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FinDreams Battery

FinDreams Battery

Compliance Code of Conduct



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FinDreams Battery Company Limited

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FinDreams Battery Compliance Code of Conduct



Purpose

FinDreams Battery Company Limited (hereinafter referred to as "FinDreams Battery", "the Company" or "we") is committed to being a practitioner and leader in sustainable development. We strive to fulfill people's aspirations for a better life through green technological innovation, lawful and compliant operations, attention to the welfare of employees and society, and proactive response to climate change.

The establishment of this code of conduct by FinDreams Battery aims to clarify the behavioral standards and fundamental principles we adhere to in our business dealings with all stakeholders. It communicates to society the core values we uphold when selecting partners.

Reference

The formulation of FinDreams Battery Compliance Code of Conduct has referenced international standards such as the United Nations Global Compact Ten Principles, the United Nations Guiding Principles on Business and Human Rights, and the United Nations Convention against Corruption, as well as the laws and regulations of the regions in which it operates and exemplary practices in social responsibility.

Scope

This Code of Conduct applies to FinDreams Battery and its subsidiaries. All employees of FinDreams Battery are required to strictly adhere to this Code when handling company affairs. Furthermore, this Code serves as a significant criterion for FinDreams Battery in selecting investments and screening suppliers. FinDreams Battery will encourage its relevant partners to comply with this Code. Any violation of this Code may affect the business relationship with FinDreams Battery and could even lead to the termination of the cooperative relationship.



1. Respect for Employee Rights

1.1 Compensation and benefits

FinDreams Battery is committed to establishing a fair and transparent compensation and benefits system, ensuring that employees' efforts are rewarded reasonably. FinDreams Battery pledges to fully comply with laws and regulations regarding wages, working hours, and other working conditions. In conjunction with the actual local market conditions, we provide employees with reasonable compensation, benefits, paid leave, and health protection, effectively safeguarding the legitimate rights and interests of our employees.

1.2 Prohibition of child labor and forced labor

FinDreams Battery's recruitment of employees is conducted in accordance with the principle of voluntariness, strictly abiding by the applicable laws, regulations, decrees, and restrictions of the countries where its business is located. The use of any form of child labor and forced labor is strictly prohibited. We are dedicated to creating equal opportunities for employment and development for our employees, adhering to the principle of equal pay for equal work, and ensuring the freedom of employees in their actions, career choices, and decisions to leave employment.

1.3 Prohibition of discrimination

FinDreams Battery firmly believes that every individual should enjoy equal dignity and rights. We staunchly advocate against discrimination based on race, color, ethnicity, nationality, ancestry, religious belief, physical disability, gender, sexual orientation, marital status, pregnancy status, union membership, financial status, age, or any other factor. We require all our employees to adhere to the ethics of equal interaction and resolutely oppose any form of discrimination. To deepen this concept, we regularly conduct special training sessions for all employees to ensure that these principles are communicated to each and every one of them.

1.4 Prohibition of harassment

FinDreams Battery is committed to creating a work environment for its employees that is dignified and respectful. We maintain a zero-tolerance policy towards bullying, intimidation, sexual harassment, and similar behaviors. Should any employee discover, experience discrimination, or be subjected to harassment, they are encouraged to report such incidents through our publicly available complaint channels. We will take corresponding punitive and corrective measures in response to verified complaints.

1.5 Occupational health & safety

FinDreams Battery adheres to the safety philosophy of "respecting life and developing safely," as well as the core safety values of "responsibility, capability, prevention, and implementation." Every employee has the responsibility to ensure safe production, strictly comply with relevant standards, and care for the health and safety of others.

FinDreams Battery strives to create a healthy and happy working environment for its employees. We pay attention to both the physical and mental health of our employees, are committed to eliminating occupational health risks, and promote a balance between work and life.

For more information regarding policies on respecting employee rights, please refer to FinDreams Battery's internal management regulations and external statements, including but not limited to the "Company Labor and Human Rights Protection System," "Company Environmental and Occupational Health and Safety Management," "Company Human Resources Management," "Company Compensation Management System," "Company Personnel Recruitment Management Regulations," and "Company Human Rights Policy Statement."

