



部门 Department 合规办公室 **Compliance Office** 发行部门 Issuing Dept. 合规办公室 **Compliance Office**
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1. 通用准则

1.1 合规文化

奇瑞捷豹路虎（“CJLR”或“公司”）在日常经营活动中应当遵守当地法律法规，且适应当地文化。公司为打造一个正直专业的企业合规文化而不懈努力。公司对正直专业的承诺要求每一名员工以最高的道德标准要求自已，坚持做“正确的事”。公司希望我们每个人的行为都有利于公司形象的维护与提升。

公司对正直专业的承诺是我们成功的关键。任何违反公司的核心价值观、行为准则或所适用的法律法规者即与公司最高利益相背离，轻者可能受到违纪惩罚，严重者甚至可能遭到公司的解雇或潜在的刑事处罚。

1.2 反贿赂与反腐败

CJLR 以及 CJLR 的员工必须遵守一切与反贿赂和反腐败有关的法律法规。公司对所有员工或其他代表 CJLR 开展业务的人员的贿赂及腐败行为采取“零容忍”的态度。对此政策的违反，公司将视其为对公司合规精神的严重背离，将按公司《违纪管理政策》进行严肃处理。

向客户、供应商、经销商、政府人员或代表、企业以及个人提供或接受任何形式的贿赂都是不被允许的。同时，公司禁止为了达到实施贿赂或影响交易的目的而建立专门的内部财务账簿或预算。

CJLR 的员工和公司代表，包括代理商和中介机构，不得直接或间接地提供、承诺、给予、支付、要求或收受任何非法或不正的款项、好处或其他有价物品以获取或维持业务及获得其他回报。

请谨记，即使仅仅有一名员工违反了任何关于反贿赂、反贪污等法律的规定都有可能使公司遭受严厉的经济处罚，并对公司造成不可挽回的声誉损失。

商务活动中时有发生礼品和招待的往来。但是，如果提供的礼品或招待（包括娱乐项目或旅游）较为频繁或价值昂贵，则可能被视为或实际造成利益冲突或不正当报酬的印象。因此，给予或接收礼品和招待应该注意价值适度合理并符合本政策的规定。

1. General Principles

1.1 Compliance Culture

CJLR's business operations are subject to local laws and regulations and cultural issues. CJLR is committed to conducting business fairly and honestly. This commitment to professional integrity requires each of us to act ethically and to 'do the right thing'. We are all expected to act in a manner that protects and enhances the company's image.

The professional integrity of CJLR business is key to our success. Anyone who does not follow this policy, our company code of conduct or applicable laws or acts against the company's best interests may be subject to disciplinary action up to and including termination, as well as potential criminal penalties.

1.2 Anti-Bribery and Anti-Corruption

It is CJLR's policy to comply with all laws, rules, and regulations governing anti-bribery and anti-corruption law, in all the regions where we operate. CJLR has a zero tolerance of acts of bribery and corruption by employees or anyone acting on our behalf. Any breach of this policy will be regarded as a serious matter by the company and is likely to result in disciplinary action or dismissal according to *CJLR Disciplinary Management Policy*.

No bribes of any sort may be paid to or accepted from customers, suppliers, dealers, government advisors or representatives, private persons or companies. It is expressly prohibited to establish accounts or internal budgets for the purpose of facilitating bribes or influencing transactions ('slush funds').

CJLR personnel and those representing us, including agents and intermediaries, shall not directly or indirectly offer, promise, pay, request or receive any illegal or improper payments or comparable benefits that are intended or perceived to obtain an improper advantage or undue favours for the conduct of our business.

Please keep in mind that violation by even a single employee of any law relating to anti-bribery, anti-corruption, etc. could result in severe financial penalties and cause irreparable reputational damage to the company.

Business gifts and hospitality are sometimes used in the normal course of business activity. However, if offers of gifts or hospitality (including entertainment or travel) are frequent or of substantial value, they may create the perception of, or an actual conflict of interests or an 'illicit payment'. Therefore, gifts and hospitality (including entertainment or travel) given or received should be

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modest in value and appropriate and in compliance with this policy.

