
ZTT Compliance Rules on Procurement

CHAPTER I. General Provisions

Article 1. In accordance with relevant Chinese laws, rules and regulations, and those of countries where Jiangsu Zhongtian Technology Co., Ltd. (hereafter as **Company** **applicable laws** *Compliance Guidelines*, and other **ZTT Compliance Rules** operate, these Rules have been hereby formulated to enhance the compliance management of procurement activities.

Article 2. These Rules apply to the business activities such as compliance qualifications review carried out by the Company and its domestic and foreign controlled subsidiaries (he **Subsidiaries**) with the Suppliers during the procurement process. For business activities such as compliance due diligence towards other Third Parties, the Company and Subsidiaries shall apply *ZTT Compliance Rules for Due Diligence on Third Parties*. For definitions of "Procurement", "Suppliers", "Third Parties", etc., please refer to Article 4 below. The Compliance Standard Department of the Company will supervise the implementation of these Rules by the Company and its subsidiaries with the final right of interpretation.

Article 3. These Rules apply to all employees of the Company and Subsidiaries.

Article 4. Definitions:

1. Compliance

Organization, regulatory provisions, industrial standard, business practices, ethics and the Co its Subsidiaries in their regular course of business.

2. Compliance Risks

sanctions, administrative penalties, significant loss of property or reputation occurs to the Company and its Subsidiaries or Employees as a result of their Non-compliance Conducts.

3. Appropriate Compliance Department

responsible for the business operations, refers to Compliance Standard Department of the Company; or Compliance Department or Compliance Officers of the Subsidiaries.

4. Procurement Management Department

organization of the Company or Subsidiaries which undertakes the procurement task. The Procurement Management of the Company is the Purchase & Supply Division of the Company; the Procurement Management Departments of Subsidiaries are Purchase Division of each Subsidiaries.

5. Functional Department -Place-Three-Person team, product company and purchase division of the factory of the Company or its Subsidiaries.

6. Bid Management Institution
the business operations, refers to the Bid Evaluation Center of the Company (include Purchase & Supply Division, Bid Evaluation Team and Functional staffs) and Bid Evaluation Team and Purchase Department, etc.

7. Procurement

- i. Procurement of materials and equipment;
- ii. Project and labor service subcontracting (tendering);
- iii. Rental of houses, equipment and turnover materials; and
- iv. Purchasing or accepting licenses for consulting services regarding technology, management, operation methods and practices.

8. Suppliers
unincorporated entities that provide materials, equipment, labor services, leasing services, or consulting services such as technology, management, operation methods and practices, or accept licenses to stock companies or subsidiaries.

9. Third Parties
intermediaries, consultants, representatives, distributors, contractors, consortia and joint venture partners, as well as other kind of third parties with whom it has business relationships or with whom it works to obtain orders or permits (whether an individual, partnership, corporation or unincorporated entity) engaged by the Company or any Subsidiaries in any forms or under any titles.

10. Related Enterprise/Related individual
individuals who directly or indirectly control, are under controlled by or having significant influence on third parties.

11. Government Organizations
local government departments, or the enterprises (e.g. state-owned resources companies or developers) that are owned or controlled by the State.

12. International Organizations his policy include but are not limited to the United Nations; International Monetary Fund (IMF); Organization for Economic Cooperation and Development (OECD); Multilateral Development African Development Bank and the World Bank; and the World Trade Organization (WTO).

13. Public Official

- v. Officials, employees, representatives of governments, and any other person acting on behalf of a government (or otherwise authorized to act under official right);
- vi. Officials, employees, or representatives of public international organizations;
- vii. Officials, employees, or representatives of political organizations or members of royal families, who exercise public authority; and

viii. Officials and employees of public enterprises, which are enterprises over

process of preview of qualification of suppliers, and hand out *Supplier Questionnaire* to suppliers (see Annex 2 Supplier Questionnaire) and *Declaration of Compliance* (see Annex 3 Declaration of Compliance);

4. Assessing the risks and completing the *Supplier Assessment Form* (see Annex 4 Supplier Assessment Form);
5. Other responsibilities provided by ZTT Compliance Rules.

Article 8. The responsibility on compliance management of the procurement of the Functional Department of the Company and Subsidiaries includes but not limited to the following:

- I. Making the annual, seasonal er Compliance

members from the Procurement Management Department and Appropriate Compliance Departments as decided by senior management in consultation with the Appropriate Compliance Department and other relevant officers and staff.

These Procurement Supervisory Groups shall be independent of the Tendering Management Institution established pursuant to Chapter III below and will have responsibility for supervising overall procurement activities.

