

**Chifeng Jilong Gold Mining Co., Ltd.**  
**Implementation Measures for Compliance**  
**Performance Appraisal**

**Article 1** In order to promote the compliance management of Chifeng Jilong Gold Mining Co., Ltd. (hereinafter referred to as “the Company”), firmly establish the value idea of compliance, ensure the all-round and continuous implementation of compliance management system and realize the sound development of the Company, the Implementation Measures for Compliance Performance Appraisal (hereinafter referred to as “these Implementation Measures”) are hereby prepared per the *Articles of Association* and the *General Rules of Compliance Management* of the Company.

**Article 2** These Implementation Measures are applicable to directors, supervisors, senior executives, compliance officers and compliance risk control liaison officers of the Company.

**Article 3** The compliance performance appraisal shall follow the principle of “seeking truth from facts, objectivity and justice, democracy and openness, and actual performance oriented”.

**Article 4** The compliance performance appraisal is conducted in December every year.

**Article 5** The Human Resources Department shall implement the compliance performance appraisal, and the Compliance Management Department shall assist in refining and improving the appraisal indicators. The Human Resources Department shall, 15 days before the start of each

year's appraisal, organize each business department to select an employee representative and form a supervision team that will supervise the whole appraisal process and results.

**Article 6** Compliance performance appraisal basis for directors:

1. Provisions in the *General Rules of Compliance Management* on the duties of the Board of Directors;
2. Provisions in the *Articles of Association* on the compliance management duties of directors;
3. Completion of annual compliance management work;
4. Participation and completion of compliance training and compliance publicity.

**Article 7** Compliance performance appraisal basis for supervisors:

1. Provisions in the *General Rules of Compliance Management* on the duties of the Board of Supervisors;
2. Provisions in the *Articles of Association* on the compliance management duties of supervisors;
3. Completion of annual compliance management work;
4. Participation and completion of compliance training and compliance publicity.

**Article 8** Compliance performance appraisal basis for senior executives:

1. Provisions in the *Articles of Association* and other company systems on the compliance management duties of senior executives;
2. The performance appraisal for Compliance Director is mainly based on the *General Rules of Compliance Management*;
3. Completion of annual compliance management work;

4. Participation and completion of compliance training and compliance publicity.

**Article 9** Compliance performance appraisal basis for compliance officers and compliance risk control liaison officers:

1. Provisions in the *General Rules of Compliance Management* on the duties of the Compliance Management Department and the compliance risk control liaison officers;
2. Completion of annual compliance management work;
3. Participation and completion of compliance training and compliance publicity.

**Article 10** The Human Resources Department shall, in combination with the appraisal basis stipulated herein and with the assistance and cooperation of the Compliance Management Department, refine the appraisal indicators and prepare a scoring sheet.

**Article 11** The Human Resources Department shall know the compliance management performance of the appraised person through separate interviews, and at the same time, assign two staff members to score the appraised person on site, taking the average score as the compliance performance appraisal results of the appraised person.

**Article 12** The compliance performance appraisal supervision team shall conduct on-site supervision on the appraisal, interview and scoring of the Human Resources Department.

**Article 13** The full score of compliance performance appraisal is 10 points. The appraisal results are divided into three grades: excellent (9-10 points), pass (6-9 points) and fail (6-0 points).

**Article 14** After appraisal, the Human Resources Department and

the compliance performance assessment supervision team shall jointly interview the appraised person, clarify the gaps in work performance, and straighten out the improvement methods. The appraised person shall sign and confirm the appraisal results.

**Article 15** The results of compliance performance appraisal shall be publicly released by the Human Resources Department in the Company and reported to the Board of Directors for the record.

**Article 16** The results of compliance performance appraisal are considered as an important measure for the annual comprehensive assessment, job promotion, award evaluation and bonus distribution. Those who fail to pass the appraisal for two consecutive years will be transferred from the compliance management post.

**Article 17** These Implementation Measures shall be reviewed and approved by the Board of Directors and interpreted by the Human Resources Department.

**Article 18** These Implementation Measures shall come into force as of the date of issuance.