

## Supplier Standards on Responsible Procurement

### 关于负责任采购的供应商标准

#### 1. Objective

##### 目的

This Supplier Standards for Responsible Sourcing (Standards) provides additional detailed explanations on the materials used in products sold to GEM and its suppliers, is the supplement of GEM Supplier Code of Conduct (Code of Conduct). GEM's suppliers shall comply with this standard to meet the requirements of the code. The terms and conditions of the guidelines have been incorporated into this standard. If there is any conflict between the two, this standard shall prevail and be regarded as a modification of the guidelines. This standard will be incorporated into all supplier legal contracts.

此《关于负责任采购的供应商标准》（以下简称《标准》）就出售给格林美及其供应商的产品所用材料额外的进行详细阐释，是对《格林美供应商行为准则》（以下简称《准则》）的补充。格林美的供应商应遵守此标准以符合准则要求。准则的条款和条件已被纳入此标准之中，若两者出现任何冲突，应以此标准为准，并视作对准则的修改。本标准将纳入所有的供应商法律合同中。

#### 2. Scope

##### 范围

This standard applies to all GEM suppliers, subcontractors and their sub-suppliers (hereinafter referred to collectively as the "supplier"), whose metal-containing raw materials or products are used in GEM's products or provided with GEM Services related to metal products. This standard sets out the applicable constraints for all materials sold to GEM and its suppliers in order to ensure that the materials, components and procurement and production process used for the products are in compliance with the GEM supplier Code of Conduct. Any problems with this standard can be fed back to CSR@gem.com.cn.

此标准适用于所有格林美供应商、分包商及其下级供应商(这里的每一级供应商统称供应商)，其生产的含金属原料或产品用在格林美的产品上或者提供与格林美的含金属产品相关的服务。此标准为确保出售给格林美及其供应商的产品所用的材料、元器件和采购及生产过程符合格林美供应商行为准则，对其所有材料可适用的约束进行了阐述。关于此标准有任何问题，可反馈至邮箱 CSR@gem.com.cn.

#### 3. Supplier Standards on Responsible Procurement

##### 供应商行为准则要求

Suppliers should comply with the Chinese Due Diligence Guidelines for Minerals Supply Chains (Chinese Guidance) and OECD Due Diligence Guidance for

Responsible Mineral Supply Chains from Conflict-Affected and High Risk Areas (OECD Guidance), to conduct due diligence on the source of minerals in products throughout its supply chain to determine whether the minerals are sourced from identified high-risk areas. If so, to determine whether the minerals in it directly or indirectly violate human rights, and the supplier shall meet the reporting and procurement requirements mentioned in this standard. GEM has the right to audit suppliers based on the compliance described in GEM Supplier Code of Conduct.

供应商应按照《中国负责任矿产供应链尽责管理指南》和《经合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》（以下简称《中国指南》和《经合组织指南》）相关要求，就其整个供应链关于产品中矿产的来源开展尽责管理，确定其中的矿产是否来自被识别的高风险地区。如果是，确定其中的矿产是否直接或间接为侵犯人权，供应商应满足本标准提到的报告和采购的要求。格林美有权根据《格林美供应商行为准则》所描述的符合性对供应商进行审核。

#### **4. Standards of Supplier Responsibility**

##### **供应商责任标准**

##### **4.1 Mineral Resource Constraints in High-risk Areas**

###### **高风险地区矿产资源限制**

Suppliers that contain cobalt or lithium or other materials in their products must adopt GEM Due Diligence Policy on Responsible Global Supply Chains (GEM Due Diligence Policy). This policy and GEM are responsible for establishing a responsible global supply chain. The GEM Supplier Code of Conduct formulated by the supply chain is consistent. Suppliers must distribute their due diligence policies to their subcontractors and suppliers who provide materials for processing and producing products.

生产的产品中含钴或锂或其他材料的供应商必须采用《格林美关于负责任全球供应链的尽责管理政策》（以下简称《格林美尽责管理政策》），该政策与格林美为建立负责任的全球供应链所制定的《格林美供应商行为准则》一致。供应商必须向其分包商和为加工和生产产品所提供物料的供应商分发他们的尽责管理政策。

Suppliers can use the processed minerals and products only if they can reasonably prove that they have addressed the source and custody chain of the minerals in accordance with the Chinese and OECD guidance, identified and responded to the worst forms of child labor in the mineral supply chain and met the reporting and procurement requirements of the standards.