2. 涉及外部人员的差旅

2.1 由外部机构或人员提供的差旅

在与业务有直接联系的合理情况下, CJLR 员工可以接受外部机构或人员提供的国内(指中国)差旅(不包括航空旅行)。接受国内差旅时,应确保此行为符合 CJLR《差旅和费用政策》的规定,并符合本政策的精神和要求。

CJLR 员工接受外部机构或人员提供的符合本政策规定的国内差旅之前必须得到直线经理和合规办公室的提前审批。

CJLR 员工不得接受外部机构或人员提供的国际差旅,遇到类似情形应当婉言谢绝。同时,任何外部机构和个人提供的过夜留宿都是被禁止的,因此也须礼貌回绝。但是,如果特定业务确有需要, CJLR 员工可根据 CJLR《差旅和费用政策》自行安排差旅和住宿。

任何对政策的偏离必须要有合理的业务需求和解释,并根据审批权限得到公司合规官、常务副总裁和总裁的提前审批。

2.2 向外部人员提供差旅

在一些情况下 CJLR 可以承担外部人员合理的差旅费用,包括机票、酒店住宿、用餐和其他附带费用。

具体来说, CJLR 可以支付与下述原因直接相关的真实且合理的费用:

- 业务会议、考察或活动;
- 为了 CJLR 的产品或服务的推广、展示或说明;
- 对 CJLR 的产品或设备进行测试或检查所发生的合理费用;
- 执行或履行合同;
- 对 CJLR 收到的举报内容进行调查等。

2. Travel Involving External Party

2.1 Travel Provided by External Parties

Domestic (within China) travel (excluding airline travels) can be acceptable if it is reasonable in the circumstances and directly business related. In the event you are offered with domestic travel, you should follow CJLR *Travel and Expenses Policy* to ensure that you are acting in a legal manner and in harmony with the spirit and requirements of this policy.

CJLR employee must obtain prior approvals from line manager and Compliance Office for accepting external party's invitation for business activity that requires domestic travel.

Overseas travel offered by external party is not allowed and should be politely declined. In addition, any offer of overnight accommodation is strictly prohibited and should be politely declined. Instead, CJLR's *Travel and Expenses Policy* should be followed to arrange transportation or overnight stay, if there is a specific business requirement.

Any deviation from this should be rare and must be supported by legitimate business reasons. Pre-approvals from CJLR Compliance Officer, Deputy President and President shall be obtained in accordance with the DAL for any exceptions.

2.2 Travel with External Parties

There are circumstances under which CJLR may pay the reasonable travel expenses, including airfares, hotel accommodations, meals and other incidentals, for external parties.

Specifically, CJLR may cover bona fide and reasonable expenses that are directly related to the following reasons:

- Business meetings, visits or activities;
- Promotion, demonstration or explanation of CJLR's products or services;
- Reasonable expenses incurred for the inspection, testing or certification of CJLR's products or equipment;
- Execution or performance of a contract;
- Investigation and verification of a whistleblowing allegation received by CJLR, etc.

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除了上述基本要求之外，为外部人员承担差旅费用时必须遵循以下原则：

In addition to these basic requirements, following guidelines must be followed with respect to the expenditures for external parties:

- CJLR 不以获取好处为目的为外部人员承担差旅及其他相关费用；
- 提供外部人员差旅不是以影响商业决策为目的，也不会被这样理解；
- 该费用支出符合外部人员所在地的相关法律法规；
- 提供的差旅和住宿必须适用和符合 CJLR 《差旅和费用政策》的标准和规定；
- 差旅目的地应与业务或项目开展地紧密相关，不得安排或提供与业务活动无关的观光城市或旅游地点的差旅；
- CJLR 不得资助或赞助购物旅行。CJLR 员工不得承担，也不能报销外部人员合理的吃喝住行以外的其他差旅费用，例如娱乐、观光或其他休闲活动；
- 在收到附有有效的支持性文件的费用申请后，应将差旅费用，包括机票、酒店住宿、用餐以及其他附带费用，直接支付给相应的第三方或外部人员所在的机构，不得直接将此类费用款项直接支付给外部人员个人；
- 差旅中涉及的相关礼品、用餐及招待费用必须符合本政策中关于礼品与招待的规定；
- 禁止以任何方式，包括现金、现金等价物或礼品卡券的方式给予外部人员差旅津贴或补贴；
- CJLR 禁止为与业务活动或项目无关的其他人员承担差旅、住宿或其他附带费用。例如：外部人员的配偶、亲属或好友等。
- CJLR shall never pay for the external party's travel or related expenses as part of an exchange of favours;
- Travel offered are not done so for the purpose of influencing a business decision and cannot be reasonably interpreted as such;
- Such expenditure is lawful under local law of the external party's country;
- Travel and accommodations offered shall be applicable to and in accordance with CJLR's *Travel and Expenses Policy*;
- Travel destination shall be strictly business related, and any travel to sightseeing location or tourism place/city that is not relevant to the business activity is not allowed;
- CJLR will not sponsor or support shopping excursions. CJLR employees shall not offer to pay, nor will CJLR reimburse for, non-business-related travel expenses incurred for external parties, such as entertainment, sightseeing or other leisure activities;
- Payment of travel expenses, including airfare, accommodations, meals and other incidentals, shall be made directly to either the pertinent third-party service provider or directly to the external party's employer after receipt of a reimbursement request supported by valid and, where possible, original third party receipts. Reimbursement for such expenses must never be made directly to the external party individuals;
- Expenditures for gifts, meals and hospitality during a business travel must be in accordance with the requirements set forth in Gifts and Entertainment sections;
- Travel per diem payment to external party in the form of cash, cash equivalents or gift cards, etc. is prohibited;
- CJLR will not cover travel, accommodations or other associated expenses for those who are not relevant to the business activity or event, such as spouses, other relatives or close associates of the external party.

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CJLR 为外部人员承担的符合本政策规定的差旅及其他相关费用必须得到直线经理和合规办公室的提前审批。

CJLR employee must obtain prior approvals from line manager and Compliance Office for covering travel and travel-related expenses for external party.

任何对政策的偏离必须要有合理的业务需求和解释，并根据审批权限得到公司合规官、常务副总裁和总裁的提前审批。对于联合市场及销售团队，需要获得联合市场及销售团队副总裁、总裁、以及 CJLR 合规官、常务副总裁和总裁的提前审批。

Any deviation from this should be rare and must be supported by legitimate business reasons. Pre-approvals from CJLR Compliance Officer, Deputy President and President shall be obtained in accordance with the DAL for any exceptions. For IMSS, pre-approvals from IMSS Deputy President, IMSS President, CJLR Compliance Officer, CJLR Deputy President and CJLR President shall be obtained.

原则上，只有以下活动类型可以得到例外审批：

In principle, only events fall into below categories could be exception:

- 车展；
- 全国经销商大会；
- 新车发布会等大型活动。

- Auto show;
- National dealer conference;
- Vehicle lunch event, etc.

3. 礼品和招待

3. Gifts and Entertainment

3.1 商务宴请和招待

3.1 Business Meals and Entertainment

在遵守以下原则的前提下，CJLR 员工可以提供或接受合理的商业宴请和招待：

CJLR personnel may provide or accept business meals and entertainment providing the following is adhered to:

- 此行为不违反任何法律法规；
- 商务宴请和招待必须与公司业务紧密相关；
- 提供或接受商务宴请和招待不是以影响商业决策为目的，也不会被这样理解；
- 提供或接受商务宴请和招待不是以获取或交换利益或好处为目的，也不应有这样的期待；
- 相关招待方与被招待方必须到场；
- 商务宴请和招待的费用应当合理，不铺张浪费，穷奢极侈，且不会对公司的声誉产生不良影响；
- 不得出入成人娱乐场所或俱乐部，或进行其它不合适宜的娱乐活动；
- 当供应商在投标阶段或有利益冲突的情况下提供宴请或招待，我们应当额外留意。遇到此类情形，我们应当礼貌回绝；

