

defined in Chapter 3, wherein the sub-clause (d) defines one of the form, that is work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children);

2. Any forms of torture, cruel, inhuman and degrading treatment.
3. Any forms of forced or compulsory labour, which means work or service which is exacted from any person under the menace of penalty and for which said person has not offered himself voluntarily;
4. Other gross human rights violations and abuses such as widespread sexual violence;
5. War crimes or other serious violations of international humanitarian law, crimes against humanity or genocide.

CATL will immediately suspend or discontinue engagement with upstream suppliers where we identify a reasonable risk that they are sourcing from, or linked to, any party committing serious abuses.

CATL will not tolerate any direct or indirect support to non-state armed groups through the extraction, transport, trade, handling or export of minerals. "Direct or indirect support" to non-state armed groups through the extraction, transport, trade, handling or export of minerals includes, but is not limited to, procuring minerals from, making payments to or otherwise providing logistical assistance or equipment to, non-state armed groups or their affiliates who:

1. illegally control mine sites or otherwise control transportation routes, points where minerals are traded and upstream actors in the supply chain; and/or
2. illegally tax or extort money or minerals at points of access to mine sites, along transportation routes or at points where minerals are traded; and/or
3. illegally tax or extort intermediaries, export companies or international traders.

CATL will immediately suspend or discontinue engagement with upstream suppliers where CATL identify a reasonable risk that they are sourcing from, or linked to, any party providing direct or indirect support to non-state armed groups.

1. CATL agree to eliminate, in accordance with the following rules of risk management of public or private security forces, direct or indirect support to public or private security forces who illegally control mine sites, transportation routes and upstream actors in the supply chain; illegally tax or extort money or minerals at point of access to mine sites, along transportation routes or at points where minerals are traded; or illegally tax or extort intermediaries, export companies or international traders.
2. CATL recognize that the role of public or private security forces at the mine sites and/or surrounding areas and/or along transportation routes should be solely to maintain the rule of law, including safeguarding human rights, providing security to mine workers, equipment and facilities, and protecting the mine site or transportation routes from interference with legitimate extraction and trade.
3. Where CATL or any company in our supply chain contract public or private security forces, CATL commit to or we will require that such security forces will be engaged in accordance with the *Voluntary Principles on Security and Human Rights*. In particular, CATL will support or take steps, to adopt screening policies to ensure that individuals or units of security forces that are known to have been responsible for gross human rights abuses will not be hired.
4. CATL will support efforts, or take steps, to engage with central or local authorities, international organizations and civil society organizations to contribute to workable solutions on how transparency, proportionality and accountability in payments made to public security forces for the provision of security could be improved.
5. CATL will support efforts, or take steps, to engage with local authorities, international organizations and civil society organizations to avoid or minimize the exposure of vulnerable groups, in particular, artisanal miners where minerals in the supply chain are extracted through artisanal or small-scale mining, to adverse impacts associated with the presence of security forces, public or private, on mine sites.

In accordance with the specific position of the company in the supply chain, CATL will immediately devise, adopt and implement a risk management plan with upstream suppliers and other stakeholders to prevent or mitigate the risk of direct or indirect support to public or private security forces, as defined in paragraphs 1 of regarding public or private security force, where we identify that such a reasonable risk exists. In such cases, CATL will suspend or discontinue engagement with upstream suppliers after failed attempts at mitigation within six months from the adoption of the risk management plan. Where CATL identify a reasonable risk of activities inconsistent with paragraphs 4 and 5 of regarding public or private security force, we will respond in the same vein.

CATL will not offer, promise, give or demand any bribes, and will resist the solicitation of bribes to conceal or disguise the origin of minerals, to misrepresent taxes, fees and royalties paid to governments for the purposes of mineral extraction, trade, handling, transport and export.

CATL will support efforts, or take steps, to contribute to the effective elimination of money laundering where CATL identify a reasonable risk of money-laundering resulting from, or connected to, the extraction, trade, handling, transport or export of minerals derived from the illegal taxation or extortion of minerals at points of access to mine sites, along transportation routes or at points where minerals are traded by upstream suppliers.

CATL will ensure that all taxes, fees and royalties related to mineral extraction, trade

and export from conflict-affected and high-risk areas are paid to governments and, in accordance with the company's position in the supply chain, CATL commit to disclose such payments in accordance with the principles set forth under the *Extractive Industry Transparency Initiative (EITI)*.

In accordance with the specific position of the company in the supply chain, CATL commit to engage with suppliers, central or local governmental authorities, international organizations, civil society and affected third parties, as appropriate, to improve and track performance with a view to preventing or mitigating risks of adverse impacts through measurable steps taken in reasonable timescales. CATL will suspend or discontinue engagement with upstream suppliers after failed attempts at mitigation.

When purchasing or producing, CATL neither benefit, assist, or facilitate any party providing the life-threatening occupational environment for any of its direct and/or indirect employees and/or anyone at its production site, nor purchase from or in any manner engage the party providing the same.

CATL will immediately suspend or discontinue engagement with upstream suppliers if we reasonably believe that the upstream supplier provides the life-threatening occupational environment for any of its direct and/or indirect employees and/or anyone at its production site, purchase from or in any manner engage any party providing the same.

When purchasing or producing, CATL neither employ the child labor under the

minimum age as specified by the applicable law and regulations of the host country, nor benefit, assist, or facilitate the aforesaid employment, nor purchase from or in any manner engage any party employing the same. If there is no applicable law and regulations in the host country relating to the minimum age, it shall be 16 years.

CATL will immediately suspend or discontinue engagement with upstream suppliers if we reasonably believe that the upstream supplier employs the child labor under the minimum age, purchase from or in any manner engage any party employing the same.

CATL will not engage in or tolerate extracting resources or otherwise benefiting from land where the free, prior and informed consent of local communities and indigenous peoples has not been obtained, including those for which the extractor holds a legal title, lease, concession, or license. CATL will not engage in or tolerate extracting resources or otherwise benefiting from mining operations where the culture and heritage of local communities and indigenous peoples have not been respected and protected, or where traditional cultures of local peoples have been harmed. CATL will not engage in or tolerate extracting resources or otherwise benefiting where a legal title, lease, concession, or license has been illegally obtained or violates national law. CATL

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