Article 11.

to:

1. Conduct compliance reviews in procurement plans and activities;
2. Receive and deal with suspicions of procurement errors or misconduct, and reports on noncompliance conduct during the procurement process, from employees and also the suppliers;
3. Conduct compliance reviews on tendering processes and results;
4. Review the procurement to ensure it conforms with ZTT Compliance Rules;
5. Undertake other preventative and supervisory reviews as directed by the Company Chief Compliance Officer, as applicable.

Article 12. If a Procurement Supervisory Group identifies any violation of laws or compliance requirements of ZTT Compliance Rules in procurement activities, it shall report promptly to the Person in charge responsible for procurement and the Appropriate Compliance Department(s) of the Company and its Subsidiaries. The Person in charge and the Appropriate Compliance Department shall decide to suspend or terminate the tendering process, or renounce the award, subject to conditions; if it is necessary, they may decide to take measures of remedy or discipline against the noncompliance conduct.

Article 13. The Company and its Subsidiaries shall adopt appropriate procurement methods based on relevant market circumstances and procurement plans.

CHAPTER III. Principles of Tendering For Procurement

Article 15. The Company and its Subsidiaries shall set up a Tendering Management Institution that is responsible for tendering procurement. The Tendering Management Institution shall always include the Appropriate Compliance Department.

management and be subject to supervision from the Procurement Supervisory Group.

Article 16. All tendering activities shall comply with applicable laws (including regulations in the country in which the tender or relevant project is to be awarded) and any other tender requirements (such as those of MDBs). The Tendering Management Institution is empowered to report to the Person in charge responsible for procurement and Appropriate Compliance Department to be approved to disqualify any bidder who violates the tendering rules of the Company and its Subsidiaries, ZTT Compliance Rules, or other rules stated as tendering conditions or requirements under applicable tendering documents.

Article 17. The best, most qualified bidder shall be nominated as the winning bidder. The specific rules is either provided by *the Procurement & Bidding Policy of ZTT Group* or to be formulated based on *the Procurement & Bidding Policy of ZTT Group* by the Tendering Management Institution.

Article 18. Procurement information such as tendering (including negotiation) proposals, base prices of bids, names and numbers of bidders that submitted bid documents, names of bid evaluation personnel, and evaluation reports and results, are all confidential information of the Company and must be strictly maintained in

Article 19. Any Employee who has any personal, business, or financial relationship with a bidder must not participate in the tendering or bid evaluation process. Even if a bidder alleges that the Employee who is involved in tendering or bid evaluation on behalf of the Company and its Subsidiaries does not have a conflict of interest with other bidders, such Employee shall recuse himself or herself absent a documented determination by the relevant Procurement Supervisory Group that the alleged conflict of interest does not exist.

Article 20. The relevant Procurement Supervisory Group shall monitor the entire tendering activities and conduct a compliance review on the following:

1. Whether or not any member of the Tendering Management Institution, or any separate bid evaluation group established by the Company and its Subsidiaries has any interest in the respective tender or has any conflict of interest;
2. Whether or not the composition of the Tendering Management Institution or any bid evaluation group is reasonable, and whether or not the bid evaluation process is fair and impartial;

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3. Strict review of sole-sourced or sole-bidder contracts; and
 4. If the tendering-related might involve subcontracting of projects of the Company, it should be based on applicable laws and contract provisions to decide if the subcontracting is permitted or if such subcontracting had been disclosed to owner.

If any compliance red flags are identified at any stage of a tender, they shall be reported to the Appropriate Compliance Department for review, investigation, and redress as appropriate.

Article 21. The following activities are strictly prohibited in the Company and its Subsidiaries tendering:

1. Avoiding tendering by means of changing tendering plans or procedures (unless otherwise permitted under applicable laws, the Procurement and Bidding Policy of ZTT Group, and Article 13, Paragraph 2 of this Rules) applicable to a project which is subject to being tendered under applicable laws and the this Rules;
2. Suggesting that one or more bidders form a consortium or association to make a joint bid, or otherwise act to restrict competition among bidders (regardless of whether or not such activity violates applicable laws);
3. Negotiating secretly or colluding with one or more of the bidders;
4. Discriminating against certain bidders or treating bidders differently for any improper reason;
5. Disclosing the names and contact information of potential bidders who have already received the tendering documents, or any other behavior which may adversely influence fair competition;
6. providing any information gained regarding a bidder during bid evaluation to another bidder or potential bidder;
7. Requesting or permitting any bidder to modify its tendering documents after the deadline of tendering, or requesting any post-bid discount;
8. Disclosing the names and contact information (except for open contact information in tendering document) of Tendering Management Institution or bid evaluation group members, any internal minimum bid price determination, and any other confidential information before bid opening (and then only if needed to carry out the relevant tender or project); disclosing bidding documents or content of negotiation before the signing of contract;
9. Threatening or suggesting to a bidder to subcontract any portion of the project to a designated subcontractor or Supplier in order to win the bid;
10. Receiving bribes or obtaining other improper benefits, or soliciting them, from a bidder; receiving gifts, money, banquet from bidders or tenderer, or involving in any relationship that could affect the impartiality of the tendering;

