

永豐餘投資控股股份有限公司
供應商行為準則及盡責聲明書

YFY Inc. Supplier Corporate Social Responsibility Code of Conduct and Due Diligence Statement

本行為準則依據企業社會責任和相關客戶要求，並由環境管理體系、社會、公司治理(ESG)三部分組成；同時，將永豐餘投控的 ESG 政策傳達給所有供應商，請詳閱本聲明書後印出並於最後一頁簽名掃描及回傳備查。

The Code of Conduct is base on corporate social responsibility and related customer requirements. This Code of Conduct is composed of three parts, including Environmental Management Systems, Social, and Corporate Governance (ESG). It aims to communicate YFY's ESG policies to all suppliers. Please review, sign, and return the document at your earliest convenience.

供應商公司名稱 Company name :

填寫日期 Date :

請簡要說明供應給永豐餘投資控股股份有限公司的產品或服務：

What products/services are provided to YFY Inc.:

1. 法律及合規性 Legal and Regulatory Compliance

供應商應確保其運營以及所提供的產品和服務符合當地政府法規和其他適用的法律法規。

Suppliers shall ensure their operations and the products and services supplied comply with local government regulations and other applicable laws and regulations.

2. 道德規範 Business Ethics

2.1 誠信經營

所有商業互動關係都應遵循最高的誠信標準，供應商應採取零容忍政策禁止任何形式的賄賂、貪污、敲詐勒索和挪用公款等行為，所有業務往來都應該透明化，並準確記錄在往來帳務及紀錄中，供應商應自主管理帳務及交易過程，以確保遵守反貪腐法律的要求。

Business Integrity

The highest standards of integrity are to be upheld in all business interactions. Suppliers shall have a zero tolerance policy to prohibit any and all forms of bribery, corruption, extortion and embezzlement. All business dealings should be transparently performed and accurately reflected on supplier's business books and records. Monitoring and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws.

2.2 身分保護及防止報復

除非受法律禁止，供應商應制定程序及提供申訴管道來保護供應商和勞工檢舉者（任何揭露公司勞工、主管或公務員和政府機構的不正當行為者），並確保其身分的機密性和匿名性。供應商也應制定溝通程序，讓勞工可以表達他們的疑慮，而不用害怕遭到報復。

Protection of Identity and Non-Retaliation

Programs and channels for lodging grievances that ensure the confidentiality, anonymity, and protection of supplier and worker whistleblowers (i.e. any person who makes a disclosure about improper conduct by an worker or officer of a company, or by a public official or official body) are to be maintained, unless prohibited by

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law. Suppliers should have a communication process for their personnel to be able to raise any concerns without fear of retaliation.

2.3 知識財產權保護

供應商應尊重知識財產權，任何技術及知識財產權移轉時須充分保護資料完整性，並同時保護客戶的資料不對外透漏。

Protection of Intellectual Property

Intellectual property rights are to be respected, transfer of technology and know-how is to be done in a manner that protects intellectual property rights, and customer information is to be safeguarded.

2.4 公平交易、廣告和競爭

應謹守公平交易、廣告和競爭標準。

Fair Business, Advertising and Competition

Standards of fair business, advertising, and competition are to be upheld.

2.5 負責任的礦產採購

供應商應制定政策來合理地確保所製造的產品中所含有的鈮、錫、鎢和金，不會直接或間接地資助或有益於剛果民主共和國及其鄰國內嚴重侵犯人權的犯罪武裝集體。供應商應對這些礦物的採購和產銷監管鏈進行嚴格的審核，並在客戶查詢時提供有關審核標準的資料。

Responsible Sourcing of Minerals

Suppliers shall have a policy to reasonably assure that the tantalum, tin, tungsten and gold in the products they manufacture does not directly or indirectly finance or benefit armed groups that are perpetrators of serious human rights abuses in the Democratic Republic of the Congo or an adjoining country. Suppliers shall exercise due diligence on the source and chain of custody of these minerals and make their due diligence measures available to customers upon customer request.

