



# Goldwind Science and Technology Co., Ltd.

## Supplier Code of Conduct

### 1 Objective

Goldwind Science & Technology Co., Ltd. ( “Goldwind” ) is committed to conduct its operations in a responsible and ethical manner and comply with all applicable legal requirements in addition to the international conventions and guidelines set by international organizations and industry standards listed in Section 2 of the Supplier Code of Conduct (the “Code” ). Goldwind expects this commitment to be reflected across its supply chain.

This Code outlines the responsible business requirements that suppliers to Goldwind must comply with for the effective management of adverse impacts to people, society, health, safety and the environment within Goldwind’ s supply chain.

#### 1.1 Scope of the Code

The Code applies to all suppliers, contractors, and service providers that supply goods or services to Goldwind globally, including their employees, agency workers, contractors and subcontractor personnel (collectively, “Suppliers” ). All suppliers shall comply with the Code when conducting business or participating in any activities related to Goldwind.

Goldwind expects its suppliers to take appropriate steps to ensure that the requirements of the Code, or equivalent standards, are cascaded and communicated within their respective supply chain based on the principle of leverage in accordance with international good practice, and in particular by their own direct suppliers. This extends to any party in the chain of suppliers and sub-contractors that supply goods or services from the raw material stage to a finished product in order to identify, prevent, mitigate, and address actual or potential adverse impacts in their supply chains.

#### 1.2 Applicable Laws

The standards of this Code are in addition to any legal agreement or contract between Suppliers and Goldwind. As a minimum, Suppliers shall comply with the requirements of the Code in addition to compliance with the applicable national laws and regulations of the Suppliers country of origin and of countries in which they operate. Goldwind expects its suppliers to recognize and adhere to the internationally accepted conventions and guidelines stated in Section 2.

This Code does not provide an exhaustive list of requirements. Additional requirements may be applicable in relation to specific operations, projects and specific regions, and can be included in individual Supplier agreements. In the event that a difference exists between applicable national laws and the requirements set out in this Code, suppliers shall follow the strictest requirements.

### 2 Normative References

Suppliers are expected to act in accordance with the following referenced conventions and guidelines in order to comply with the Code. The latest versions of the references (including all modifications) shall apply to this Code.

- National laws and regulations (applicable to Suppliers country of origin and operation)
- United Nations Universal Declaration of Human Rights (UNDHR)



- United Nations Guiding Principles on Business and Human Rights (UNGPs)
- International Labor Organization (ILO) Conventions
- OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict Affected and High-Risk Areas
- SA 8000 Social Responsibility Standard
- ISO 26000 Guide to Social Responsibility Standard
- RBA (Responsible Business Alliance) Code of Conduct
- BSCI (Business Social Compliance Initiative) certification of social compliance standards

### **3 Supplier's Code of Conduct**

In addition to compliance with all the Normative Reference list (Section 2), the following guidance has been included in the Code to explicitly demonstrate how expectations and requirements should be met by Suppliers.

#### **3.1 Workers' Rights and Human Rights**

Suppliers shall respect the dignity and basic human rights of all workers in compliance with the Normative Reference list (Section 2). This standard applies to all workers, including temporary workers, foreign laborers, apprentices, student workers, contract workers, direct hires and other types of staff.

##### **3.1.1 Free and Decent Work**

3.1.1.1 Suppliers must ensure that all workers are voluntarily employed and not hired as slaves (including modern-day slave labor), forced labor, bonded labor, trafficked persons or prison labor. Suppliers shall not restrict personal freedom, including the transportation, harboring, recruitment, transfer of laborers or receiving such laborers and services by means of threats, coercion, enticement or deception. Suppliers and their related dispatching companies and private employment agencies shall not require workers to pay deposits.

3.1.1.2 Suppliers shall not withhold, retain or confiscate workers' identity documents, including passports, identity cards, or work permits. Workers shall retain possession and control of their own identity documents at all times. Temporary handling of documents is permitted only where required by law, with the worker's consent, for a defined administrative purpose, and for the shortest possible time.

