

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)**

2019/2020

ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

## TABLE OF CONTENTS

1	COMPANY REVIEW .....	2
2	ABOUT THIS REPORT .....	2
2.1	REPORTING STANDARD, PERIOD AND SCOPE .....	2
3	COMMENTS AND SUGGESTIONS.....	3
4	STAKEHOLDER ENGAGEMENT .....	4
5	ENVIRONMENTAL PROTECTION .....	5
5.1	ENVIRONMENTAL POLICY .....	5
5.2	ENERGY MANAGEMENT .....	5
5.3	NON-HAZARDOUS WASTE MANAGEMENT .....	6
6	PROVIDING QUALITY SERVICES TO THE CUSTOMERS.....	6
6.1	SUPPLY CHAIN MANAGEMENT .....	6
6.2	QUALITY ASSURANCE .....	6
6.3	CONSUMER DATA PROTECTION .....	7
6.4	CUSTOMER FEEDBACK.....	7
7	CREATING VALUES TO OUR EMPLOYEES .....	7
7.1	EMPLOYMENT POLICY .....	7
7.2	HEALTH AND SAFETY.....	9
7.3	TRAINING AND DEVELOPMENT .....	9
7.4	ETHICAL OPERATION .....	9
8	MOVING FORWARD TOGETHER WITH THE COMMUNITY.....	10
9	LOOKING FORWARD .....	11
10	ESG CONTENT INDEX.....	11

## **1 COMPANY REVIEW**

Unitas Holdings Limited (Stock code: 8020) (“Unitas” and together with its subsidiaries, the “Group”) is principally engaged in the provision of corporate finance advisory services to its clients, including: (i) advising on The Rules Governing the Listing of Securities on the Stock Exchange (“the Listing Rule”), the GEM Listing Rules 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 merger(s) and acquisition(s) (“the M&A”) activities and other corporate activities such as fund raising exercises; and (iv) advising on corporate resumption. The Group also provides dry bulk shipping and logistic services to international customers. Since November 2019, the Group has been operating 2 shops under the brand name of “Ganawawa” at Tsz Wan Shan Centre and the Westwood respectively to conduct our IP automation and entertainment business. They are the IP thematic experience centres providing different IP products from automation gift machines, thematic game machines, carnival game booths as well as retail outlet.

## **2 ABOUT THIS REPORT**

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

This Environmental, Social and Governance Report (the “Report”) is prepared in accordance with the Appendix 20 Environmental, Social and Governance Reporting Guide (the “ESG Reporting Guide”) issued by the Stock Exchange of Hong Kong Limited (the “Stock Exchange”) under the Rules Governing the Listing of Securities on the GEM of the Stock Exchange.

The scope of this Report included major business operating areas: Hong Kong Headquarters. It covered the Group’s progress on ESG aspects for the reporting year from 1 April 2019 to 31 March 2020 (the “Reporting Year”).

### 3 COMMENTS AND SUGGESTIONS

For more information about our businesses, please refer to the Group's website ([www.unitas.com.hk](http://www.unitas.com.hk)). If you have any comments or questions regarding the Report, please feel free to contact us:

Rm 801B, 8/F., Tsim Sha Tsui Centre  
West Wing, 66 Mody Road  
Tsim Sha Tsui, Kowloon, Hong Kong

Email: [admin@chanceton.com](mailto:admin@chanceton.com)

Tel: (852) 2158 9999

Fax: (852) 2543 9311

## 4 STAKEHOLDER ENGAGEMENT

Stakeholders engagement is a key factor in formulating environmental and social strategies, defining the objectives, assessing materiality and establishing policies. The key stakeholders including, but not limited, to the Stock Exchange, government, shareholders and investors, customers, suppliers, employees, as well as community and public.