3. 勞工人權 Labor Rights

供應商應根據國際社會公認的準則（包括但不只限於國際勞工組織《(就業和職業)歧視公約》），承諾維護並尊重勞工人權，對各種職場不法侵害採取「零容忍」原則，並建立安全、尊嚴、無歧視、互相尊重及包容、機會均等之職場文化。不得因人種、膚色、年齡、性別、性傾向、性別認同及表現、種族、殘疾、懷孕、信仰、政治立場、工會成員、國籍或婚姻狀況等在招聘、工資、晉升、獎勵和培訓時歧視或騷擾勞工。該準則適用於所有勞工包括臨時工、外籍勞工、建教生、半工半讀勞工、契約工、直接勞工，以及所有勞工。

勞工標準：

Suppliers are committed to uphold the human rights of workers, and to treat them with dignity and respect, in compliance with principles as understood by the international community, including but not limited to ILO Discrimination (Employment and Occupation) Convention. Suppliers must hold the principle of "zero tolerance" against any illegal behaviors in the workplace to maintain a culture of security, dignity, nondiscrimination, respect, inclusiveness, and equality. Suppliers shall not engage in discrimination or harassment based on race, color, age, gender, sexual orientation, gender identity and expression, ethnicity, disability, pregnancy,

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religion, political affiliation, union membership, nationality or marital status in hiring and employment practices such as wages, promotions, rewards, and access to training. This applies to all workers including temporary, migrant, workers employed through school- industry cooperation, student, contract, direct workers, and any other type of worker.

The labor standards are:

3.1 童工

供應商不得在任何製造工序中使用童工。「童工」指聘僱任何未滿 15 歲、或未達強迫教育年齡、或該國家/地區最低就業年齡的人士（三項中取年齡最大者）。供應商應採取適當的機制核實勞工的年齡。符合所有法例與法規的合法職場學習計劃則不在此列。未滿 18 歲的勞工（年輕勞工）不得從事可能會危及其健康或安全的工作，包括夜班或加班。供應商應適當保管學生記錄、嚴格審核教育合作夥伴，以及按照適用的法例與法規保障學生的權利，從而確保對學生工的管理得當。供應商應當為所有學生工提供適當的支援和培訓。如果沒有當地法律規定，學生工、實習生和學徒的薪資水平應最少與從事同等或相似工作的其他入門級勞工相等。

Child Labor

Child labor is not to be used in any stage of manufacturing. The term “child” refers to any person under the age of 15, or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. Suppliers shall implement an appropriate mechanism to verify the age of workers. The use of legitimate workplace learning programs, which comply with all laws and regulations, is supported. Workers under the age of 18 (Young Workers) shall not perform work that is likely to jeopardize their health or safety, including night shifts and overtime. Suppliers shall ensure proper management of student workers through proper maintenance of student records, rigorous due diligence of educational partners, and protection of students’ rights in accordance with applicable laws and regulations. Suppliers shall provide appropriate support and training to all student workers. In the absence of local law, the wage rate for student workers, interns, and apprentices shall be at least the same wage rate as other entry-level workers performing equal or similar tasks.

3.2 自由選擇就業

供應商必須尊重勞工的自由，並禁止任何形式的強迫勞動。

Freely Chosen Employment

Suppliers shall respect the freedom of workers and prohibit any form of forced labor.

3.3 工時

除非緊急或特殊情況，工作時數不應超過當地法律規定的最大限度。供應商須留下勞工出勤紀錄，包括但不限於簽到簿、出勤卡、刷卡機、門禁卡、生物特徵辨識系統、電腦出勤紀錄系統或其他可記載出勤時間所為之紀錄。

Working Hours

Working hours, including overtime, are not to exceed the maximum set by local law, except in emergency or unusual situations. Suppliers shall keep track of worker attendance records, including but not limited to a traditional attendance register, card swiping, high-tech recording fingerprint and retina scans or other recording tools.

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3.4 薪資福利

供應商應依據最低工資、加班、法定福利等相關薪酬法律，支付勞工的工資。所有工作及加班應是自願性的，加班時數及加班費不可與當地勞基法抵觸，除非廠方與勞工組織達成商議。不得以扣薪資、扣留任何勞工護照及證件作為紀律處分的手段，除非國家法令允許或勞工組織允許此處份手段。支薪時，應及時為勞工提供簡明的工資單據，內含充足的資料證實支付給勞工的薪酬準確無誤。必須按照當地法律聘用臨時工、派遣勞工和外包工。

Wages and Benefits

Compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. All work and overtime work shall be voluntary, suppliers shall comply with applicable laws, collective bargaining agreements (where applicable) and industry standards on working hours, breaks and public holidays. Deductions from wages and withholding of identity or immigration documents (e.g. government-issued identification, passports, or work permits) as a disciplinary measure shall not be permitted. For each pay period, workers shall be provided with a timely and understandable wage statement that includes sufficient information to verify accurate compensation for work performed. All use of temporary, dispatch and outsourced labor will be within the limits of the local law.