3.1.1.3 Suppliers shall provide the content of labor contracts in a language understood by the worker, and must not include clauses on employment time limit, illegal wage deductions, or retaliation policies.

##### **3.1.2 Protection of Young Workers**

Suppliers shall follow the below:

3.1.2.1 Suppliers shall not employ child labor within their own workforce or in their supply chain.

3.1.2.2 Minors under 18 years of age shall not be engaged in any work that requires overtime and / or night shifts.

3.1.2.3 Suppliers shall protect student workers or apprentices in accordance with applicable

laws and regulation

3.1.2.4 Suppliers shall not immediately dismiss an under-aged worker without support.

In the event that child labor is identified within Gold wind's supply chain, including all entities covered by the Code. Suppliers shall undertake a structured remediation process that will protect the worker' s safety, rights and well-being, including measures to ensure the child' s removal from work and provision of access to education. Suppliers shall also ensure that these same requirements are cascaded across their own value chain and own suppliers.

### **3.1.3 Working Hours**

Suppliers shall make overtime work voluntary. With the exception for emergencies or special circumstances (e.g. force majeure events, critical infrastructure or safety-related work that cannot be postponed). The worker must have at least one day of rest every seven days.

### **3.1.4 Wages and Benefits**

3.1.4.1 Suppliers shall inform workers of their salary structure and payment schedule, pay the full amount of wages to the worker on time, and provide a clear and understandable payslip. Wages shall be strictly calculated according to the actual working hours, and wage deductions or payment of compensation shall not be used as a means of sanction or punishment. Suppliers should maintain documented wage calculations and implement corrective actions where gaps exist. Suppliers shall also ensure that these same requirements are cascaded across their own value chain and own suppliers.

3.1.4.2 Suppliers are encouraged to go beyond legal compliance and pay workers a living wage that meets or exceeds the local benchmark or complies with collective bargaining agreements for a decent standard of living. Progress toward living wage compliance must be monitored regularly and updated in line with recognized methodologies (e.g., Anker Methodology).<sup>1</sup>

### **3.1.5 Human Treatment**

Suppliers shall not threaten workers or subject them to cruel or inhumane treatment, including but not limited to verbal abuse and harassment, psychological harassment, mental and physical coercion, and sexual harassment. Unreasonable restrictions on movement shall not be imposed in the workshop or office, and basic physiological needs such as drinking water of workers should be met.

### **3.1.6 Non-discrimination**

Suppliers shall not discriminate against workers in employment, compensation, promotion, rewards, training opportunities, and termination based on race, skin color, age, gender, sexual orientation, gender identity or expression, ethnicity or nationality, disability, pregnancy, religion, political affiliation, union membership, protected genetic information, or marital status. Except for the protection of legitimate rights and interests, workers or prospective workers shall not be required to undergo discriminatory medical examination or pregnancy tests. Suppliers shall provide appropriate spaces for workers to practice prayer, worship and religious observance during breaks, such as a multifaith or shared quiet, clean room, without discrimination or retaliation.

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<sup>1</sup> The Anker Methodology®, developed by Richard and Martha Anker, is the leading global standard for estimating living wages and living incomes and is fully aligned to the International Labor Organization (ILO). It provides a transparent, rigorous approach tailored to local conditions appropriate for assessing ethical sourcing and supply chain sustainability.

### **3.1.7 Freedom of Association and Collective Bargaining**

Suppliers shall allow workers to freely associate with others, form and join (or not join) trade unions or other organizations of their own choice, and conduct collective bargaining in accordance with national laws as a minimum. Suppliers shall not interfere, discriminate against, retaliate against, or harass workers for these activities. Suppliers are not required to collectively bargain with every organization or small group that wishes to do so.