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11. Concealing or destroying bid-invitation and other tender documents that ought to be preserved, or forging or fabricating bid documents;
 12. Conducting tendering activities in violation of the approved tender;
 13. Signing contract with provisions against the provisions in the tendering document;
 14. Impeding or refusing the supervision or inspection from the Procurement Supervisory Group or the Appropriate Compliance Department of the Company and Subsidiaries; and
 15. Other non-compliant or illegal activities leading to disrupting the bidding process and affecting fair competition with unfair measures.

CHAPTER IV. Pre-qualification Compliance Review

Article 22. The Company and its Subsidiaries shall, according to applicable and valid National Standard and requirements of regulations of the Company, implement Supplier review policies and set up a Qualified Suppliers List.

Article 23. Qualified Suppliers shall have basic qualifications, capabilities, and resources and be in a stable financial status to execute the tendered contract, and shall also comply with the requirements of ZTT Compliance Rules.

Article 24. For tendering activities of bulk procurement involving services contracts, project subcontracting, equipment and materials, Third Parties except for Suppliers shall be governed by *ZTT Compliance Rules for Due Diligence on Supplier*.

Article 25. The Procurement Management Department shall, according to the provisions of this Chapter, conduct compliance qualification review on all suppliers including compliant suppliers, to ensure they complies with the requirement of the Appropriate Compliance Department.

The Procurement Management Department shall hand out Supplier Questionnaire and Declaration of Compliance to suppliers, collect relevant compliance information from suppliers, and complete Supplier Assessment, all of which shall be submitted to the Appropriate Compliance Department together with the procurement plan for approval.

Article 26. The pre-qualification compliance review shall include but not be limited to obtaining information relating to:

contract or project is to be performed (referring to the list of high-risk countries or districts issued by the Company and its Subsidiaries or State Commercial Department);

2. Supplier background, including ultimate beneficiary, directors, senior management, etc.

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3. governmental authorities ;
 4. Relevant compliance information regarding the supplier in the databases of international organizations, local governments (if publicly available), and the Company;
 5. Any pending or potential litigation cases of the Supplier in the past decade;
 6. Ownership or other relationships between local Government Organizations or Public Officials and the Supplier (including existing or previous contracts undertaken on behalf of the government over the last ten years);
 7. Whether the Supplier has been charged or investigated for corruption, fraud, collusion, or other offences; and
 8. Market reputation of the Supplier (based on public information, Embassy or Consulate information if any, Supplier references, and past experience with the Supplier if any).

Article 27. Compliance risk of the Supplier shall be evaluated and classified by the Appropriate Compliance Department based on the information collected from the pre-qualification compliance review. (See Annex 5. Red Flag Check List):

The Compliance Risks of procurement are categorized as follows:

I. Critical Risk Level which is prohibited to cooperate

Certain risks preclude any use of the suppliers under any circumstances. Such risks are:

1. The Supplier, its parent company, or any affiliated companies or persons have ever been listed as terrorist organizations by the United Nations or other Public International Organizations;
2. The Supplier, its parent company, or any affiliated companies or persons, have been listed on a Public International Organization, or local Government
3. The current shareholder or senior management of the Supplier, its parent company or any affiliated companies is currently criminally wanted internationally or locally.
4. The Supplier refuse to cooperate in completing the compliance qualification review.
5. Any other risks in equivalent with the degree of above-mentioned risks.

II. Risk Class One refers to circumstances in which the supplier may seriously violate the applicable laws or regulations, and cooperation with such Supplier may lead to sanctions, penalty, loss of property or reputation and other negative effect, including but not limited to:

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1. Any former shareholders, or senior management of the Supplier or of its parent or an affiliate entity has/have been internationally or locally wanted for a criminal conviction in the past decade; or
 2. Any current shareholders, or senior management of the Supplier or its parent or an affiliate entity is/are suspected of being involved in any litigation arising from charges of corruption, fraud, monopoly or collusion, tax evasion, or money laundering;
 3. The Supplier, its parent entity, or any of its affiliate entities, is listed on the restricted Supplier blacklist by the Company and its Subsidiaries.
 4. Any other risks in equivalent with the degree of above-mentioned risks.