- The practice does not violate any law or regulation;
- The meals and entertainment must be business related;
- Business meals and entertainment offered or accepted are not done so for the purpose of influencing a business decision and cannot be reasonably interpreted as such;
- Meals or entertainment offered or accepted is without any expectation of reciprocity;
- Business partners and CJLR host are present for the duration of the meal/event;
- Costs associated with business meals and entertainment are limited to reasonable expenses and are not lavish or extravagant, and would not negatively impact the reputation of the company;
- Shall not entry to adult entertainment clubs or other adult/inappropriate events;
- Extra caution must be exercised when entertainment is offered by a supplier during a tender process or where it is envisaged a conflict

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- 提供给外部人员的商务宴请和招待不超过人均每次人民币 400 元;
- 通过 OA G&E 申请且走员工报销流程的商务宴请和招待应为小规模日常工作餐性质, 总人数(包括招待方和被招待方)不应超过 30 人且总费用金额不超过人民币 12000 元。超过此标准的宴请和招待应通过公司采购流程进行。
- of interest may arise. In these circumstances the meal or entertainment should be politely refused;
- Business meals and entertainment provided to external party do not exceed the value of RMB 400 per person per meal/event;
- All meal or entertainment applied through OA G&E system and the related expenses are reimbursed from the company should be work meal in nature with a relative small group of people. Any meal or entertainment that involves more than 30 people (including both the hosts and the guests) or the total spending amount is more than RMB 12,000 should follow our purchasing process.

所有提供的商务宴请或招待须根据审批权限在 OA G&E 系统中得到相应的提前审批。对未在获得提前审批的前提下而发生的宴请和招待费用, 公司有权不予报销。

All business meals or entertainment offered must be pre-approved in OA G&E system according to CJLR's Delegated Authority Levels ("DAL"). CJLR has the right not to reimburse those business meals and entertainment expenses without proper pre-approval.

在特殊和紧急的情况下, OA G&E 系统中的提前审批可能不能在商务宴请和招待之前获得。在这种情况下, 应通过邮件的形式得到直线经理和合规办公室的事前审批。在邮件中应至少包含以下内容:

In exceptional and urgent situations where pre-approval may not be able to obtain beforehand in OA G&E system, an email pre-approval should be obtained from line manager and Compliance Office detailing at least:

- 商业目的
- 所有参加人的姓名、职位和公司
- 招待和宴请的人数
- 招待和宴请的日期
- 申请金额
- business purpose
- the names, business titles and employers of the participants
- number of participants
- meal/event date
- amount applied

待实际宴请或招待发生后, 相应的宴请和招待申请应尽快在 OA G&E 系统中补提交并附上事先获得的邮件审批。

After the meal/event is actually occurred, the applicant should submit the application with the prior email approvals in OA G&E system as soon as possible.

所有接受的招待也应当按时且准确地在 OA G&E 系统中进行登记。

Any entertainment received should also be recorded in the G&E system accurately and timely.

在特殊情况下若需申请超过政策规定的人均每次人民币 400 元限额的宴请或招待, 申请人应当写明确实且合理的业务需求和理由, 并根据审批权限得到公司合规官、常务副总裁和总裁的提前审批。

In exceptional situations where the amount applied exceeds the RMB 400 per person per meal/event limit, a legitimate and reasonable business justification should be stated and additional pre-approvals from CJLR Compliance Officer, Deputy President and President are required according to the DAL.

同理, 任何对政策的偏离必须要有合理的业务需求和解释, 并根据审批权限得到公司合规官、常务副总裁和总裁的提前审批。

Following the same principle, any deviation from this should be rare and must be supported by legitimate business reasons. Pre-approvals from CJLR Compliance Officer, Deputy President and President shall be obtained in accordance with the DAL for any exceptions.