### **3.1.8 Health and Safety**

Suppliers shall provide a safe and healthy working environment appropriate to the nature of their industry. As a guide, Suppliers should eliminate any working conditions that could seriously endanger life or health, including those that expose workers to a high likelihood of major or long-term harm to physical or mental health, prevent fires and explosions from occurring, and mitigate fatal accidents at the work site.

Workers have the right to refuse work if they believe they are exposed to imminent danger and they shall not be penalized for leaving an environment due to the potential risk of imminent danger.

### **3.1.9 Working Conditions**

**Health and Safety Permit.** The supplier shall obtain and maintain all necessary health and safety permits, and comply with the requirements of these permits.

**Occupational Health and Safety Management System.** The supplier shall establish or adopt a reasonable and adequate occupational health and safety management system. Suppliers shall identify and assess occupational health and safety risks (including fire, electricity, industrial hygiene, heavy physical labor, machine protection, etc.), establish a mechanism for identifying risk sources and checking hidden dangers, eliminate or reduce the risks by eliminating hazards, substitution, engineering controls, preventive maintenance and safe work procedures (including lockout tagout), and provide appropriate personal protective equipment and occupational health examinations when necessary. In addition, appropriate measures should be taken to protect the health and safety of female workers, especially pregnant women and those who are breastfeeding.

**Event Management.** The supplier shall establish necessary procedures and systems to prevent, manage, track and report occupational injuries, infectious diseases, safety incidents and deaths. Corrective actions should be implemented to manage and reduce the impact and help workers return to work.

**Health and Safety Information Communication.** Suppliers shall provide appropriate health and safety training to their workers in appropriate language for effective communication. Health and safety information must be clearly posted in the workplace.

### **3.1.10 Emergency Preparedness and Response**

The supplier shall identify and assess potential emergencies, including but not limited to fire, explosion, fatal accidents, mass poisoning pandemics and outbreaks of communicable disease, etc., and implement emergency plans and response procedures (including emergency reporting, first aid on site, notification and evacuation procedures, regular training and drills, and recovery plans) to minimize the impact on health, life, environment, and property.

### **3.1.11 Work Rules**

The supplier shall establish procedures to set rules for activities jobs with key safety risks, and prevent injuries, such as:

- a) Working at height, hot work, and other special operations in the factory shall be approved, and the hardware equipment and site management shall meet relevant requirements. The contractor's equipment delivered to factory can be released only after qualification verification.
- b) Personnel performing live-line work must wear protective equipment, and such work can only be performed after on-site safety approval.
- c) Workshop movement and equipment relocation shall be assessed by designated personnel to evaluate feasibility.
- d) Operators of forklifts, transport vehicles and other motor vehicles within the factory must not drive at excessive speeds or while fatigued and within the laws of the locality where operations are being undertaken.

### **3.1.12 Living Conditions**

Suppliers shall provide clean sanitation facilities and potable water for workers, as well as clean food storage and eating facilities when necessary. Workers' dormitories provided by the supplier should be clean, safe and have reasonable living space. Reasonable living space should align with national requirements or if not specified, align with international guidelines such as UK Health and Safety Executive.

## **3.2 Environment**

### **3.2.1 Environmental Permits and Reports**

Obtain and renew the necessary environmental permits and comply with all requirements of these permits. Comply with the requirements of applicable permits and regulations regarding environmental reporting.

### **3.2.2 Environmental Management System**

Establish or adopt a reasonable environmental management system, set up management agencies and personnel, provide necessary human resources, funds and other resources to ensure the effective operation of the system.

### **3.2.3 Selection of Raw Materials and general industrial processes**

Suppliers must not use banned substances specified under Restriction of Hazardous Substances (RoHS) and Registration, Evaluation, Authorisation, and Restriction of Chemicals (REACH) European directives and not violate the requirements for restricted substances. This extends to Substances of Very High Concern (SVHC), as defined by UK REACH requirements. When selecting and sourcing raw materials, take all necessary actions to prevent further or new unwanted damage to the natural environment and biodiversity.