III. Risk Class Two refers to circumstances in which although the supplier may possibly lead to sanctions, penalty, loss of property or reputation and other negative effect, including but not limited to:

Reputation:

1. The country or region where the project or contract involving suppliers to be performed is listed in List of High-Risk Countries/regions published by the Company or State Commerce Department for the current year;
2. The prospective supplier has a poor reputation;

Relationship with government and public officials:

3. The prospective Supplier, its parent, or any affiliated entity, or any of their owners (including beneficial owners), shareholders, or management personnel used to be a public official in the last three years or has a contractual, personal or family relationship with a government agency or public officials in the location of or involved in any way with the project or business for which the Supplier is proposed to be retained;
4. The family members or relatives of prospective Supplier, its parent, or any affiliated entity, or any of their owners (including beneficial owners), shareholders, or management personnel are public officials of government or ruling party where the project or business operate or in connection with the project or business.
- 5.

9. The Supplier is not equipped with corresponding resources, employees to undertake the service in the Supplier Agreement, or the Supplier engages or plans to engage an unnecessary subcontractor (e.g. consultant, distributor, and sub-agent) or multiple agencies to perform the agreement;

10. The Supplier has conducted such business for a long time.

Payment:

11. The Supplier demands payment or commission fee which is far beyond the service it provides or the risks it bears;

12. The Supplier requires a one-time payment in cash or cash equivalents;

13. The Supplier requires an irregular payment terms, e.g. payment made to countries or regions other than place of registration, business or providing service, or payment made to banks or Third Parties irrelevant with this transaction, or payment made in a third world currency, or payment made to individuals when a company provide services, or payment in the purpose of avoiding laws (e.g. tax avoidance);

14. The Supplier refuses to record the expenditure properly;

Other circumstances:

15. The Supplier refuses to sign the Declaration of Compliance regarding the anti-corruption laws (see Annex 3)

16. The Supplier insists to avoid using written communications, including emails, fax, etc.

17. No other supplier was considered by the Company and its Subsidiaries for the particular project or contract;

18. Any other risks in equivalent with the degree of above-mentioned risks.

IV. Risk Class Three refers to circumstances in which cooperation with such supplier may possibly lead to sanctions, penalty, loss of property or reputation and other negative effect, but the risk is lower than the above Critical Level, Class One and Class Two.

Article 28. With regard to different levels of compliance risks on procurement, the Company and Subsidiaries may exercise the following approval process:

I. If the compliance risk of the supplier is Critical Risk Level which prohibits the cooperation, the Company and its Subsidiaries should not enter into contract or cooperate with such supplier;

II. For Risk Class One, a contract or other business cooperation of the Company and its Subsidiaries shall be prohibited in principle. If cooperation or a contract is nonetheless determined to be necessary, the compliance risk posed by the proposed supplier must be sufficiently mitigated (e.g. by severing its relationship with the individual or affiliate which caused the supplier to be categorized in Risk Class One, or the Company and its Subsidiaries will limit the relationship with such supplier in a certain range) and advance and joint approvals must first be obtained from the

CHAPTER VI. Discipline

Article 34. The employees of the Company and its Subsidiaries fail to comply with the this Rules, given the seriousness of the circumstance, will be subject to disciplinary actions from public notice to termination of job, consistent with applicable laws and internal rules of the Company, provided that they will also be pursued for liability.

