

# Sumitomo Riko Group Corporate Action Charter (Detailed Version)

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**Based on the Sumitomo Spirit, which proclaims "Banji-nissei," "Shinyo-kakujitu," and "Fusu-furi," and in accordance with its "Management Philosophy," the Sumitomo Riko Group aims to be a Global Excellent Manufacturing Company, and pursues "creation of social value" by improving corporate value and public value through high ethical standards and autonomous, responsible behavior.**

**To contribute to realizing the sustainable development of society in harmony with people and the Earth, we act in line with the following 10 principles.**

## **(Commitment to Customers and Realizing a Sustainable Society)**

**1. We shall develop and provide socially beneficial and safe products and services through innovation that provide satisfaction to customers and earn their confidence. We shall contribute to sustainable economic growth and the resolution of social issues through such business activities.**

We shall:

- 1-1. endeavor to understand customer needs and develop and provide socially beneficial products and services to contribute to the sustainable development of society and the resolution of social issues;
- 1-2. ensure the safety and quality of products and services;
- 1-3. provide customers with appropriate information on products and services; and
- 1-4. respond sincerely to inquiries from customers and reflect their perspectives in the improvement and development of products and services.

## **(Fair Business Practices)**

**2. We shall engage in fair, transparent, and free competition, as well as appropriate and responsible transactions. Based on our declaration of partnership building, we shall strive for coexistence and mutual prosperity throughout the supply chain. We shall also comply with laws and regulations, and maintain healthy and proper relationships with political and administrative bodies.**

We shall:

- 2-1. comply with the antitrust laws of countries and regions and not engage in monopolistic practices, unlawful restraint of transactions (cartels), or unfair trade practices;
- 2-2. protect the intellectual property rights of the Sumitomo Riko Group and not engage in illegal acquisition or illegal use of the intellectual property of third parties nor infringe their rights;
- 2-3. implement appropriate export procedures and controls regarding exports of technologies and goods that are restricted by laws and regulations of countries and regions;
- 2-4. not provide or receive entertainment, gifts, or money to or from private business partners for the purpose of gaining or maintaining unlawful profit and/or preferential treatment;
- 2-5. not provide or receive inappropriate entertainment, gifts, or money to or from public officials;
- 2-6. promote responsible procurement that supports the development of a sustainable society under fair trading policies in line with the spirit of the Partnership Building Declaration; and
- 2-7. comply with the laws and regulations of countries and regions when making political donations or other monetary contributions and endeavor to build transparent and fair relationships with political bodies and government agencies.

## **(Dialogue with Stakeholders, Information Disclosure, and Information Management)**

**3. We shall proactively, effectively, and fairly disclose corporate information, engage in constructive communication with a wide range of stakeholders, and strive to "create social value" by improving**

**our corporate value and public value. We will also thoroughly protect and manage all types of information, including personal and customer information.**

We shall:

- 3-1. promote fair disclosure of information and constructive communication with shareholders and investors through general meetings of shareholders and investor relations (IR) activities;
- 3-2. strive to prevent insider trading;
- 3-3. disclose information in a timely and appropriate manner and build trusting relationships through continuous, two-way communication in order to engage in dialogue and collaboration with a wide range of stakeholders; and
- 3-4. protect personal and customer information appropriately and promote digital transformation through the utilization of data.

#### **(Respect for Human Rights)**

**4. We shall conduct business that respects the human rights of all persons.**

We shall:

- 4-1. understand and respect internationally recognized human rights and fulfill our corporate responsibilities;
- 4-2. clarify our policy on respecting human rights and express our commitment both internally and externally;
- 4-3. conduct appropriate human rights due diligence in accordance with the nature of our business and the severity of the risks of adverse human rights impacts;
- 4-4. strive to prevent any human rights violations, and in the event that they occur, we shall endeavor to rectify them promptly;
- 4-5. contribute to building an inclusive society by collaborating with diverse stakeholders and supporting socially vulnerable people who may be subject to human rights violations; and
- 4-6. not tolerate child labor or forced labor.

#### **(Creating a Rewarding Workplace)**

**5. We shall enhance the capabilities of our employees and realize a work style that respects diversity, personality, and individuality. We shall also create a comfortable working environment that takes health and safety into consideration.**

We shall:

- 5-1. establish a personnel and compensation system that enables diverse talent to work and thrive, and promote diversity, equity, and inclusion;
- 5-2. promote reform of work practices and work-life balance;
- 5-3. make no unjustified discrimination in employment and treatment of persons and provide equal opportunities;
- 5-4. prevent occupational accidents and promote health-conscious management;
- 5-5. respect the individuality and initiative of our employees and support their career development, ability development, and skill improvement;
- 5-6. engage in honest and constructive dialogue and consultation with employees directly or with employee representatives; and
- 5-7. comply with laws and regulations of countries and regions concerning wages and other benefits, working hours and holidays.

