



authority, responsible for preventing and identifying illegal and irregular behaviors, carrying out evaluation in time after receiving a report, deciding whether to initiate an investigation, reviewing the root causes of the problem occurring, promoting the improvement and upgrading of the process system of each department involved, and supporting the achievement of high-quality and sustainable development of the Company.

### 3.2 Competent Leader of each Department

3.2.1 Responsible for the whistleblowing management and whistleblower protection work of such department under his/her jurisdiction or management.

### 3.3 All Employees

3.3.1 All employees shall, in accordance with the relevant provisions of this System, promptly report any behavior known to him/her which falls under the circumstances specified in Article 2.3 hereof.

3.3.2 All employees shall give active cooperation for internal investigations initiated by the Company, truthfully provide information and data, provide all possible conveniences, assistance, and guarantees for the investigation team, and never impede or obstruct the investigation for any reason or in any form.

### 3.4 Functional Departments

3.4.1 The Legal Compliance Department, Human Resources Department, Finance Department, Audit Department and other relevant departments shall, in light of their departmental responsibilities and work needs and in accordance with this System and relevant regulations of the Company, coordinate and implement the whistleblowing management and whistleblower protection work within the scope of their responsibilities.

## 4. A

### 4.1 Whistleblowing Channels

4.1.1 Employee's superior leader

4.1.2 Competent leader or person in charge of employee's unit

4.1.3 Legal Compliance Department of the Company

- 4.1.4 Credit Department of the Company
- 4.1.5 Human Resources Department of the Company
- 4.1.6 Anti-fraud Whistleblowing Platform Special

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#### 4.2 Acceptance

4.2.1 The Company respects and accepts and encourages whistleblowing in real name, and gives priority to real-

of handling; disposal, and response. Each department shall, after receiving the whistle-blown information, evaluate such information as soon as possible, and establish contact with the whistleblower in a timely manner.

4.2.2 For each matter whistle-blown, whether in real name or anonymously, the Company will evaluate it, and decide whether it is necessary and how to conduct an investigation. The Company will make arrangement for the relevant departments and personnel to set up a special working group for handling such matter, and hire external experts to participate in investigation when necessary.

4.2.3 The information whistle-blown content shall be objective and truthful, rather than maliciously fabricated. The whistleblower shall provide comprehensive details and relevant evidences. The lack of key elements such as specific fact, time, and involved personnel may result in the Company being unable to accept such whistleblowing and conduct investigation.

... carries out malicious or false whistleblowing, or provides ... information during investigation, or obstructs or misleads the investigation, the ... will impose ... in accordance with the relevant regulations.

witnesses, shall be punished seriously, and may even get their employment contracts rescinded and be held legally liable in accordance with the law.

4.4.1 All personnel involved in whistleblowing management and whistleblower protection shall keep confidential all information related to whistleblowing and all data collected during investigation, and shall not disclose such information and data to anyone outside the work team in any way, and all other personnel shall not inquire about or illegally obtain any information related to whistleblowing. Those who breach the above provisions will be punished in accordance with the relevant rules, regulations and provisions of the Company.

4.4.2 During the investigation on whistleblowing, the relevant personnel who are questioned or assisted in the investigation shall also assume the same confidential

Shanghai RAAS Blood Products Co., Ltd.

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