CHAPTER VII. Miscellaneous

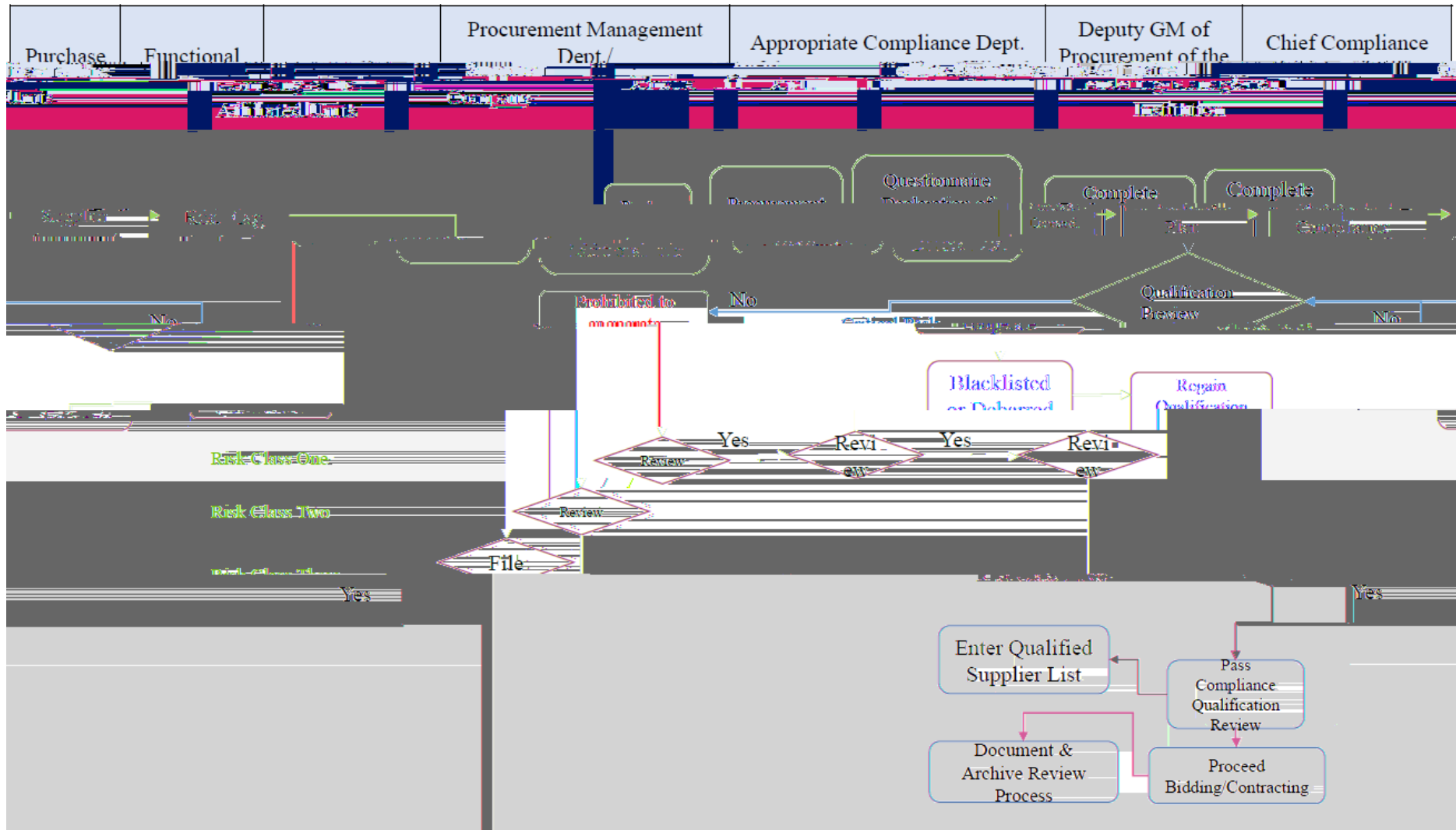
Article 35. Any questions concerning this Rules should be addressed to the Appropriate Compliance Department.

Article 36. The Compliance Standard Department of the Company, on behalf of the Company, exercise the supervision on the implementation of these Rulesis Rules in its departments, and it has the ultimate right to instruct and interpret the implementation of this Rules.

Annex:

1. Compliance Qualification Review Flowchart
2. Supplier Questionnaire
3. Declaration of Compliance
4. Supplier Assessment Form
5. Red Flag Check List

Annex 1. Compliance Qualification Review Flowchart



Annex 2

Supplier Questionnaire

In order to comply with international and Chinese anti-corruption, fair competition laws and principles, _____ (name of the company) (hereinafter referred to as _____ *Questionnaire*. The above laws and principles include _____ *the* _____, *and the Criminal Law of PRC* _____ *Questionnaire* to conduct legal analysis, to evaluate legal risk relating to the Suppliers and uncover potential red flags.

This *Questionnaire* has been tailored to satisfy relevant requirements for the protection of privacy and secret information, and would only be used for compliance purposes by ZTT. Should any potential red flags be identified, the information counsel. ZTT will store and retain the information in accordance with Company policies and procedures.

The completion of this *Questionnaire* is mandatory, but you may amend relevant information after submission. If you have any questions or concerns regarding the above, please consult with your local representative office of ZTT.

