

**UNITAS HOLDINGS LIMITED**

**宏海控股集團有限公司**

*(Formerly known as Chanceton Financial Group Limited)*

*(Incorporated in the Cayman Islands with limited liability)*

**(Stock Code: 8020)**

**ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT**  
**2017/2018**

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## **1 COMPANY REVIEW**

- 1.1.1 Unitas Holdings Limited (Stock code: 8020) (the “Company” and together with its subsidiaries, the “Group”) is principally engaged in the provision of corporate finance advisory services mainly to listed and non-listed companies in Hong Kong and the People’s Republic of China (the “PRC”), and provision of dry bulk shipping services.
- 1.1.2 The Group provides various corporate finance advisory services to clients, including: (i) advising on The Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited (“the Listing Rule”), the Rules Governing the Listing of Securities on the Growth Enterprise Market of The Stock Exchange of Hong Kong Limited (“GEM Listing Rule”) and The Codes on Takeovers and Mergers and Share Repurchases (the “Takeovers Code”); (ii) acting as independent financial adviser to transactions of listed issuers falling under the Listing Rules, the GEM Listing Rules and the Takeovers Code; (iii) advising on mergers(s) and acquisition(s) activities and other corporate activities such as fund raising exercises; and (iv) advising on corporate resumption. The Group also provides dry bulk shipping services to international customers.

## **2 ABOUT THIS REPORT**

### **2.1 REPORTING STANDARD, PERIOD AND SCOPE**

- 2.1.1 This report is prepared in accordance with the Appendix 20 – Environmental, Social and Governance (“ESG”) Reporting Guide under the GEM Listing Rules. The Group adheres the principles of materiality, quantitative, balance and consistency to report on the measures and performances.
- 2.1.2 The scope of this report includes major business operating areas: Hong Kong Headquarters. This report covers the Group’s progress on ESG aspects for the Reporting Year from 1 April 2017 to 31 March 2018 (the “Reporting Year”).
- 2.1.3 An appendix is attached at the end of the report to help readers navigate the specific ESG topics. Information regarding corporate governance was addressed separately in the annual report in pursuance of Appendix 15 of the GEM Listing Rules.

### **3 COMMENTS AND SUGGESTIONS**

- 3.1.1 Your comments or suggestions are of great value to improve our operations and overall sustainability strategy. If you have any comments, please contact the Company and its contact details are set out below:

Rm 801B/F Tsim Sha Tsui Centre  
West Wing, 66 Mody Road  
TST, Kowloon, Hong Kong

Tel: (852) 2158 9999

Fax: (852) 2543 9311

## **4 CREATING VALUES FOR OUR EMPLOYEE**

### **4.1 EMPLOYMENT AND LABOUR POLICY**

- 4.1.1 The Group recognized the importance of having a supportive and talented team in driving the success of a corporate. Thus, the Group placed great emphasis on talent recruitment to form a supportive team. The Group is keen to attract best suitable talents regardless on their gender, religion, race, age, disability or other similar factors to promote work equality. Every candidate was provided with equal opportunity during recruitment process, where candidates were assessed based on merit, experiences and capabilities.
- 4.1.2 As a responsible corporate, the Group strictly prohibited the employment of illegal labour. The Human Resources Department was responsible for verifying valid identification and working permits for all potential candidates respectively before employment and to prevent cases of child or forced labour. During employment, the Group provided its employees with paid holidays and jury leaves, and ensures reasonable working hours in accordance with the Employment Ordinance of Hong Kong.

### **4.2 HEALTH AND SAFETY**

- 4.2.1 The Group believes providing a healthy and safe working environment could enhance employees' productivity. In light of that, the Group regularly promoted employees' healthy culture at work by providing good working posture trainings. In addition, the Group encouraged them to actively participate in recreational activities after work.

### **4.3 TRAINING AND DEVELOPMENT**

- 4.3.1 The Group recognised that talent development was important to stimulate business growth. Employees were encouraged to develop their capabilities and professional skills to support the Company's business. Adequate job information, on-job training and supervision were provided to all employees to ensure that they kept up with company's business trend.
- 4.3.2 The Group has provided a clear and fair promotion ladder for employees' career development. Employee was required to undergo annual performance appraisal conducted by supervisor. The outcomes would prompt Human Resources Manager to consider capable employees for promotion.

