

NIO INC.

Due Diligence Management Policy for Critical Minerals

1. Introduction

Recognizing that risks of significant adverse impacts which may be associated with extracting, trading, handling and exporting minerals from conflict-affected and high-risk areas, and recognizing that the Company has the responsibility to respect human rights and not contribute to conflict, NIO Inc. (together with its subsidiaries and consolidated affiliated entities, the “**Company**”) commits to adopting, widely disseminating and incorporating in contracts and/or agreements with partners the following policy on responsible sourcing of minerals from conflict-affected and high-risk areas, as representing a common reference for conflict-sensitive sourcing practices and partners’ risk awareness from the point of extraction until end user. The Company commits to refraining from any action which contributes to the financing of conflict and the Company commits to complying with relevant United Nations sanctions resolutions or, where applicable, domestic laws implementing such resolutions.

For critical minerals, such as tin, tungsten, tantalum, gold and cobalt, lithium, natural graphite, nickel, etc. from conflict-affected and high-risk areas, the Company has developed a management system in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. Besides, the Company expects its partners to take the same actions.

2. Our Commitment

- 2.1. While sourcing from, or operating in, conflict-affected and high-risk areas, the Company will neither tolerate nor by any means profit from, contribute to, assist with, or facilitate:
 - 2.1.1. any form of torture, cruel, inhuman and degrading treatment;
 - 2.1.2. any form of forced or compulsory labor, which means work or service which is exacted from any person under the menace of penalty, and for which the said person has not offered himself voluntarily;
 - 2.1.3. the worst forms of child labor;
 - 2.1.4. other gross violations and abuses of human rights;
 - 2.1.5. war crimes or other serious violations of international humanitarian law.

- 2.2. If the Company has reasonable grounds to believe that any of our upstream partners is sourcing from, or linked to, any party committing serious abuses as defined in Section 2.1, this partner should immediately suspend or discontinue the said procurement or any existing relationship with it.
- 2.3. The Company will not tolerate any direct or indirect support to non-state armed groups through the extraction, transportation, trading, handling or export of minerals. “Direct or indirect support” to non-state armed groups through the extraction, transportation, trading, handling or export of minerals includes, but is not limited to, procuring minerals from, making payments to, or otherwise providing logistical assistance or equipment to non-state armed groups or their affiliates who:
 - 2.3.1. illegally control mine sites or otherwise control transportation routes, points where minerals are traded and upstream actors in the supply chain; and/or
 - 2.3.2. illegally tax or extort money or minerals at points of access to mine sites, along transportation routes or at points where minerals are traded; and/or
 - 2.3.3. illegally tax or extort intermediaries, export companies or international traders.
- 2.4. If the Company has reasonable grounds to believe that any of our upstream partners is sourcing from, or linked to, any party as defined in Section 2.3, this partner should immediately suspend or discontinue the said procurement or any existing relationship with it.
- 2.5. The Company agrees to eliminate the following actions:
 - 2.5.1. illegally taxing or extorting money or minerals at point of access to mine sites, along transportation routes or at points where minerals are traded from parties who illegally control mine sites, transportation routes and upstream actors in the supply chain; or
 - 2.5.2. directly or indirectly providing support to public or private security forces who illegally tax or extort intermediaries, export companies or international traders.
- 2.6. The Company recognizes that the role of public or private security forces at the mine sites and/or surrounding areas and/or along transportation routes should be solely to maintain the rule of law, including safeguarding human rights, providing security to mine workers, equipment and facilities, and protecting the mine sites or transportation routes from interference with legitimate extraction and trade.
- 2.7. Where the Company or any company in our supply chain contract public or private security forces, the Company commits to or it will require that such security forces comply with the Voluntary Principles on Security and Human Rights. In particular,

the Company will support or take steps, to adopt screening policies to ensure that individuals or units of security forces that are known to have been responsible for gross human rights abuses will not be hired.

- 2.8. The Company will support efforts, or take steps, to engage with central or local authorities, international organizations and civil society organizations to contribute to workable solutions on how transparency, proportionality and accountability in payments made to public security forces for the provision of security could be improved.
- 2.9. The Company will support efforts, or take steps, to engage with local authorities, international organizations and civil society organizations to avoid or minimize the adverse impact associated with the presence of public or private security forces at mine sites on vulnerable groups, in particular, artisanal miners.
- 2.10. If the Company identifies that such a reasonable risk exists, the Company will immediately devise, adopt and implement risk management plans with upstream partners and other stakeholders to prevent or mitigate the risks of direct or indirect support to public or private security forces, in accordance with the specific position of the company in the supply chain.
- 2.11. The Company will not offer, promise, give or demand any bribes, and will resist the solicitation of bribes. The Company will not misrepresent taxes, fees and royalties paid to governments for mineral extraction, trading, handling, transportation and export to conceal or disguise the origin of minerals.
- 2.12. If the Company has reasonable grounds to believe the existence of risks of money-laundering, resulting from or associated with the extraction, trading, handling, transportation or export of minerals derived from the illegal taxation or extortion of minerals at points of access to mine sites, along transportation routes or at points where minerals are traded by upstream partners, the Company will support efforts, or take steps to contribute to the effective elimination of money laundering.
- 2.13. The Company will ensure that all legal taxes, fees, and royalties related to mineral extraction, trade and export from conflict-affected and high-risk areas are paid to governments, and the Company commits to disclosing such payments in accordance with the principles set forth under the Extractive Industry Transparency Initiative, in accordance with the company's position in the supply chain.
- 2.14. In accordance with the specific position of the company in the supply chain, the Company commits to engaging with partners, central or local governmental authorities, international organizations, civil society and affected third parties, as appropriate, to improve and track performance with the purpose of preventing or mitigating risks of adverse impacts through measurable steps within a reasonable timeframe. The Company will suspend or discontinue engagement with any of the upstream partners who fail at risk mitigation.