NOTE: If the Supplier has submitted the *Questionnaire* within the past twelve months, there is no need for the Supplier to fill out the *Questionnaire* again. Nevertheless, the Supplier shall still update relevant changes of circumstances (e.g., change in ownership, address, etc.) and guarantee continued compliance with applicable laws and regulations.

Questionnaire.

Nevertheless, this term refers but not limited to:

1. Government officials, employees, representatives and any other person acting on behalf of government or being authorized to exercise public authority;
2. Officials, employees, or representatives of international organizations;
3. Officials, employees, representatives of political organizations delegated with public authority, or members of royal families;
4. Officials and employees of public enterprises, namely enterprises over which a government has direct or indirect control, or could exert dominant influence;

If necessary, additional paper may be attached.

I. CONTACT INFORMATION

1. Officially registered name, or personal name in case of sole proprietorship.

- 2.

3. Telephone Number of the Main Office_____

Fax Number_____

4. E-mail Address_____

Website_____

II. OWNERSHIP STRUCTURE of the SUPPLIER

5. Business Type

___ Corporation (company limited by shares, limited liability company, etc.)

___ Individually owned (proprietorship)

___ Partnership

___ Other

6. If the entity is a corporation:

1 Where was it incorporated _____

2 When was is incorporated _____

7. If the entity is a partnership or other types of business:

1 Where was it founded _____

2 When was it founded _____

3 By whom was it founded _____

8. Please list all individuals or entities with a stake in your company. This should include all owners (shareholders) or beneficiaries as defined by applicable law, such as individuals or entities who are entitled to or who are intended or expected to receive any portion of the payment from your company. Note: if your company is already listed, please identify all those who currently holds, directly or indirectly, more than 5% shares of your company.

- | | |
|-----|-----|
| 1. | 11. |
| 2. | 12. |
| 3. | 13. |
| 4. | 14. |
| 5. | 15. |
| 6. | 16. |
| 7. | 17. |
| 8. | 18. |
| 9. | 19. |
| 10. | 20. |

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9. Please list all individuals or entities who have management power over your *Questionnaire* an organizational chart or a necessary.

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10. Identify any individuals or entities listed in response to questions 9 and 10 who are public officials (as defined in this *Questionnaire* above). Please describe the nature of their interests in your company and their control over your business.

Name	Interest

11. Identify any individuals or entities listed in response to question 9 to 10 that are related to any public official or otherwise have a close relationship (personally and professionally) with a public official (as defined in this *Questionnaire* above). Please describe the nature of their interest in your company and their control over your business.

Name	Interest

12. For any individuals or entities listed in response to questions 9 and 10, if they are officers, directors, shareholders, partners, beneficiaries of any other companies, please provide relevant information.

III. COMPANY OVERVIEW

13. Please provide a brief description of your business activities, including the past performance of your product or service, the capacity of facilities relevant to the proposed relationship (or attach a copy of a current brochure or other publication that provides such a description). If possible, please attach copies of current sales brochures, annual reports, or similar documents.

14. Please state:

The number of years the company/entity has been in the business _____

Number of employees_____

Approximate annual income (if any) for each of the last five years_____

Primary market _____

Prior contractual relationships (if any) with ZTT, if applicable

IV. REFERENCES

15. Please list the names, addresses, telephone numbers of at least three commercial references (other than the banker at your service), including clients, who can discuss your qualifications and experience.

1 Reference Name: _____
Company: _____
Address: _____
Telephone Number: _____
Reference E-mail: _____

2 Reference Name: _____
Company: _____
Address: _____

employees ever been found by a court or government agency of any country to have violated a law prohibiting fraud, bribery, collusion, or other corruptive conducts?

☐ Yes

☐ No

If yes, please provide details:

18. Have you or your enterprise, or any of its directors, officers, owners (shareholder), or employees:

(a) Ever been found by a court or government agency of any country to have violated any applicable civil or criminal false statement, bribery, corruption, securities, or anti-competition law?

☐ Yes

☐ No

(b) Been under investigation or subject to a lawsuit (now or within the last five (5) years), facing charges of fraud, bribery, collusion, or other corruption?

☐ Yes

☐ No

If your answer to (a) or (b) is yes, please provide details:

VI. COMPENSATION

19. According to the region/country where your products would be provided or your services will be performed, please describe the quotation that you think is standard and appropriate.

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and address, as well as the account name and number (Here only fill in the bank account information for receiving the payment from ZTT).