### **3.2.4 Prevention of Environmental Pollution**

Comply with all applicable national laws and regulations regarding pollutants (including wastewater, exhaust gas, solid waste), including requirements related to their production, transportation, storage, treatment, and discharge. Reduce or eliminate pollution at the source, prohibit the illegal discharge of toxic and harmful pollutants, and prevent noise pollution. Suppliers should make effort to comply with international good industry practice standards as

applicable to their respective industries.

### **3.2.5 Chemical Management**

Chemicals or other substances that are hazardous to humans and the environment shall be stored in appropriate places, properly labeled and managed to ensure their safe storage, use, transportation, recovery, or disposal.

### **3.2.6 Energy Saving, Emission Reduction and Carbon Reduction**

Adopt measures to save and substitute resources, reduce the consumption of energy, water and natural resources, and decrease emissions of greenhouse gases and other harmful substances.

### **3.2.7 Renewable Energy**

Pay attention to the risks and opportunities brought by global climate change, actively respond to the national "dual carbon" goals, use green electricity for all operations, where possible, to produce Goldwind products, commit to prioritize the declaration of green electricity for production of Goldwind products, and gradually promote 100% use of green electricity in the production of Goldwind products.

## **3.3 Business Ethics**

### **3.3.1 Integrity and Honesty**

Suppliers shall not engage in corruption, bribery, embezzlement or extortion for the purpose of obtaining unfair or improper benefits. Suppliers must comply with all applicable anti-corruption laws and regulations in the countries and regions they operate.

### **3.3.2 Information Disclosure**

Suppliers shall accurately record information related to their business activities, labor rights and interests, health and safety practices, and environmental practices. They must disclose relevant information to all stakeholders in accordance with legal requirements and must not falsify or misrepresent such information.

### **3.3.3 Protect Intellectual Property Rights**

Suppliers shall respect intellectual property rights and protect the security of customer information. Suppliers shall manage technical know-how from the perspective of protecting intellectual property rights.

### **3.3.4 Fair Competition**

Suppliers shall participate in competition fairly and lawfully, oppose industry monopoly and vicious competition, maintain a positive corporate image, and be responsible to customers and suppliers.

### **3.3.5 Whistle-blower Protection and Anonymous Complaints**

Suppliers should establish an anonymous complaint mechanism and documented grievance process clearly communicated to all relevant stakeholders for managers, workers and third parties to report concerns or dissatisfaction in their work. The supplier shall establish channels for submitting grievances (e.g. email, hotline, online forms) to ensure inclusivity. Suppliers must keep the whistle-blower and information confidential and prohibit retaliation or discrimination for

raising a concern in confidence. Managers and supervisors shall undergo formal training to uphold non-retaliation principles and foster a “speak-up” culture.

### **3.3.6 Privacy Protection**

Suppliers shall establish procedures and mechanisms to protect the legitimate information of workers, customers, suppliers and other stakeholders. They must comply with the Normative Reference list (Section 2) and any additional local laws in collecting, storing, sharing and using such information to ensure its security and privacy.

### **3.3.7 Responsible Procurement**

Suppliers shall formulate responsible sourcing policies, which clearly define the responsible sourcing process including methods for managing modern slavery, forced labor and other relevant activities. Ensure that tantalum, tin, tungsten and gold (3TGs) in the products manufactured do not directly or indirectly fund or benefit armed groups in Regions of Concern (RoC). RoC are defined as high-risk geographical areas<sup>2</sup>, or the surrounding areas, where there have been credible human rights allegations or sanctions imposed. Suppliers should conduct due diligence on the Suppliers of these minerals and provide their due diligence measures to customers upon request. Heightened due diligence, including announced or unannounced audits and traceability assessments should also be carried out on suppliers exposed to additional materials from RoC. Goldwind reserves the right to undertake these reviews as part of supplier assessments.

## **3.4 Management System**

The supplier shall implement or maintain an appropriate management system at the right time to promote compliance with this standard and legal requirements, identify and reduce relevant operational risks, as well as promote continuous improvement.

