

Guangdong Jiana Energy Technology Co., Ltd.

Supply Chain Due Diligence and Appeal Management System

Article 1: Purpose

To find and deal with all kinds of supply chain risks and hazards timely, guarantee smooth communication between external interested parties and the Company, improve the quality of participation of and interaction with interested parties, establish harmonious and mutually beneficial relations with interested parties, safeguard the legitimate rights and interests of all interested parties and the Company and optimize the internal and external environment of enterprise development, this management system is hereby developed in accordance with the *Cobalt Supply Chain Due Diligence Management Policy of Guangdong Jiana Energy Technology Co., Ltd.*

Article 2: Scope of Application

This management system applies to external interested parties (“Appellant”) having direct or potential connections with the Company based on the Company’ s products, cobalt raw material supply chain, business activity and business relations, including but not limited to:

1. Public sectors (including the government sectors) and their representatives;
2. Corporate customers, including suppliers, partners and purchasers;

3. Social organizations and media;
4. Shareholders and investors;
5. Community residents in various business locations of the Company.

Article 3: Appealing Matters

The Appellant may lodge an appeal against the situations related to the Company's product and cobalt raw material supply chain, operation management decisions and activities, business relations and external non-business relations (including government relations), where the laws and regulations or other requirements applicable to the company are actually or may be violated, especially the situations where the requirements of the following documents are actually or may be violated:

1. *Supply Chain Due Diligence Management Policy* of the Company;
2. *Supplier Code of Conduct* of the Company;
3. *Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains*;
4. *Chinese Guidelines for Social Responsibilities in Outbound Mining Investment*.

Article 4: Principles for Appealing

The Appellant shall lodge an appeal and the Company shall accept and handle the appeal on the following five principles:

1. Fact principle: The Appellant shall lodge an appeal according to concrete facts rather than the Company's strategy, policy or guideline, and



provide fact-based evidence and materials adequately and completely, and the Company shall take ascertaining the fact as a basic starting point when accepting and handling the appeal and handle the appeal according to the facts ascertained;

2. Relevance principle: The Appellant may lodge an appeal for itself or on behalf of other individuals, groups or organizations, as long as the appealing matters are related to the Company's products and supply chain, operation management decisions and activities, business relations and external non-business relations. The Company neither accepts nor handles any appeal not related to the Company;

3. Procedure principle: The Appellant shall lodge an appeal and participate in it in strict accordance with the procedure and process stipulated in this management system, and the Company shall accept and handle the appeal in strict accordance with the requirements of this management system;

4. Confidentiality principle: Both the Appellant and the Company shall handle the appeal seriously on the confidentiality principle, and relevant personnel of the Appellant and the Company shall keep secret in the process of handling the appeal without disclosing the progress and content of the appeal before the end of the handling procedure;

5. Timeliness principle: The Appellant shall lodge an appeal timely within a reasonable time after knowing or having reason to know relevant facts, to facilitate investigation and handling, and the Company shall handle

the appeal timely and make a reply upon receipt of the appeal, but it will accept any appeal two years after the Appellant knows or has reason to know relevant facts.

Article 5 Appealing Organization

The company shall set up a supply chain management office and appeals committee:

1. Supply chain management office of the Company: It is a department specifically responsible for accepting, handling and responding to external appeals and shall coordinate relevant departments of the company in proposing solutions for appeals;

2. Appeals committee: A five-person appeals committee shall be established under the Company's sustainable development steering committee and is composed of a main leader of the Company and a principal of each of the international business, marketing, comprehensive management and human resources departments, and its work shall be supported by the supply chain management office.

The appeals committee will not receive appeals directly and it shall propose final solutions on behalf of the Company when any appeal is reported to it according to the appeal procedure.

Article 6: Channel for Appealing

The Company's supply chain management office shall receive appeals on behalf of the Company, and the appeal email is CSR@jiana.com.