2. Protect Company Assets

2.1 Prevent insider trading

FinDreams Battery is committed to fair securities trading. We prohibit the misuse of insider information and forbid the use of significant insider information for securities or stock transactions, as well as providing such important insider information to others for trading purposes. We manage employees who, by virtue of their positions, have access to important company information, ensuring that such information is not used for personal financial gain or other personal benefits before it is publicly disclosed.

2.2 Intellectual property rights protection

FinDreams Battery adheres to the development philosophy of "technology as the king, innovation as the foundation," insisting on independent innovation and mastering core technologies. Intellectual property rights are the core assets of FinDreams Battery, an important manifestation of innovation capability, and a safeguard for independent innovation. While protecting its own intellectual property rights, FinDreams Battery fully respects the intellectual property rights of others.

2.3 Confidentiality of information

FinDreams Battery is committed to complying with laws, regulations, and rules related to information security. Through employee management, business control, and technical safeguards, we ensure the confidentiality, integrity, and availability of information security assets. By regularly analyzing and assessing the security risks and threats faced by our information security systems, and by establishing risk management processes, we ensure the long-term stability and security of our information systems.

For more information on policies regarding the protection of company assets, please refer to FinDreams Battery's internal management regulations, including the "Company Information Security Management General Rules," "Company Intellectual Property and Legal Affairs Management," "Company Risk Management," "Company Compliance Management," and "Company Personal Data Protection Management System."

3. Integrity and Compliance in Business Operations

3.1 Anti-corruption and anti-bribery

FinDreams Battery maintains a "zero-tolerance" policy towards any corrupt practices and bribery. Employees of FinDreams Battery are required to conduct business legally and in compliance with regulations at all times, refraining from offering or accepting any form of bribes, kickbacks, or other improper benefits. To this end, we have established a whistleblower mechanism.

When giving or receiving gifts, FinDreams Battery employees must comply with all applicable laws, regulations, and business customs of the relevant jurisdiction and must not offer, solicit or accept any benefit under any guise. Gifts or hospitality of any value are prohibited if they could be considered improper or capable of influencing a business or official decision, regardless of local custom.

3.2 Conflict of interest

If an employee's personal or related party's economic interests have already influenced business decisions, it indicates that there is an actual or potential conflict of interest between the company's interests and the employee's interests. Employees of FinDreams Battery should endeavor to avoid situations where personal interests conflict with the company's interests. In the event of a conflict of interest, it should be immediately and truthfully reported to the relevant department to discuss a solution and safeguard the company's interests.

3.3 Fair competition and anti-monopoly

FinDreams Battery advocates for fair and free competition, strictly adhering to anti-monopoly and anti-unfair competition regulations in the locations of its operations and internationally. We protect fair and open competition from undue restrictions, collusive limitations, or anti-competitive constraints, conducting business activities in an open and competitive manner.

3.4 Anti-money laundering

FinDreams Battery strictly complies with regulations related to anti-money laundering, conducting reasonable due diligence on business partners and assets accepted by the company to avoid involvement in the receipt of illegal funds or activities related to illicit funds. We carry out careful checks on third parties we intend to collaborate with. Our expectation is to conduct business with partners of good repute, utilizing resources that are of legal origin.

3.5 Financial integrity

FinDreams Battery is committed to complying with applicable laws, regulations, standards, and practices, ensuring that all financial records are complete, accurate, and truthful, and are prepared in accordance with relevant rules and standards.

3.6 Protection of personal information and privacy

FinDreams Battery places great importance on the protection of personal information and privacy. FinDreams Battery complies with the relevant laws, regulations, and standards of the regions in which it operates to safeguard personal information and privacy.

3.7 Political donations

In its global operations, FinDreams Battery does not provide funds, services, property, facilities, debt relief, or other economic benefits to any political party or government candidate without approval. Political donations are not intended to obtain improper support for FinDreams Battery in administrative, legislative, management, or other aspects.

Political donations made by FinDreams Battery employees in their personal capacity are individual actions, and FinDreams Battery does not bear the costs of such individual donations.