### **3.4.1 Management Responsibilities and Obligations**

3.4.1.1 The supplier shall have a company representative responsible for ensuring the implementation and regular audit of management system.

3.4.1.2 The supplier shall have a CSR or sustainability representative reporting directly to senior management and responsible for managing the company's social and environmental compliance requirements with appropriate authority.

### **3.4.2 Risk Assessment and Management**

The supplier shall develop and maintain a set of procedures to identify labor rights and human rights, health and safety, environmental, business ethics, and legal compliance risks associated with its operations; determine the relative severity of these risks; and implement appropriate processes and controls to mitigate identified risks as much as possible.

### **3.4.3 Performance Objectives**

Suppliers shall establish written standards, performance objectives, indicators and implementation plans, and regularly evaluate whether actual performances meet these targets.

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<sup>2</sup> RoC also extend to high risk areas defined by international standards such as the OECD Conflict-Affected & High-Risk Areas (CAHRAs)

### **3.4.4 Audits and Evaluations**

3.4.4.1 Suppliers shall regularly assess their own facilities and operations, as well as those of subcontractors and upstream suppliers providing goods or services to Goldwind Science & Technology.

3.4.4.2 Suppliers shall allow Goldwind Science & Technology or a third party designated by Goldwind Science & Technology to assess the factories and operating premises of suppliers, subcontractors and upstream suppliers as long as products and services supplied are provided to Goldwind Science & Technology and benefit Goldwind Science & Technology.

### **3.4.5 Documentation and Retention of Documents**

The supplier shall retain the relevant documents and records as evidence of compliance with the requirements.

### **3.4.6 Training and Communication**

3.4.6.1 The supplier shall develop and maintain management and worker training programs to ensure proper implementation of its systems and procedures, as well as achieve the goals of continuous improvement.

3.4.6.2 Suppliers shall establish procedures for regular communication with customers, suppliers, government agencies and other stakeholders to obtain feedback on practices related to this standard in order to promote continuous improvement.

### **3.4.7 Corrective Action Process**

Suppliers shall have a process in place to promptly implement corrective actions for deficiencies or non-conformances identified through internal and external audits, assessments, inspections, investigations, or reviews in a timely manner.

#### **3.4.7.1 Minimum Reporting Requirements**

The supplier shall adhere to minimum reporting requirements, where requested by Goldwind. Reporting requirements by the supplier includes, but is not limited to:

Compliance documentation: the provision of documented policies covering child labor, forced labor, health & safety, discrimination, working hours, remuneration, freedom of association and evidence of implementation of management systems.

- i. Workforce data: employee age verification records, working hours and wages records (maximum allowable hours/week, voluntary overtime) and proof of social insurance and statutory benefits.
- ii. Incident reporting: summary of grievances received and actions taken, ensuring no retaliation and workplace hazard identification, mitigation and training sessions and attendance.
- iii. Audit and corrective actions: self-audit and third-party audit reports (assessments against SA 8000 and ISO Standards requirements are encouraged), corrective action plans for non-conformance found and follow-up reports.
- iv. Supplier cascade: reporting on how supplier requirements are communicated to sub-suppliers

The supplier is encouraged to publicly report information about their supply chain management,



performance and oversight.

### **3.5 HSE Management at Goldwind's Project Site (factory)**

During the service process at Goldwind project site (factory), suppliers shall strictly comply with Goldwind's HSE requirements, avoid any violation of rules and regulations to prevent safety accidents from happening. Also, they should avoid negative impacts on Goldwind caused by their violations.

### **3.6 Supply Chain and Product Traceability**

Suppliers shall establish, implement, and maintain a complete, verifiable, end-to-end supply chain and product traceability management system, to ensure full traceability of all products, components, raw materials and processing services supplied to Goldwind, covering the entire lifecycle from raw material origin/extraction to finished product delivery, end-of-life processing, and all intermediate production, processing, storage and distribution stages. The system shall comply with all applicable national and local laws, regulations, industry standards, international conventions listed in Section 2 of this Code, and additional requirements specified by Goldwind and its customers.