3.5 自由結社

根據當地法律，供應商應尊重所有勞工組織和參與他們所選擇的工會、集體談判和參加和平集會的權利，同時也應尊重勞工迴避這類活動的權利。勞工和／或他們的代表應能夠在不用擔心歧視、報復、威脅或騷擾的情況下，公開地就工作條件和管理方法與管理層溝通以及分享其想法和憂慮。

Freedom of Association

In conformance with local law, suppliers shall respect the right of all workers to form and join the trade unions of their choosing, to bargain collectively, and to engage in peaceful assembly as well as respect the right of workers to refrain from such activities. Workers and/or their representatives shall be able to openly communicate and share ideas and concerns with management regarding working conditions and management practices without fear of discrimination, reprisal, intimidation, or harassment.

4. 健康與安全 Health and Safety

供應商應意識到，除了盡量減少與工作相關的傷病發生率外，安全、健康的工作環境有助提高產品和服務的品質、生產的穩定性以及勞工的忠誠度和士氣。供應商也應意識到，持續對勞工投入和教育，是辨識和解決工作場所內健康與安全問題的關鍵。安全與健康標準：

Suppliers recognize that in addition to minimizing the incidence of work-related injury and illness, a safe and healthy work environment enhances the quality of products and services, consistency of production and worker retention and morale. Suppliers also recognize that ongoing worker input and education are essential to identifying and solving health and safety issues in the workplace. The health and safety standards are:

4.1 職業安全

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應透過管控層級，包括消除危害、替代流程或材料，以妥當設計加以管控、實行工程和行政管制、防護性保養和安全操作程序（包括上鎖掛牌程序）和持續性的安全知識培訓等，識別和評估並減輕工作場所的健康及安全危害（如化學、電力和其他能源、火災、運載工具和跌倒危害等），以免危及勞工。若無法透過上述方法有效控制危害，應為勞工提供適宜、充分保養的個人防護裝備，以及與這些危害相關的風險教材。亦必須採取合理措施，讓孕婦和哺乳期女性遠離存在高度危害的工作環境、消除或減輕孕婦和哺乳期女性所承受的任何（包括與分派予其工作相關的）職場健康和​​安全風險，以及為哺乳期女性提供合理的住所。

Occupational Safety

Workers' risk of occupational exposure to health and safety hazards (chemical, electrical and other energy sources, fire, vehicles, and fall hazards, etc.) are to be identified, assessed, and mitigated using the Hierarchy of Controls, which includes eliminating the hazard, substituting processes or materials, controlling through proper design, implementing engineering and administrative controls, preventative maintenance and safe work procedures (including lockout/tagout), and providing ongoing occupational health and safety training. Where hazards cannot be adequately controlled by these means, workers are to be provided with appropriate, well-maintained, personal protective equipment, and educational materials about risks to them associated with these hazards. Reasonable steps must also be taken to remove pregnant women and nursing mothers from working conditions with high hazards, remove or reduce any workplace health and safety risks to pregnant women and nursing mothers, including those associated with their work assignments, and provide reasonable accommodations for nursing mothers.

4.2 應急準備

應確認和評估潛在的緊急情況和事件，並透過實施應急方案和應變程序來將其影響降到最低，包括緊急報告、勞工通告和疏散程序、勞工培訓和演習。應急演習必須至少每年進行一次，或按當地法律要求進行，取較嚴格者。應急方案亦應包括適當的消防偵測和滅火設備、暢通無阻的緊急出口、充足的逃生出口設施、應急人員的聯絡資料和復原計劃。這些方案和程序應著重盡量減低對生命、環境和財產的危害。

Emergency Preparedness

Potential emergency situations and events are to be identified and assessed, and their impact minimized by implementing emergency plans and response procedures including emergency reporting, worker notification, evacuation procedures, worker training, and drills. Emergency drills must be executed at least annually or as required by local law, whichever is more stringent. Emergency plans should also include appropriate fire detection and suppression equipment, clear and unobstructed egress, adequate exit facilities, contact information for emergency responders, and recovery plans. Such plans and procedures shall focus on minimizing harm to life, the environment, and property.

4.3 職業傷害和職業病

應制定程序和系統來預防、管理、追蹤和報告職業傷害和職業病，包括以下規定：鼓勵勞工報告、分類和記錄職業傷害和職業病案例、提供必要的治療、調查案例並採取糾正措施以杜絕其根源，以及協助勞工康復返回工作崗位。

Occupational Injury and Illness

Procedures and systems are to be in place to prevent, manage, track and report occupational injury and illness,

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including provisions to encourage worker reporting, classify and record injury and illness cases, provide necessary medical treatment, investigate cases and implement corrective actions to eliminate their causes, and facilitate the return of injured workers (the return-to-work process).