3.8 Value chain compliance

Partners throughout FinDreams Battery's value chain, including upstream and downstream entities such as suppliers, dealers, and customers, are expected to adhere to fundamental compliance requirements. Any violation of these compliance standards may jeopardize their cooperative relationship with FinDreams Battery and could even lead to the termination of such cooperation.

For more information on policies regarding integrity and compliance in business operations, please refer to FinDreams Battery's internal management regulations and external statements, including but not limited to the "Company Whistleblower Protection and Reward Regulations," "Company Compliance Management," "Company Personal Data Protection Management System," "Responsible Marketing Statement," and "Personal Information and Privacy Protection Statement."

4. Implementation of Sustainable Development

4.1 Protection of the ecological environment

FinDreams Battery is committed to continuously improving its environmental performance in all business activities, integrating environmental protection throughout the entire product life cycle. This includes reducing waste emissions, promoting the protection of biodiversity, enhancing energy efficiency, and developing a circular economy. FinDreams Battery regularly communicates its sustainable development philosophy to all partners across the value chain, working together to achieve sustainable environmental development.

4.2 Addressing climate change

FinDreams Battery is committed to addressing global climate change and plans to achieve the carbon neutrality goal by 2045. To attain this objective, FinDreams Battery will drive green transformation through continuous technological innovation, operational optimization, and the comprehensive implementation of energy conservation and emission reduction measures. In this way, FinDreams Battery aims to contribute to the sustainable development of the planet, demonstrate its corporate responsibility and commitment, and jointly create a zero-carbon future.

4.3 Integrate into the community

FinDreams Battery respects the human rights, culture, and customs of the communities in which it operates. In the process of manufacturing and advancing its business, it strictly complies with the laws and regulations of the places where it operates and has always been working hard to prevent, mitigate, and correct any potential human rights impacts that may arise from its business activities on the communities. FinDreams Battery values the concerns raised by the communities and actively maintains close communication with local government departments, social organizations, and residents, establishing open and harmonious cooperative relationships.

4.4 Charitable donations

FinDreams Battery continuously fulfills its obligations and responsibilities to the communities in which it is located. Through supporting education, disaster relief, charitable donations, and other public welfare activities, it actively practices its corporate social responsibility with concrete actions, striving to achieve common prosperity between the enterprise and the community. FinDreams Battery commits that charitable donation measures will only be approved under a transparent approval system, ensuring that the purpose of donations, the recipients, and financial management are all verifiable, FinDreams Battery strictly prohibits any bribery or corrupt practices in donation activities, FinDreams Battery does not engage in any form of political donation activities.

For more information on FinDreams Battery's policies on implementing sustainable development, please refer to FinDreams Battery's internal management regulations and external statements, which include but are not limited to the "Company Sustainable Development Management Policy," "Company Product Carbon Footprint Management Measures," "Declaration on Biodiversity Conservation" and "Declaration on No Deforestation" "Public Welfare and Charity Management Measures".

5. Supportive Actions

5.1 Compliance governance

FinDreams Battery has established a dedicated organizational structure for compliance governance: the Compliance Committee, chaired by the President, with several specialized working groups underneath, responsible for overseeing the specific implementation of this code.

To enhance the compliance awareness of all staff and to promote full compliance across the company, FinDreams Battery regularly organizes anti-corruption, anti-bribery and other comprehensive, tiered, and diverse compliance training programs that cover all employees, ensuring the comprehensiveness and effectiveness of the training.

5.2 Consultation and whistleblowing

FinDreams Battery has established proactive and effective channels for consultation and reporting, encouraging employees, customers, business partners, and other stakeholders to seek advice or report potential violations.

Report handling procedure: The Audit and Supervision Department receives both internal and external complaints and reports, and carefully assesses each case. It will either conduct the investigation itself or assign it to the appropriate department with the necessary expertise and within its scope of responsibilities.

Based on the investigation's findings, FinDreams Battery will take appropriate disciplinary and/or corrective action in accordance with internal regulations and procedures. Where the matter involves a breach of the law, it will be referred to the competent judicial authorities.

FinDreams Battery pledges that no individual will face any form of retaliation for questioning or expressing concerns about FinDreams Battery's actions. We commit to protecting whistleblowers, with measures including the establishment of anonymous reporting channels and the implementation of whistleblower protection mechanisms.

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