供应商只有在下列情况下才可以使用矿产的加工品和产品，即供应商能合理证明已经按照《中国指南》、《经合组织指南》，针对矿产的来源和监管链，识别和回应了矿产供应链中最恶劣形式的童工，并满足标准中对于报告和采购的要求。

If supplier cannot reasonably prove that i) they have carried out due diligence in

accordance with the Chinese Guidance and OECD Guidance, and ii) these minerals have met this standard for reporting and procurement if required, the supplier is not allowed to use the affected minerals in any processing or product.

如果供应商无法合理证明 i)对任何加工或产品中含有的矿产，其已经按照《中国指南》和《经合组织指南》开展了尽责管理，并且 ii)这些矿产已满足本标准的报告和采购要求，则供应商不允许在任何加工或产品中使用受影响的矿产。

The supplier shall provide GEM with reasonable written evidence of its reporting, procurement and due diligence management, and shall provide the record to GEM upon its request.

供应商应向格林美提供关于其报告、采购和尽责管理活动的合理的书面证据，且应在格林美要求时将此记录提供给格林美。

The supplier shall distribute this standard to all relevant purchasers and factory managers, and ensure that their factories comply with the obligations and requirements stipulated in this standard.

供应商应将此标准分发给自己所有生产产品的工厂的相关采购人员及工厂管理层，并确保他们的工厂遵守此标准规定的义务和要求。

## 4.2 Due Diligence Statement

### 尽责管理声明

The Chinese Guidance establishes a framework for the use of due diligence to confirm the source of minerals and the custody chain. Supplier shall make the following declaration using the relevant due diligence procedures:

《中国指南》为运用尽责管理来确认矿产的来源和监管链建立了框架。供应商应采用相关的尽责管理程序进行如下声明:

- 1) Make every effort to ensure that the use and sale of materials does not contribute to human rights violations in high-risk countries.  
全力保障材料的使用和销售不助长高风险国家的人权侵犯。
- 2) Conduct due diligence on the source of products in the supply chain and custody chain. (For example, apply nationally and internationally recognized supply chain due diligence standards, such as Chinese Guidance and OECD Guidance).  
对于供应链中产品的来源和监管链开展尽责管理（例如：应用已得到国家和国际认可的供应链尽责管理标准，如《中国指南》和《经合组织指南》）。
- 3) At the written request of GEM, GEM has can consult all documents and evidence attesting to its due diligence management.  
经格林美书面要求，格林美可查阅证明其尽责管理措施的所有文件和证据。
- 4) The supplier shall agree that GEM or a third party designated by GEM has the right to inspect the supplier's supply chain and the transportation route, including the

transportation route and the source of the mining area, if it is reasonably acceptable. And in order to verify the supplier's compliance with the code, the supplier shall fully cooperate and support.

供应商在合理的可接受的情况下, 应同意格林美或格林美指定的第三方有权在供应商场地和供应商的供应链进行检查, 包括运输路线和矿区源头。并且为了核实供应商对准则的合规性, 供应商应全力配合和支持。

- 5) If the supplier finds any relevant warning signals in the supply chain indicating that any product is involved in the human rights violations, as referred to in the Chinese Guidance and OECD guidance, especially the worst forms of child labor, they must notify GEM immediately.

如果供应商发现供应链中任何相关预警信号表明任何产品涉及《中国指南》和《经合组织指南》中提到的人权侵犯尤其是最恶劣形式的童工问题, 必须立即通知格林美。供应商必须立即写邮件到 [CSR@gem.com.cn](mailto:CSR@gem.com.cn) 通知格林美。该通知必须有合理的追踪信息以识别哪些产品中可能含有受影响的矿产。

For any supplier that cannot meet the requirements of this standard, GEM reserves the right to terminate its business.

对于任何不能满足此标准要求的供应商, 格林美保留终止与其业务的权利。

GEM Co., Ltd  
格林美股份有限公司

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