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VII. REQUIRED DOCUMENTATION

Along with the completed *Questionnaire*, please provide the documents requested below. Failure to provide as required may delay this due diligence process and your retention by ZTT;

- 1 Identification (e.g., photocopy of ID Card or passport) for the person who will be the signatory to the agreement;
- 2 Documentation verifying your business address or addresses where any work under the Purchase Agreement will be undertaken (e.g., copy of business stationery);
- 3 Documentation evidencing your legal and beneficial ownership (e.g., documents from the registry in the country of incorporation or publicly available registration information, which needs to be verified by signed statement);
- 4 Documentation evidencing your incorporation, registration, or other legal establishment (e.g., certificMCID1

Guarantee

On behalf of _____ (the name of the commercial entity that has signed the agreement with ZTT), I hereby guarantee the above information truly, accurately and fully reflects all affiliated relationships between and additional information requested by ZTT _____ (the name of the business entity entering into the agreement with ZTT) and public officials.

In accordance with the applicable local laws and regulations, I hereby promise to inform the individuals mentioned in the *Questionnaire* of the purpose and methods for collecting and processing relevant information by the ZTT.

Signature: _____

Date: _____

Name: _____

Position: _____

Address: _____

Declaration of Compliance

for

[PLEASE FILL IN THE NAME OF THE SUPPLIER
OR NAME OF AFFILIATED UNIT] as follows:

1. The Supplier has received a copy of, and been informed about the ZTT . The Supplier is familiar with and understands the provisions of the United Nations Convention against Corruption and other relevant anti-corruption principles, as well as all applicable laws in _____ (the name of the countries in which the product is to be manufactured and delivered, or service is to be performed) relating to fair competition, bidding, and procurement.

2. While providing _____ (Please fill in the name of product or service to be provided) to ZTT, the Supplier has not and will not engage in any improper Conduct. Specifically, the Supplier has not and will not offer, promise, arrange for, or pay, either directly or indirectly, anything of value to a public official (as defined in the *Questionnaire*) for the purpose of inducing a public official to perform or fail to perform his official duties to assist the Supplier or The Company and its Subsidiaries in obtaining business, retaining business, or securing any improper advantage. The Supplier has not and will not, through any act, omission, or misrepresentation, knowingly or recklessly mislead or attempt to mislead another party to obtain a financial or other benefit or to avoid an obligation for itself or ZTT. The Supplier has not and will not engage in any arrangements with other parties designed to achieve an improper purpose, including colluding with another party to improperly influence a bid process for ZTT.

3. The Supplier is also familiar with and understands the provisions of all applicable anti-bribery, anti-corruption, fair competition, tendering and procurement laws of the countries in which it does business related to ZTT. The Supplier has not engaged in any conduct that violates any such laws of these countries and will perform his duties in full compliance with such legislation.

4. The Supplier, as legal person or non-legal person declares that neither the company itself or other enterprises it represents, nor any of its executives or employees, is under current criminal investigation or has been subject to any administrative or criminal enforcement actions, both at home and abroad, for improper conduct relating to bribery, corruption, collusion, false statements in tendering or procurement, or violation of the laws governing business entities.

5. The Supplier does not have any other undisclosed owners, shareholders, actual controller or beneficiaries in the *Questionnaire* (except for beneficiaries of public companies who hold less than 5% shares).

6. The services the Supplier is providing or will provide to ZTT do not violate

any commitments the Supplier has to any other clients, including, but not limited to any confidentiality or exclusivity agreements the Supplier has with other clients.

The Supplier agrees that if at any time the representations, warranties, and certifications herein are no longer accurate and complete, the Supplier will immediately notify _____ [please fill in the name of ZTT or its affiliates] and provide a supplementary report detailing such change. If the Supplier, after entering into Agreement with _____ [please fill in the name of ZTT or its affiliates], violates the aforementioned warrants and conducts the non-compliance activities which it promised not to, _____ [please fill in the name of ZTT or its affiliates] shall have the right to terminate the Agreement.

Signature: _____

Date: _____

Name: _____

Title: _____

Annex 4

Supplier Questionnaire

I. GENERAL BUSINESS PROFILE

1. The official name and trade name of the Supplier

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2. Contact Information, namely the address and telephone number of the Supplier and

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3. Place of Incorporation and principal place of business (if it is individual, fill in the domicile and principal place of business)

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4. Nature of product or service to be provided to the Company; the place of

II. BUSINESS JUSTIFICATION AND QUALIFICATIONS

7. Overview of the project, includes the quotation of the project and the execution period.

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8. Please provide a detailed explanation for why the product or the service of the Supplier are needed, and why such product or service cannot be manufactured or performed by the Company and its Subsidiaries.

