

# **Key Points of Whistleblower Protection Policy in CRRC Corporation Limited**

## **I. General Provisions**

To maintain high standards of integrity and ethical business conduct, CRRC Corporation Limited (hereinafter referred to as the "Company") has established a reporting mechanism as an important part of its internal monitoring and risk management system. This policy is formulated with the aim of safeguarding the interests and reputation of the Company, strengthening the corporate governance and internal control, and preventing the acts that will do harm to the interests of the Company and the shareholders.

According to this policy, the whistleblower refers to the individual who reports, accuses or provides the relevant evidence of any actual or suspected misconduct, poor conduct or violation of the Company. The whistleblower shall ensure that the report, accusation or evidence they raise shall be authentic and reflect the facts to the best of his/her knowledge.

This policy is applicable to all core businesses of the Company. CRRC is mainly engaged in the research and development, design, manufacturing, repair, sales, leasing and technical services of railway

locomotives, high-speed trains, urban rail transit vehicles, engineering machinery, electromechanical equipment, electronic equipment and parts, electronic and electrical equipment, and environmental protection equipment; Information consultation; Industrial investment and management; Asset management; Import and export business.

This policy is applicable to all departments and subsidiaries at all levels of the Company.

## **II. Report Coverage**

When reporting, the whistleblower shall provide the information as follows: Details of the event reported (including the names, time, date and location of the individuals involved); The reason for the concern; And any documents or other evidence related to the report. Although the Company does not require the whistleblowers to provide absolutely conclusive evidence of the reported content, their actions shall be based on sincere concern and goodwill, which ensures the accuracy and fairness of the report.

Reported event shall include (but not limited to) the information as follows:

1. Violation of laws or regulations;
2. Criminal charges, violations of civil law or justice;
3. Negligence, misconduct or malpractice related to internal monitoring, accounting, auditing and financial matters;

4. Operations where audit matters, internal accounting and operational controls fail to comply with GAAP standards;
5. Potential threats to personal health and safety;
6. Violation of the applicable internal code of conduct of the Company;
7. Improper or unethical conduct that may damage the reputation of the Company;
8. Involving fraud, corruption, bribery, suspicion of accepting benefits or extortion;
9. Subjected to unfair treatment, including but not limited to gender discrimination, racial discrimination, disability discrimination and discrimination during pregnancy or postpartum;
10. Deliberate concealment of any of the above.

### **III. Reporting Channels**

The whistleblower should report to the Company (please fill in the department name) in the channels of email and phone as follows:

Email: [weiguijubao@crrcgc.cc](mailto:weiguijubao@crrcgc.cc)

Hotline: 010-51872545

### **IV. Reporting Process**

The Company handles the complaint reporting in accordance with the relevant provisions of the Measures for Handling Disciplinary Inspection Complaints and Reports and other provisions, accepts the

complaint reporting at different levels according to the management authority, clarifies the handling time limit and measures, and provides timely feedback on the situation.

## **V Real-name and Anonymous Reporting**

The whistleblowers are encouraged to provide their personal name and contact information when reporting under this policy, which helps the Company contact them for additional clarification or further information if needed. The Company solemnly promises that the identity and information provided by the whistleblowers will be kept confidential, and resolutely prohibits any form of threats, attacks or retaliation.

As for the whistleblowers who are unwilling to disclose their personal identity for some reason, the Company also accepts the anonymous reporting via mail or electronic channels. But the anonymous reporting shall provide sufficient information to ensure that the Company can carry out the effective investigations. Otherwise, the anonymous reports without sufficient information may delay or severely limit the investigation. Therefore, in order to ensure the successful investigation, the whistleblowers are encouraged to provide more detailed information.

The equal attention will be paid to the reported information of anonymous whistleblowers and that of real-name whistleblowers.

## **VI. Protection of Whistleblowers**

The whistleblowers shall immediately report to the Company, if they

believe that they have been retaliated against for reporting. On receiving any complaint of retaliation against a whistleblower, the Company will immediately conduct an investigation and provide appropriate protective measures to the whistleblowers according to the situation. It shall be noted that the actions and measures to protect the rights and interests of whistleblowers mentioned above shall be independent of the investigation process of the issues involved in the reported content, which ensures that the two are not affected by each other, and guarantee the fairness of the investigation and the safety of whistleblowers.

#### **VII. Report on Dishonesty**

As for any employees who intentionally fabricate false facts, falsely accuse others, cause any incidents or trouble to the regular business operations in the name of reporting, or maliciously report in other ways, the Company will take disciplinary measures, including but not limited to immediate dismissal without prior notice. The Company firmly maintains the seriousness and fairness of the internal reporting system, ensuring that it can play a supervisory role instead of being used for inappropriate purposes. The Company will take it seriously, if anyone abuses the internal reporting system.

#### **VIII. Confidentiality of Reports**

The Company shall implement the confidentiality system of complaint reporting, list the reported documents into the secret level

management and follow the confidentiality requirements. The whistleblower and the content of the report shall be kept confidential, and the reporting documents and information of the whistleblower shall be prevented from being transferred to or informed of the reported organization or individuals. Those who violate the confidentiality regulations for report shall be punished in accordance with the rules and regulations.