#### **3.6.1 Traceability System and Standard Operating Procedures**

Suppliers shall formulate and formally implement documented Standard Operating Procedures (SOPs) for product identification, batch management and full-chain traceability. The SOPs shall clearly define traceability units, identification and coding rules, data recording standards, information query and verification processes, exception handling mechanisms, and clear roles and responsibilities for relevant departments and personnel. The SOPs shall cover at least one core raw material or critical component of the products supplied to Goldwind, with complete and retained implementation records.

#### **3.6.2 Traceability Information Platform and Data Security**

Suppliers shall establish and maintain a dedicated traceability information management system (including but not limited to ERP, MES, WMS or specialized traceability platforms). The system shall realize full forward and reverse traceability through standardized coding, scanning and data entry of incoming materials, semi-finished products, finished products and shipped goods, supporting one-click query from finished products to upstream raw material batches, suppliers and origin information. The system shall be equipped with complete data backup, multi-level access control and anti-tampering mechanisms, to ensure the integrity, authenticity, security and non-alteration of all traceability data throughout the full lifecycle.

#### **3.6.3 Traceability Documentation and Record Retention**

Suppliers shall maintain complete, accurate and up-to-date traceability documents and records for all products and materials supplied to Goldwind, including but not limited to supplier delivery notes, incoming inspection records, production process logs, batch and serial number ledgers, shipping documents, storage records and inspection certificates. All traceability records shall clearly include the upstream supplier's production/shipping address, full legal entity information, as well as the unique serial number, batch number and production date of materials and products, to ensure the continuity and consistency of the traceability chain across all production and circulation stages. All traceability-related records shall be retained for a minimum of 3 years, or longer if required by applicable laws, regulations or customer agreements.

### **3.6.4 Traceability Requirement Cascade to Lower-Tier Suppliers**

Suppliers shall cascade all traceability requirements in this Code to all their direct and indirect lower-tier suppliers (including sub-suppliers, subcontractors, raw material suppliers and processing service providers). Suppliers shall require all lower-tier suppliers to sign a formal Social Responsibility Commitment Letter with clear binding clauses for traceability compliance, and conduct regular audits and verification of the implementation of traceability requirements at lower-tier suppliers, to ensure the traceability system covers the entire upstream supply chain.

### **3.6.5 Special Traceability Management for High-Risk/Sensitive Materials**

For high-risk or sensitive materials identified through supply chain risk assessment (including but not limited to conflict minerals, restricted hazardous substances, critical metals, hazardous chemicals, and materials subject to regulatory supervision or customer special requirements), Suppliers shall establish a dedicated standalone traceability ledger. For such materials, traceability shall be realized down to the raw material origin, mine site, primary smelter/refiner or core raw material manufacturer level, to fully meet the traceability and due diligence requirements of applicable regulations and Goldwind's requirements. Suppliers shall conduct enhanced due diligence, including regular on-site audits and traceability verification, for suppliers of such high-risk materials.

### **3.6.6 Traceability Management for Outsourced Processing**

For any outsourced processing, assembly, testing or other services related to products supplied to Goldwind, Suppliers shall clearly define the full traceability responsibility of the subcontractor in a formal written outsourcing agreement. The subcontractor shall be required to retain complete processing records, material batch and serial number information, material flow documents and inspection records for all outsourced processes. Suppliers shall fully integrate all outsourced processing links into their overall traceability management system, to ensure the continuity, integrity and verifiability of the traceability chain throughout the outsourcing process.

### **3.6.7 Traceability Drill and Effectiveness Verification**

Suppliers shall conduct at least one full end-to-end traceability drill annually, simulating realistic scenarios including product quality issues, product recalls, compliance investigations and regulatory inquiries. The drill shall verify the timeliness (target: full scope positioning and evidence provision within 48 hours) and the completeness, accuracy and consistency of traceability data across the full supply chain. A formal documented drill report shall be generated for each drill, and a closed-loop corrective and preventive action plan shall be formulated and implemented for all gaps and non-conformances identified, with retained verification records of implementation effectiveness.