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9. State whether other candidates were considered and rejected, and if so, the reasons for their rejection.

12. Financial indicators and situation

13. Relevant industry and technical experience. Please attach CV and/or any other relevant materials received.

14. State in detail the products or servers provided by the Supplier, including the object of the service to be performed, and whether there are milestones payment arrangements.

According to the following target and/or fixed milestones, the Supplier shall provide the following products or services:

III. REPUTATION/REFERENCES

15. Who recommended this person/company? Please describe the circumstances by which recommendation by a customer or a public official or their relatives.

in writing)

17. Has the Supplier, its owners, or members of its management ever been listed on the blacklist publicized by the World Bank, and are reprimanded or barred from participating in World Bank programs as a result of its corruptive, collusive, fraudulent conducts? (Log onto www.worldbank.org and search under)

☐ Yes

☐ No

internet, the news reports, databases, etc. (Procurement Management Department should preliminarily search for the name of the Third Party to conduct a preliminary review.)

19. Other unethical or dishonest conducts of the Supplier uncovered through public available information from sources such as commercial register, local media, etc.

IV. COMPENSATION AND BANK DETAILS

20. Payment method and place of payment.

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21. If inconsistent with the *Questionnaire*, please provide name of the bank of deposit known to Procurement Management Department, the account number and the address of the bank.

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22. If the bank used by Supplier is not in the region or country where the Supplier is registered or domiciled, neither is it located in the country where the project and the services are to be performed, please explain.

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Signature _____

Date _____

Name _____

Title _____

Address _____

Annex 5

Red Flag Check List

Critical Risk Level which is prohibited to cooperate	Concern Exist	Concern Non-exist
The Supplier, its parent company, or any affiliated companies or persons have ever been listed as terrorist organizations by the United Nations or other Public International Organizations;		
The Supplier, its parent company, or any affiliated companies or persons, have been listed on a Public International debarred list;		
The current shareholder or senior management of the Supplier, its parent company or any affiliated companies is currently criminally wanted internationally or locally.		
The Supplier refuse to cooperate in completing the compliance qualification review.		
Any other risks in equivalent with the degree of above-mentioned risks.		
Risk Class One	Concern Exist	Concern Non-exist
Any former shareholders, or senior management of the Supplier or of its parent or an affiliate entity has/have been internationally or locally wanted for a criminal conviction in the past decade; or		
Any current shareholders, or senior management of the Supplier or its parent or an affiliate entity is/are suspected of being involved in any litigation arising from charges of corruption, fraud, monopoly or collusion, tax evasion, or money laundering;		
The Supplier, its parent entity, or any of its affiliate entities, is listed on the restricted Supplier blacklist by the Company and		

its Subsidiaries.		
Any other risks in equivalent with the degree of above-mentioned risks.		
Risk Class Two		
Reputation	Concern Exist	Concern Non-exist
The country or region where the project or contract involving suppliers to be performed is listed in List of High-Risk Countries/regions published by the Company or State Commerce Department for the current year;		
The prospective supplier has a poor reputation;		
Government/ Public Official Relationship	Concern Exist	Concern Non-exist
The Supplier, or any of its owners or managers, has been a public official within the last three (3) years, or has a close family or other personal/professional relationship with the government or public officials in the place of the project or who are related with the project.		
public officials of the government/ruling party of relevant countries, or officials/public officials of the government/ruling party associated with this projects or activities.		
The Supplier is designated or strongly recommended by government (who are potential clients) officials, public official, or officials of international organizations.		
Business capability	Concern Exist	Concern Non-exist
The Supplier is a natural person (not legal entity);		
The supplier is a newly established company or organization for the purpose of bidding;		
The Supplier is a corporation which has a short operating		

history, a weak corporate governance framework, or is being operated temporarily or managed by a single person;		
The Supplier is not equipped with corresponding resources, employees to undertake the service in the Supplier Agreement, or the Supplier engages or plans to engage an unnecessary subcontractor (e.g. consultant, distributor, sub-agent) or multiple agencies to perform the agreement;		
The Supplier lacks relevant business or technique experience,		
Payment	Concern Exist	Concern Non-exist

The Supplier demands payment or commission fee which is far beyond the service isref40

Approval Details	
Appropriate Compliance Department of the Company and its Subsidiaries (Risk Class One & Two)	Signature Date
Person in charge responsible for procurement of the Company and its Subsidiaries	Signature Date
Chief Compliance Officer of the Company.	Signature Date