Article 7 Appeal Procedure

All appeals shall be in strict accordance with the following procedure:

1. The Appellant shall explain relevant facts and appeals According to the *Appeal for Due Diligence of Supply Chains* (Annex I) uniformly developed and provide by the Company;

2. Upon receipt of an appeal, the supply chain management office shall study and judge whether the appeal meets the conditions for acceptance specified in Article 2 to Article 4 hereof, and confirm its receipt with the Appellant within 5 workdays. If the conditions for acceptance are not met, the supply chain management office shall inform the Appellant that the appeal does not meet the conditions for acceptance and terminates while confirming its receipt with the Appellant and it shall fill out the *Record of Appeals for Due Diligence of Supply Chains* (refer to Annex II);

3. If the appeal meets the conditions for acceptance, the supply chain management office shall discuss and study with relevant departments, conduct an investigation and obtain evidence upon receipt of the appeal, get advice and support from the Company' s top management when necessary, and give a reply and handling suggestions to the Appellant within 15 workdays as of the date of receiving the appeal. If the Appellant accepts the reply, the appeal will end, and if the Appellant does not accept the reply and handling suggestions given by the supply chain management office, it shall report relevant conditions to the Company' s appeals committee within 5 workdays.



4. After the appeal is submitted to the appeals committee, the supply chain management office shall organize the appeals committee to hold a meeting within 5 workdays to discuss whether to further conduct a supplementary investigation and obtain evidence, and give a reply to the Appellant again and propose a final solution at company level within 30 workdays from the date when the appeal is submitted to the appeals committee, and if the Appellant accepts the solution, the appeal will end officially;

5. If the Appellant still cannot accept the Company's final solution, it may seek solutions outside the enterprise, including but not limited to third-party mediation, hiring an external expert to participate in audit and negotiation and judicial ways;

6. If the same or different appellants lodge another appeal against the same appeal handled according to this article, the supply chain management office shall inform them of the result of the above appeal without accepting the appeal; however, if the Appellant is dissatisfied with the execution of the result of appeal, it may lodge another appeal.

Article 8: Result of Appeal

After accepting the reply, handling suggestions or solutions, the Appellant shall cooperate with the Company in filling out the “Appellant's Confirmation” section in the *Appeal for Due Diligence of Supply Chains*, promise to accept the result of appeal specified in the *Appeal*, no longer lodge

an appeal against the same problem or resort to other dispute settlement mechanisms, and sign for confirmation.

The appeal handling result shall be recorded as *Opinions for Handling of Appeals for Due Diligence of Supply Chains* (Annex II) in duplicate, and one copy of the *Opinions* shall be submitted to the Appellant for safekeeping and the other to the Company' s supply chain management office for archival filing.

Article 9 Follow-up of Appeal

The appeal handling result shall be followed up at two levels:

1. After the result of appeal is produced and accepted by the Appellant, the Company' s supply chain management office is responsible for tracking and supervising the execution of the result of appeal jointly with relevant departments.

2. The Company' s supply chain management office shall make suggestions to the Company' s top management for the Company' s opportunities for improvement of the management system as is shown by the result of appeal.

Article 10: System Implementation

1. This system shall be implemented from May 1, 2018;

2. This system shall be finally explained and revised by the Company' s sustainable development steering committee.



Annex I: Appeal for Due Diligence of Supply Chains

Annex II: Opinions for Handling of Appeals for Due Diligence of Supply
Chains



Annex I:

Appeal for Due Diligence of Supply Chains

Name of Appellant		Profession	
Name of Appellant		Profession	
Connection between the Appeal and the Company			
Contact Information of the Appellant		Date of Occurrence of the Appeal Event	
Facts, reason and demand of appeals (pages may be attached to enclose the evidence of appeal)			
Date of Appeal: Signature of the Appellant:			
Acknowledgement of appeal and response to whether to accept the conditions for acceptance:			
Supply chain management office:		Date:	



Annex II:

**Opinions for Handling of Appeals for Due Diligence of Supply Chains
(Which may also serve as the Record of Appeals for Due Diligence of Supply Chains)**

Name of Appellant		Profession	
Name of Appellant		Profession	
Connection between the Appeal and the Company			
Contact Information of the Appellant		Date of Occurrence of the Appeal Event	
Facts, reason and demand of appeals (pages may be attached to enclose the evidence of appeal)			
Date of Appeal: Signature of the Appellant:			
Process and conclusion of handling by the manager of supply chain management office:			
Responsible person:		Date:	
Conclusion of the appeals committee:			
Director of the committee:		Date:	
The Appellant confirms:			
Appellant:		Date:	