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3.2 赠予礼品

在遵守以下原则的前提下, CJLR 员工可以适当合理地提供或赠予外部人员礼品:

- 此行为不违反任何法律法规;
- 赠予礼品不是以影响商业决策为目的, 也不会被这样理解;
- 赠予礼品不是以获取或交换利益或好处为目的, 也不应有这样的期待;
- 礼品的费用应当合理, 不铺张浪费, 穷奢极侈, 且不会对公司的声誉产生不良影响;
- 礼品只能偶尔赠予且应限于每人每次一件, 同时市值不应超过人均每次人民币 500 元(公司车模除外);
- 每单次活动中赠予的礼品市值总额应在人民币 5000 元以内;
- 在上门拜会时或重要节日送礼以表达好客之意是中国的文化传统, 但送礼的频率不应超过每人每年 4 次。

CJLR 员工不得提供或赠予外部人员以下列举的礼品:

- 现金或现金等价物(包括贷款、礼券、货币形式的纪念物或纪念品等);
- 过于贵重或不在正常促销范围之内的礼品;
- 未面向公司员工或公众公开推出的折扣;
- 演出或项目门票(比如体育比赛、歌舞剧或文化类演出);
- 具有贿赂、回报、回扣或疏通费等性质的礼品;
- 违反 CJLR《行为准则》的其它礼品。

3.2 Gift Giving

CJLR personnel may provide gifts providing the following is adhered to:

- The practice does not violate any law or regulation;
- Gifts offered are not done so for the purpose of influencing a business decision and cannot be reasonably interpreted as such;
- Gifts offered is without any expectation of reciprocity;
- Cost of gifts are limited to reasonable expenses and are not lavish or extravagant, and would not negatively impact the reputation of the company;
- Gifts shall only be made occasionally and be limited to one gift per person per event, and do not exceed the market value of RMB 500 per person per event (except CJLR car models);
- Total market value of gifts offered per event should be within RMB 5,000;
- It is a social tradition in China to give gifts during visit or major Chinese festivals to show business courtesies. However, the frequency of offering gifts to one specific individual shall not exceed 4 times in a calendar year.

The following examples are expressly prohibited. You must not give/offer:

- Gifts of cash or equivalent (including loans, gift vouchers, mementos or souvenirs in the form of currency, etc.);
- Gifts that do not form part of a normal sales promotion and are excessive in value;
- Any type of discount not available to all company employees and/or the general public;
- Tickets for an event (such as athletic, theatrical or cultural);
- Gifts in the nature of a bribe, pay-off, kick-back, or facilitation payment;
- Gifts that violate CJLR's *Code of Conduct*.

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所有的对外礼品赠予须根据审批权限在 OA G&E 系统中得到相应的提前审批。对未在获得提前审批的前提下而发生的礼品费用，公司有权不予报销。

任何对政策的偏离必须要有合理的业务需求和解释，并根据审批权限得到公司合规官、常务副总裁和总裁的提前审批。

All gifts offered must be pre-approved in OA G&E system according to CJLR's DAL. CJLR has the right not to reimburse those gift expenses without proper pre-approval.

Any deviation from this should be rare and must be supported by legitimate business reasons. Pre-approvals from CJLR Compliance Officer, Deputy President and President shall be obtained in accordance with the DAL for any exceptions.

3.3 收受礼品

CJLR 员工应当尽可能婉言拒绝收受外部人员提供的礼品。如因文化敏感等原因不宜拒绝，在遵守以下原则的前提下，CJLR 员工可以适当合理地收受外部人员提供的礼品：

- 此行为不违反任何法律法规；
- 收受礼品不是以影响商业决策为目的，也不会被这样理解；
- 收受礼品不是以提供或交换利益或好处为目的，也不应有这样的期待；
- 当供应商在投标阶段或有利益冲突的情况下赠予礼品，我们应当额外留意。遇到此类情形，我们应当礼貌回绝；
- 价值适度并且不会被视为（或被默认为）是因此而享有任何优惠待遇；
- 不会影响或被视为影响我们的决断力从而使公司利益受损；
- 如果公诸于众，也不会让我们公司或送礼者感到尴尬。

CJLR 员工不得收受外部人员提供的以下所列举的礼品。若因快递直接投递等特殊原因，实在无法当场拒绝的，接收人应当尽快在 OA G&E 系统中登记并直接上交至合规办公室。