4.4 工業衛生

應根據管控層級，識別、評估並控制勞工暴露於化學、生物及物理因素的影響。若發現任何危害，供應商應尋找機會消除和／或減少該危害。如果無法消除或減輕危害，則應透過適當的設計、工程和行政控制措施來控制潛在危害。如這些措施無法有效控制危害，應免費提供勞工適當、妥善保養的個人防護裝備。防護計劃須持續並包括與這些危害相關的風險教材。

Industrial Hygiene

Worker exposure to chemical, biological, and physical agents is to be identified, evaluated, and controlled according to the Hierarchy of Controls. If any potential hazards were identified, suppliers shall look for opportunities to eliminate and/or reduce the potential hazards. If elimination or reduction of the hazards is not feasible, potential hazards are to be controlled through proper design, engineering, and administrative controls. When hazards cannot be adequately controlled by such means, workers are to be provided with and use appropriate, well-maintained, personal protective equipment free of charge. Protective programs shall be ongoing and include educational materials about the risks associated with these hazards.

4.5 體力勞動工作

應識別、評估並控制從事體力勞動給勞工帶來的危害，包括以人力搬運物料和重複提舉重物、長時間站立，以及高度重複性或高強度的組裝工作。

Physically Demanding Work

Worker exposure to the hazards of physically demanding tasks, including manual material handling and heavy or repetitive lifting, prolonged standing, and highly repetitive or forceful assembly tasks is to be identified, evaluated, and controlled.

4.6 機器防護

應評估生產設備或其他類型機器的安全危害。應提供和正確地維護物理防護裝置、連鎖裝置以及屏障，以預防機器對勞工可能造成的傷害。

Machine Safeguarding

Production and other machinery shall be evaluated for safety hazards. Physical guards, interlocks, and barriers are to be provided and properly maintained where machinery presents an injury hazard to workers.

4.7 公共衛生和食宿

應為勞工提供乾淨的洗手間設施、清潔的飲用水、以及衛生的煮食用具、食物儲存設施和餐具。供應商或勞工仲介提供的勞工宿舍應保持乾淨、安全，並提供適當的緊急出口、洗浴熱水、充足的照明供暖和通風設備、獨立安全的場所以供儲存個人和貴重物品，以及適當且出入方便的私人空間。

Sanitation, Food, and Housing

Workers are to be provided with ready access to clean toilet facilities, potable water and sanitary food

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preparation, storage, and eating facilities. Worker dormitories provided by the supplier or a labor agent are to be maintained to be clean and safe, and provided with appropriate emergency egress, hot water for bathing and showering, adequate lighting and heat and ventilation, individually secured accommodations for storing personal and valuable items, and reasonable personal space along with reasonable entry and exit privileges.

4.8 健康與安全溝通

供應商應提供勞工以其母語或其能夠理解之語言進行的適當職業健康和 safety 資料及訓練，讓勞工瞭解其暴露到的所有工作場所危害，包括但不限於機械、電力、化學、火災和物理危害。應在工作場所清楚張貼健康與安全相關資料，或將相關資料放在勞工可識別並可取用的位置。在開始工作前及之後也應定期培訓所有勞工，並鼓勵勞工將任何健康和 safety 方面的疑慮反映予高層。

Health and Safety Communication

Suppliers shall provide workers with appropriate workplace health and safety information and training in their mother tongue or in a language the worker can understand for all identified workplace hazards that workers are exposed to, including but not limited to mechanical, electrical, chemical, fire, and physical hazards. Health and safety related information shall be clearly posted in the facility or placed in a location identifiable and accessible by workers. Training is provided to all workers prior to the beginning of work and regularly thereafter. Workers shall be encouraged to raise any health and safety concerns.

5. 環境 Environment

供應商應清楚了解保護環境責任是所有企業的責任，在製造過程中應儘量減少對社區、環境和大自然的不利影響，並同時保障公眾的健康和 safety。

環境標準：

Suppliers recognize that environmental responsibility is an integral part of corporate responsibility and business practice. The manufacturing operations should minimize adverse effects on the community, the environment and the natural resources, while also safeguard the health and safety of the public. The environmental standards are:

5.1 環境許可和報告

供應商應獲取所有必需的環境許可證（如排放監控）、批准和登記文件，亦要對其進行維護並時常更新，以及遵守許可證的操作和報告要求。

Environmental Permits and Reporting

All required environmental permits (e.g. discharge monitoring), approvals, and registrations are to be obtained, maintained, and kept current and their operational and reporting requirements are to be followed.