#### **4.4 ANTI-CORRUPTION**

- 4.4.1 The Group has zero-tolerance for corruption. All employees were prohibited from offering, accepting, paying or authorizing bribes or any form of corruption in any business. Relevant guidelines were stipulated in Group's Employee Handbook.
- 4.4.2 To strengthen the prevention of corruption, the Group has established whistle-blowing procedures. Employees could report suspected cases anonymously to an Anti-corruption team as to protect them against retaliation. The team was then responsible for investigation. If any suspected case was confirmed, the Group and the team would undertake necessary disciplinary and legal actions.
- 4.4.3 Besides investigating reported cases, the team was also responsible for promoting business ethics by providing employees with trainings yearly that deliver the latest information regarding the Prevention of Bribery Ordinance. During the Reporting Year, no concluded legal cases regarding corrupt practice was discovered.

### **5 PROVIDING QUALITY SERVICES TO THE CUSTOMERS**

#### **5.1 SUPPLY CHAIN MANAGEMENT**

- 5.1.1 The Group aims to continuously develop long-term and mutually beneficial relationships with suppliers to deliver quality services to valuable customers. The Group formulated a strict standard for supplier selection. As to guarantee the service quality and business ethics, the Group conducted follow-up assessment and regularly reviewed suppliers' performances based on price, quality, suitability and demands through a third party organisation.
- 5.1.2 All suppliers who have been accepted in supplier list was subjected to compliance monitoring. The Group established the Compliance Manual and required suppliers to abide by the policies and procedures. If the supplier failed to meet any of the Group requirement refused to resolve the issue during the term, the Group will reserve rights to terminate the contract.

#### **5.2 QUALITY SERVICES**

- 5.2.1 Provide quality services is important in contribution of business to success. Apart from the effort that placed on sourcing quality suppliers, the Group was also committed to providing customers with high quality services and ensuring customer satisfaction by reviewing their feedbacks and settling complaints. Guidelines in handling customer enquiries and complaints were established, and employees were trained to professionally address customers' concerns.
- 5.2.2 In addition, ensuring the privacy of customers' personal information was also critical in maintaining our reputation for good governance as a financial services provider. For this instance, the Group has established a policy that expect employees to protect confidential information. The Group also required employees to strictly follow Personal Data (Privacy) Ordinance of Hong Kong and other relevant regulations.

## 6 MOVING FORWARD TOGETHER WITH THE COMMUNITY

### 6.1 COMMUNITY INVESTMENT

- 6.1.1 The Group is committed to fostering positive relationships with the community, including engaging in philanthropic and voluntary work to support community long-term development.
- 6.1.2 The Group adopts a top-down approach, wishes to cultivate the corporate culture of contributing the betterment of community. One of our board member participated in the charitable activity, and established a “Tung Wah Hospitals Civic Education Award” that aims to improve students’ awareness on moral and civic education, and allow students to understand the importance of giving back to the society. In the coming year, the Group will continuously seek for ways to contribute to community.



Students awarded scholarships by the Group’s board member

## 7 SAFEKEEPING THE ENVIRONMENT

The Group is dedicated in promoting environmental friendly operation. Thus, the Group has established environmental policy and measures to mitigate the identified environmental impacts.

### 7.1 ENERGY MANAGEMENT

The major type of energy consumed was electricity used in the office. To reduce carbon footprint, the Group was committed to minimizing electricity consumption. The Group installed energy-saving appliances including automatic lighting control system and LED lighting to increase energy consumption efficiency. To promote energy saving, energy saving reminders were placed in office. The Group encouraged employees to use natural light in office as much as possible to further achieve carbon footprint reduction.

Overview of Energy Consumption	
Electricity Consumption (kWh) <sup>1</sup>	23,173
Energy Intensity [kWh / Gross Floor Area (GFA)] <sup>2</sup>	113.28
Overview of Greenhouse Gas Emissions (GHG)	
Total GHG Emission [Tonnes of Carbon Dioxide Equivalent (tCO <sub>2</sub> e)] <sup>3</sup>	11.82
GHG Intensity (tCO <sub>2</sub> e / GFA) <sup>4</sup>	0.058

<sup>1</sup> Data inclusive of the electricity consumption of one office in Hong Kong.

<sup>2</sup> Gross Floor Area of the office is 204.57 m<sup>2</sup> (2202 ft).

<sup>3</sup> Data included only Scope 2 of GHG emissions which refer to indirect GHG emissions resulting from the generation of the electricity purchased. Data represents the GHG emission of one office in Hong Kong.

<sup>4</sup> Gross Floor Area of the office is 204.57 m<sup>2</sup> (2202 ft).