Stakeholders	Expectations	Response
the Stock Exchange	Compliance with listing rules, timely and accurate announcements	Meetings, training, website updates and announcements
Government	Observance with laws and regulations, social welfare and prevention of tax evasion	Complying with relevant laws and regulations
Shareholders and investors	Investment return, corporate governance system, information disclosure and transparency	Regular basis of annual report, interim report and quarterly report
		Disclose contact details on website and in reports ensure all communication channels available and effective
Customers	High quality product and service, reasonable pricing, value of service	Value views and opinions of all customers through various means and channels, including usage of business intelligence to understand customer trends and needs and regular analysis on customer feedback
Suppliers	Tendering and procurement process is conducted in an open, fair and just manner	well-communicated to suppliers before the commencement of a project
Employees	Competitive salary and benefits, fair promotion and development and good working environment	Provide comprehensive benefit package, career development opportunities and internal training appropriate to individual need
		Provide a healthy and safe workplace
Community and public	Community involvement and social responsibilities	Promote community building and development

## 5 ENVIRONMENTAL PROTECTION

### 5.1 ENVIRONMENTAL POLICY

The Group endeavored to manage the operation in an environmentally friendly and resource-efficient manner. Accordingly, the Group has established stringent environmental policies and measures to minimize the environmental impacts arising from the business operations.

### 5.2 ENERGY MANAGEMENT

5.2.1 The Group's major operation environmental impact was greenhouse gas ("GHG") emission which incurred by the energy consumption. As electricity usage was the main contribution to the energy consumption, the Group strived to improve the electricity efficiency to reduce the GHG emission as well as the operating costs. To this end, the Group used automatic lighting control system and LED lighting. The Group had also adopted the following measures to mitigate the GHG emission from electricity consumption in our operations:

- Requiring employees to turn off all the lights and switch off the desktops after work;
- Encouraging employees to turn off the lights when it is not necessarily used;
- Maintaining the temperature setting of air-conditioners between 24-26°C;
- Encouraging employees to use power-saving appliances; and
- Overseeing electricity bills regularly to monitor the energy performance of the office.

Overview of Energy Consumption	2020	2019
Electricity Consumption (kWh) <sup>1</sup>	35,551	22,086
Energy Intensity (kWh in '000/Gross Floor Area (m <sup>2</sup> )) <sup>2</sup>	83.94	107.96

Overview of Greenhouse Gas Emissions (GHG)	2020	2019
Total GHG Emission <sup>3</sup> (Tonnes of Carbon Dioxide Equivalent (tCO <sub>2</sub> e))	26.58	11.26
GHG Intensity (tCO <sub>2</sub> e/Gross Floor Area (m <sup>2</sup> )) <sup>2</sup>	0.112	0.055

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

<sup>2</sup> Total Gross Floor Area of the office is 423.53 m<sup>2</sup> (4,558 sf).

<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 and two shops in Hong Kong.

## 5.3 NON-HAZARDOUS WASTE MANAGEMENT

5.3.1 Non-hazardous waste was another source of the Group's environmental footprint. The main non-hazardous waste of the Group was general office refuse such as paper. In order to utilize resources and avoid wastage, the Group followed the 2Rs principles (Reduce and Recycle). the Group implemented the following practices to use paper efficiently:

- Duplex printing was set as the default mode for most network printers;
- Employees were reminded to practice photocopying wisely;
- Employees were encouraged to use both sides of paper;
- Paper waste was recycled instead of being directly disposed of in landfills;
- Paper was separated from other waste for easier recycling; and
- Boxes and trays were placed beside photocopiers as containers to collect single-sided paper for reuse purpose.

Overview of non-hazardous waste	2020	2019
Non-hazardous waste (tonnes)	0.0294	0.1159

## 6 PROVIDING QUALITY SERVICES TO THE CUSTOMERS

### 6.1 SUPPLY CHAIN MANAGEMENT

The Group gave great regards to its supply chain management in order to alleviate the operational risk exposed by the supply chain. In making decisions for procurement, the Group evaluated and assessed the suppliers' service and product quality, historical price quotations, technical ability, after sale service, current cooperation situation and environmental and social policies. Moreover, those policies of suppliers such as use of recycled or natural materials, forbidding child and forced labor employment are critical concern in the selection process of suppliers. The Group was of the view that its suppliers had no material adverse impact on the environment and society.

