnlianjie@farasisenergy.com.cn)

In-person Report: Audit and Supervision Department, West Side of the 5th Floor, Administrative Building, Ganzhou Base

In-person Report: Submit to the Disciplinary Inspection and Supervision Report Email of the company's Ganzhou Base Factory Area and Zhenjiang Base Factory Area

**孚能科技廉洁监督渠道**

举报电话: 0797-7329850

举报邮箱: [fnlianjie@farasisenergy.com.cn](mailto:fnlianjie@farasisenergy.com.cn)

面谈举报: 赣州基地行政楼五楼西侧审计监察部

书面举报: 提交至公司赣州基地厂区、镇江基地厂区纪检监察举报邮箱

## References 参考资料

[1] Responsible Business Alliance (RBA) - Code of Conduct

责任商业联盟《行为守则》

<https://www.responsiblebusiness.org/code-of-conduct/>

[2] Social Accountability International (SAI) - SA 8000 Standard

SAI《社会责任标准（SA8000）》

<https://sa-intl.org/>

[3] United Nations - Universal Declaration of Human Rights

联合国《世界人权宣言》

<https://www.un.org/en/about-us/universal-declaration-of-human-rights>

[4] ISO 14001 Environmental Management Systems, ISO 45001 Occupational Health and Safety Management Systems, ISO 50001 Energy Management Systems

ISO 14001 环境管理体系、ISO 45001 职业健康和安全管理体系、ISO 50001 能源管理体系

<http://www.iso.org/iso/home.html>

[5] ILO International Labor Standards

国际劳动组织（ILO）

<http://www.ilo.org/global/lang--en/index.htm>

[6] Foreign Corrupt Practices Act

《海外反腐败法（FCPA）》

<https://www.justice.gov/jm/jm-9-47000-foreign-corrupt-practices-act-19>

**Supplier Signature 供应商签章** \_\_\_\_\_