5.2 預防污染和節約資源

供應商應在源頭或透過實踐（如增設污染控制設備；改良生產、維修和設施程序；或其他方法）儘量減少或杜絕排放污染物以及產生廢物。應透過改良生產、維修和設施程序、替換材料、再用、節約、回收或其他方法，減少自然資源（包括水、化石燃料、礦物和原始森林產品）的消耗。

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Pollution Prevention and Resource Reduction

Emissions and discharges of pollutants and generation of waste are to be minimized or eliminated at the source or by practices such as adding pollution control equipment; modifying production, maintenance, and facility processes; or by other means. The use of natural resources, including water, fossil fuels, minerals, and virgin forest products, is to be conserved by modifying production, maintenance and facility processes, materials substitution, re-use, conservation, recycling, or other means.

5.3 有害物質

供應商應當識別、標籤和管理對人類或環境造成危害的化學品、廢物及其他物質，從而確保這些物質得以安全地處理、運送、儲存、使用、回收或再用及棄置。

Hazardous Substances

Chemicals, waste, and other materials posing a hazard to humans or the environment are to be identified, labeled, and managed to ensure their safe handling, movement, storage, use, recycling or reuse, and disposal.

5.4 固體廢棄物

供應商應實施系統性的措施來識別、管理、減少和負責任地棄置或回收無害的固體廢棄物。

Solid Waste

Suppliers shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous).

5.5 廢氣排放

營運過程中產生的揮發性有機化學物質、氣膠、腐蝕性物質、微粒、破壞臭氧層物質以及燃燒副產品在排放前，應按照要求對其進行分類、例行監測、控制和處理。供應商也應當對廢氣排放管制系統的性能進行例行監測。

Air Emissions

Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting substances, and combustion byproducts generated from operations are to be characterized, routinely monitored, controlled, and treated as required prior to discharge. Suppliers shall conduct routine monitoring of the performance of its air emission control systems.

5.6 材料限制

供應商應當遵守所有法律規範和客戶要求，禁止或限制在產品和製造過程中納入禁用物質。

Materials Restrictions

Suppliers are to adhere to all applicable laws, regulations, and customer requirements regarding the prohibition or restriction of specific substances in products and manufacturing.

5.7 水資源管理

供應商應當實用水管理計劃，以記錄、分類和監測水資源、使用和排放；尋求機會節約用水；以及控制污染渠道。所有污水在排放或棄置前，應當按照要求對其進行分類、監測、控制和處理。供應商應當對污水處理和控制系統的性能進行例

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供應商行為準則及盡責聲明書

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行監測，以確保達到最佳性能和符合法規。

Water Management

Suppliers shall implement a water management program that documents, characterizes, and monitors water sources, use and discharge; seeks opportunities to conserve water; and controls channels of contamination. All wastewater is to be characterized, monitored, controlled, and treated as required prior to discharge or disposal. Suppliers shall conduct routine monitoring of the performance of its wastewater treatment and containment systems to ensure optimal performance and regulatory compliance.

5.8 能源消耗和溫室氣體排放

供應商須訂立公司的溫室氣體減排目標。能源消耗及所有範疇 1 和 2 相關的溫室氣體排放，應追蹤、記錄及公開報告，以達到溫室氣體減排的目標。供應商應當找到方法來改善能源利用效率，並盡量減少能源消耗和溫室氣體排放。

Energy Consumption and Greenhouse Gas Emissions

Suppliers are to establish a corporate-wide greenhouse gas reduction goal. Energy consumption and all relevant Scopes 1 and 2 greenhouse gas emissions are to be tracked, documented, and publicly reported against the greenhouse gas reduction goal. Suppliers are to look for methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

6. 永續採購 Sustainable Procurement

供應商應在其自身之供應鏈中，以降低對環境與社會衝擊的角度來推動永續採購相關行動，包含永續採購政策、原物料溯源以避免使用衝突礦產、促進永續供應網絡等。

Suppliers shall push forward actions relating to sustainable procurement within its supply chain from the perspective of reducing environmental and social impacts, including sustainable procurement policies, raw material tracing to prevent using conflict mineral products, and promoting a sustainable supply network.

注意 Note：

請供應商審閱後，將此供應商行為準則及盡責聲明書列印簽名以確認，並掃描回傳。

Please review, sign, and return the Code of Conduct and Due Diligence Statement at your earliest convenience.

代表人簽名

Signature of the Authorized Representative：

日期

Date(西元年 yyyy/月 mm/日 dd)：