### **3.6.8 Personnel Training and Competency Management**

Suppliers shall provide specialized regular training on product identification, traceability management, regulatory requirements and operational specifications to all relevant personnel (including but not limited to staff in procurement, warehousing, production, quality management, supply chain and outsourced management departments). The training content shall cover traceability system operation, identification rules, full-chain traceability processes, exception handling, regulatory compliance requirements and emergency response protocols. Suppliers shall retain complete training records, attendance logs, assessment results and on-site operational competency verification records for all trained personnel, to ensure relevant staff have the necessary capabilities to implement traceability management requirements effectively.

### **3.6.9 Traceability Management for Material, Process and Supplier Changes**

When material substitution, production process adjustment, supplier change or design modification occurs for products supplied to Goldwind, Suppliers shall update the relevant traceability information and revised version in the traceability system in a timely manner. The revised version shall be uniquely identified in the traceability system, and a clear differentiation and isolation mechanism shall be established between pre-change and post-change materials, semi-finished products and finished products, to avoid batch mixing and cross-contamination. All change requests, approval documents, traceability impact assessment reports and implementation records shall be completely and accurately retained.

### **3.6.10 Traceability Management for Scrapped, Recycled and Reworked materials**

For scrapped, recycled, reworked or remanufactured products and components supplied to Goldwind, Suppliers shall establish a dedicated standalone traceability ledger. The ledger shall realize full traceability back to the original material batch, production information, and the specific reasons for scrapping, recycling, rework or remanufacturing. Suppliers shall implement strict control measures to ensure that scrapped materials do not re-enter the production process illegally, and that the full circulation and reuse path of recycled, reworked and remanufactured materials is completely traceable, verifiable and compliant with applicable regulatory requirements.

### **3.6.11 Traceability Inquiry and Response Mechanism**

Suppliers shall establish a formal documented traceability information response mechanism for Goldwind, its customers, regulatory authorities and third-party audit institutions. The mechanism shall clearly define the response process, responsible person and mandatory time limit for all legitimate traceability inquiries. Suppliers shall respond to all traceability inquiries within 48 hours of receipt, and provide a complete, unbroken chain of evidence including but not limited to original traceability records, system screenshots, material flow documents, batch logs and supplier qualification documents. All inquiry communications, response materials and follow-up records shall be completely retained.

### **3.6.12 Audit and Compliance Verification**

Suppliers shall fully cooperate with audits, assessments and verification activities related to traceability management conducted by Goldwind or a third party designated by Goldwind, including but not limited to providing full access to the traceability information system, all traceability documents and records, on-site verification of production and storage sites, and interviews with relevant personnel. Suppliers shall promptly implement closed-loop corrective actions for any traceability-related non-conformances identified during audits, within the time limit specified by Goldwind.

## **4 Execution and Supervision**

This standard is intended for reference by upstream suppliers, subcontractors and outsourced vendors of Goldwind Science & Technology. It covers several aspects including compliance with laws, labor rights and human rights, health and safety, environment and business ethics included in the Normative Reference list (Section 2) to establish an internal management system accordingly.

Goldwind Science & Technology reserves the right to collect data from or conduct on-site audits



of suppliers upon reasonable notice, in order to evaluate their compliance with this standard. The number of suppliers selected for self-assessment and on-site audit will be increased step by step over five years, eventually covering all suppliers participating in the supplier evaluation system. This approach aims to integrate the concept of social responsibility into Goldwind Science & Technology's corporate culture as an integral part of the supplier evaluation system and help suppliers identify their shortcomings through self-assessment and on-site audit, establish and improve their CSR management system to reduce Goldwind Science & Technology's supply chain CSR risks.