## **7.2 NON-HAZARDOUS WASTE MANAGEMENT**

- 7.2.1 The major type of non-hazardous waste was general refuse, waste paper, plastic and aluminum can. Therefore, the Group's waste reduction strategy mainly focused on reducing and recycling waste. In order to promote waste recycling habit, the Group placed recycling bins to facilitate sorting. Extra paper recycling bins for collecting singled-sided papers were deployed next to printers to encourage recycling of used papers.
- 7.2.2 The Group is currently in the process of improving its data collection system. In order to monitor the non-hazardous waste footprint. Full-year figures shall be disclosed in future reports.

## **8 LOOKING FORWARD**

- 8.1.1 Through the collaborative effort of the team, the Group is committed to continuous improving business performance and integrating sustainable practices into its daily operations. On top of that, the Group will continue to improve communication channels with valuable stakeholders to explore and achieve sustainable business growth.

## 9 ESG CONTENT INDEX

Aspect / Description / KPI		Statement/Section	Page No.
A. Environment			
A1 Emission			
A1	General Disclosure	7.1 Energy Management	7
A1.1	Types of emissions and respective emissions data	7.1 Energy Management	7
A1.2	Greenhouse gas emissions in total and, where appropriate, intensity	7.1 Energy Management	7
A1.3	Total hazardous waste produced and intensity	The Group's operations do not generate hazardous waste. Therefore, hazardous waste is not applicable.	
A1.4	Total non-hazardous waste produced and intensity	7.2 Non-Hazardous Waste Management	8
A1.5	Description of measures to mitigate emissions and results achieved	7.1 Energy Management	7
A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved	7.2 Non-Hazardous Waste Management	8
A2 Use of Resources			
A2	General Disclosure	7. Safekeeping the Environment	7-8
A2.1	Direct and/or indirect energy consumption by type in total and intensity	7.1 Energy Management	7
A2.2	Water consumption in total and intensity	Water consumption is not material issue to the operations.	/
A2.3	Description of energy use efficiency initiatives and results achieved	7.1 Energy Management	7
A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved	Water sourcing is not material issue to operations.	/
A2.5	Total packaging material used for finished products and with reference to per unit produced	Total packaging material is not material issue to the operations.	/

Aspect / Description / KPI		Statement/Section	Page No.
A3 The Environment and Natural Resources			
A3	General Disclosure	7. Safekeeping the Environment	7-8
A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them	7. Safekeeping the Environment	7-8
B. Social			
B1 Employment and Labour Practices			
B1	General Disclosure	4. Creating Values To Our Employee	4-5
B1.1	Total workforce by gender, employment type, age group and geographical region	Not disclosed	/
B1.2	Employee turnover rate by gender, age group and geographical region		
B2 Health and Safety			
B2	General Disclosure	4.2 Health and Safety	4
B2.1	Number and rate of work-related fatalities	No reported cases of injuries or fatality were found in the Reporting Year.	/
B2.2	Lost days due to work injury	0	/
B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored	4.2 Health and Safety	4
B3 Development and Training			
B3	General Disclosure	4.3 Training and Development	4
B3.1	Percentage of employees trained by gender and employee category	Not disclosed	/
B3.2	Average training hours completed per employee by gender and employee category		
B4 Labour Standard			
B4	General Disclosure	4.1 Employment and Labour Policy	4
B4.1	Description of measures to review employment practices to avoid child and forced labour	4.1 Employment and Labour Policy	4
B4.2	Description of steps taken to eliminate such practices when discovered	4.1 Employment and Labour Policy	4

Aspect / Description / KPI		Statement/Section	Page No.
<b>B5 Supply Chain Management</b>			
B5	General Disclosure	5.1 Supply Chain Management	5
B5.1	Number of suppliers by geographical region	Not disclosed	/
B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored	5.1 Supply Chain Management	5
<b>B6 Product Responsibility</b>			
B6	General Disclosure	5.2 Quality Services	5
B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons	The Group received no complaints during the Reporting Year.	/
B6.2	Number of products and service related complaints received and how they are dealt with	5.2 Quality Services	5
B6.3	Description of practices relating to observing and protecting intellectual property rights	Intellectual property right is not material issue to the operations.	/
B6.4	Description of quality assurance process and recall procedures	5.2 Quality Services	5
B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored	5.2 Quality Services	5
<b>B7 Anti-Corruption</b>			
B7	General Disclosure	4.4 Anti- Corruption	5
B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting period and the outcomes of the cases	0	/
B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored	4.4 Anti- Corruption	5

Aspect / Description / KPI		Statement/Section	Page No.
B8 Community Investment			
B8	General Disclosure	6.1 Community Investment	6
B8.1	Focus areas of contribution	6.1 Community Investment	6
B8.2	Resources contributed to the focus area	6.1 Community Investment	6