#### **(Global Environment)**

**6. Recognizing that global environmental issues pose challenges to all humankind, and that it is an integral part of our existence and activities, we shall proactively tackle these issues.**

We shall:

- 6-1. promote efforts to reduce greenhouse gas emissions throughout our supply chain in order to achieve carbon neutrality;
- 6-2. tackle to create a recycling-oriented society and realize a circular economy by promoting the cyclical and efficient use of resources;
- 6-3. comply with the laws and regulations of each country and region related to preventing pollution of the air,

water, soil, etc., and will prevent environmental pollution through continuous monitoring and reduction of pollutants;

- 6-4. safely manage chemical substances that may pollute the environment;
- 6-5. ensure that products do not contain chemical substances prohibited by the laws and regulations of each country or region;
- 6-6. not use prohibited chemical substances in manufacturing processes, and regarding chemical substances that are specified by laws and regulations of countries and regions, monitor their emission volumes and report to governmental agencies; and
- 6-7. engage in nature conservancy activities, including conservation of biodiversity.

#### **(Social Contribution)**

#### **7. We shall actively engage in community involvement activities and contribute to community development as a good corporate citizen.**

We shall:

- 7-1. build an effective promotion system for social issues that should be addressed as priorities, and contribute resources and expertise to their resolution, based on our purpose and management philosophy;
- 7-2. promote collaboration with a wide range of partnerships, including NPOs/NGOs, local communities, government agencies and United Nations agencies, in order to resolve issues;
- 7-3. support employees' voluntary involvement in the community; and
- 7-4. participate in social contribution activities of the industry of which we are a part and of the business community.

#### **(Respect for International Norms of Behavior and Good Relations with the Community)**

#### **8. In line with the globalization of business activities, we shall comply with laws and regulations of the countries and regions where our business operations are based and respect human rights and other international norms of behavior. We shall also conduct business by taking into consideration the local culture and customs as well as the interests of stakeholders, and contribute toward the development of the local economy and society.**

We shall:

- 8-1. respect international norms of various kinds, including human rights, in addition to ensuring compliance with the Sumitomo Riko Group Action Charter and laws and regulations of the countries and regions where we operate;
- 8-2. respect the cultures, religions, traditions and customs of the countries and regions where we operate, and always promote business activities based on mutual trust with stakeholders;
- 8-3. promote localization of management and improvement of the working environment attuned to the circumstances of the countries and regions; and
- 8-4. take an interest in the CSR initiatives of suppliers in the countries and regions where we operate and provide support to them for improvement, as necessary.

#### **(Risk Management and Crisis Management)**

#### **9. We shall assess risks that may arise in the future and develop measures to prevent their materialization, and if they do materialize, we shall endeavor to minimize the damage.**

**We shall conduct thorough and organized crisis management in the face of actions caused by natural disasters, cyber attacks, terrorism, antisocial forces and other crises that pose a threat to civil society and corporate activity.**

We shall:

- 9-1. establish a company-wide management system, including a system for identifying, analyzing, and preventing risks related to the business activities of the entire group, as well as crisis management;
- 9-2. monitor and evaluate activities to prevent risks and minimize damage;
- 9-3. establish a solo crisis response headquarters in times of emergency and address crises that pose a

- threat to business activities of the entire Sumitomo Riko Group;
- 9-4. establish clear basic policies and systems within the Group to drive out antisocial forces and organizations by working with organizations concerned;
  - 9-5. engage in crisis management and countermeasures against terrorist threats;
  - 9-6. strive to ensure cybersecurity;
  - 9-7. establish a system to prepare for and respond to disasters; and
  - 9-8. engage in ensuring economic security.

**(Initiative of Top Management and Implementation of this Charter)**

**10. Top management shall manage their business with the understanding that it is their role to realize the spirit of this Charter, establish effective governance, and ensure that it is thoroughly disseminated within the company and throughout the Group, and shall encourage their supply chain to act in accordance with the spirit of this Charter. They shall also constantly listen to voices both inside and outside the company, establish internal systems, and promote sustainability management.**

**If an incident occurs that violates the spirit of this Charter and causes us to lose the trust of society, top management shall take the lead in resolving the problem, identifying the cause, and working to prevent recurrence, thereby fulfilling their responsibilities.**

- 10-1. Top management shall fully exercise leadership in order to establish a governance structure to ensure the soundness, efficiency, transparency and effectiveness of corporate management, clarify the management philosophy and the code of conduct, ensure adherence to the same throughout the Sumitomo Riko Group, and promote CSR.
- 10-2. Top management shall express the management philosophy and their commitment to realizing a sustainable society as the spirit of this Charter and disclose information on concrete activities.
- 10-3. We shall establish Group-wide systems for implementation of compliance with corporate ethics.
- 10-4. We shall ensure that corporate ethics are observed and sustainability management is promoted throughout the Sumitomo Riko Group. In addition, we shall also encourage companies in the supply chain to act in accordance with the spirit of this Charter.
- 10-5. We shall maintain the corporate ethics helpline (point of contact for consultation), which is independent of the usual chain of command, and utilize it to improve business conduct.
- 10-6. We shall implement education and training concerning observation of corporate ethics and promotion of sustainability management and increase their effectiveness.
- 10-7. We shall check and evaluate the impact of initiatives concerning the Sumitomo Riko Group Action Charter and the extent to which its principles are inculcated.
- 10-8. Top management shall always adopt a risk management perspective and design internal systems for prevention of emergencies.
- 10-9. In the event of an emergency, top management shall take command and promptly investigate the facts and determine the cause, formulate appropriate response policies and measures in a responsible manner as a company, and strive to prevent recurrence. Top management shall promptly and accurately disclose information and fulfill their accountability to society, clarify authority and responsibilities, and take appropriate and strict disciplinary action against those involved, including themselves.