- 现金或现金等价物（包括贷款、礼券、货币形式的纪念物或纪念品等）；
- 该礼品不以影响或企图影响公司商业决策或结果为

3.3 Gift Receiving

CJLR personnel should, to the most extent, not accept any gift from external party. If rejecting the gift is not possible due to cultural sensitivity or other reasons, CJLR personnel may accept appropriate gifts provided by external party providing the following is adhered to:

- The practice does not violate any law or regulation;
- Gifts accepted are not given for the purpose of influencing a business decision and cannot be reasonably interpreted as such;
- Gifts accepted is without any expectation of reciprocity;
- Extra caution must be exercised when gift is offered by a supplier during a tender process or where it is envisaged a conflict of interest may arise. In these circumstances the gift should be politely refused;
- Has modest value and does not create a perception (or an implied obligation) that the giver is entitled to preferential treatment of any kind;
- Would not influence, or appear to influence, our ability to act in the best interest of CJLR;
- Would not embarrass CJLR or the giver if disclosed publicly.

The following examples are expressly prohibited. You must not accept. In exceptional cases such as the gift was delivered to you by mail, the receiver shall register the gift in OA G&E system as soon as possible and hand in the gift to Compliance Office.

- Gifts of cash or equivalent (including loans, gift vouchers, mementos or souvenirs in the form of currency, etc.);
- Gifts where the intention is to influence, or which may be perceived as an attempt to influence, a

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目的；

specific business decision/outcome;

- 过于贵重或不在正常促销范围之内的礼品；
 - 未面向公司员工或公众公开推出的折扣；
 - 演出或项目门票（比如体育比赛、歌舞剧或文化类演出）；
 - 具有贿赂、回报、回扣或疏通费等性质的礼品；
 - 违反 CJLR《行为准则》的其它礼品。
- Gifts that do not form part of a normal sales promotion and are excessive in value;
 - Any type of discount not available to all company employees and/or the general public;
 - Tickets for an event (such as athletic, theatrical or cultural);
 - Gifts in the nature of a bribe, pay-off, kick-back, or facilitation payment;
 - Gifts that violate CJLR's *Code of Conduct*.

所有收受的礼品需按要求在 OA G&E 系统中进行登记。

All gifts received need to be registered and recorded in OA G&E system.

合规办公室会根据礼品的性质和价值决定员工是否可以自行处置此礼品，或应当将相关礼品交至合规办公室。

Compliance Office will decide, based on the nature and value of the gift, whether the employee can keep the gift or need to hand in the gift to Compliance Office.

员工收受外部人员给予的礼品后不按政策规定登记的，公司有权按公司《违纪管理政策》进行严肃处理。

Lack of register for gifts accepted will be regarded as a serious matter by the company and is likely to result in disciplinary action according to CJLR *Disciplinary Management Policy*.

如果数额巨大且性质恶劣构成受贿的，还将可能面临刑事责任。

A criminal liability could be imposed on the receiver if the amount involved is huge and the act constitutes bribe.

3.4 对上交礼品的处置

3.4 Management of Gifts Submitted

对于 CJLR 员工上交至合规办公室的礼品的处置，请参照《合规办公室礼品处理作业指导书》。

Regarding how to deal with those gifts that submitted to Compliance Office, please refer to *Compliance Office Gift Disposal Work Instruction*.

4. 参考文件

4. Related References

员工手册

Employee Handbook

CJLR-BO-LE-P005 行为准则

CJLR-BO-LE-P005 Code of Conduct

CJLR-BO-CO-W001 合规办公室礼品处理作业指导书

CJLR-BO-CO-W001 Compliance Office Gift Disposal Work Instruction

CJLR-HRA-PD&E-P003 违纪管理政策

CJLR-HRA-PD&E-P003 Disciplinary Management Policy

CJLR-HRA-P001 奇瑞捷豹路虎差旅和费用政策

CJLR-HRA-P001 CJLR Travel and Expenses Policy

5. 附件

5. Appendices

不适用

Not Applicable



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6. 修订历史

6. Revision History

发行/修改日期 Date of Issue/Revision	编写/修改人 Written/Revised by	发行版本 Issue Level	增加/更新的内容的概要和原因 Summary of and Reason for the new issue/revision
2017/4/12	戴喆民 Eric Dai	01	首次发布 First release