### 6.2 QUALITY ASSURANCE

Fulfilling clients' expectations and satisfaction was the mission of Unitas. The Group was dedicated to providing quality advisory services to our clients. In order to assure the quality and compliance of the services, the Group was committed to complying with all relevant laws and regulations of the HKSAR, the Securities and Futures Commission ("SFC"), the Stock Exchange and other regulatory authorities, such as the Prevention of Bribery Ordinance, the Code of Conduct for Persons Licensed by or Registered with the SFC and the Guidelines on Competence. The employees were required to follow the highest level of integrity and professional ethics. During the Reporting Year, the Group did not receive any material complaints regarding the services it provided.

## **6.3 CONSUMER DATA PROTECTION**

As a responsible financial advisory corporate, Unitas was committed to protecting the sensitive information of our clients. Employee Handbook stipulated the protective measures on the client's privacy and guidelines for the employees to handle the customers' data properly. The Group made effort on protecting the privacy of its customers, partners and employees in the collection, processing and use of their personal data. The Group adhered to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) and ensured that customers' personal data was securely kept and processed only for the purposes of which it had been collected. During the Reporting Year, the Group complied with all privacy related laws and regulations such as Personal Data (Privacy) Ordinance.

## **6.4 CUSTOMER FEEDBACK**

Client satisfaction was the measure and the key of the company's success. The Group valued every customer's opinion and encouraged clients to provide feedbacks on our services. In case of comments received from the clients, trained employees would review it and address clients' concern professionally. During the Reporting Year, the Group did not receive any complaint on our services.

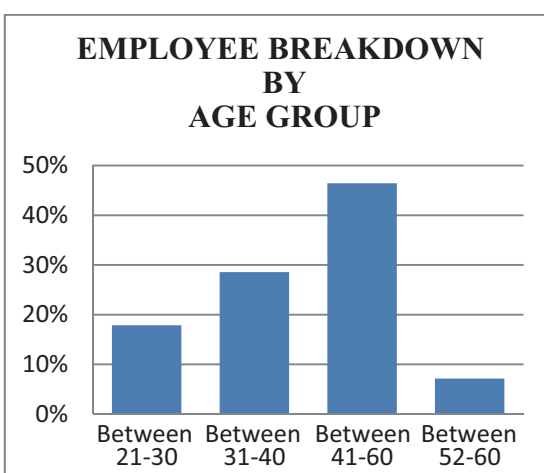
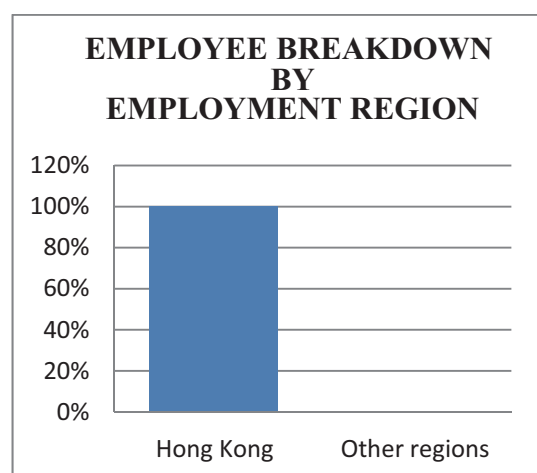
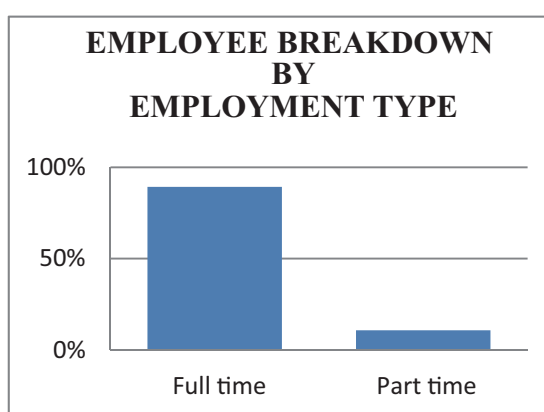
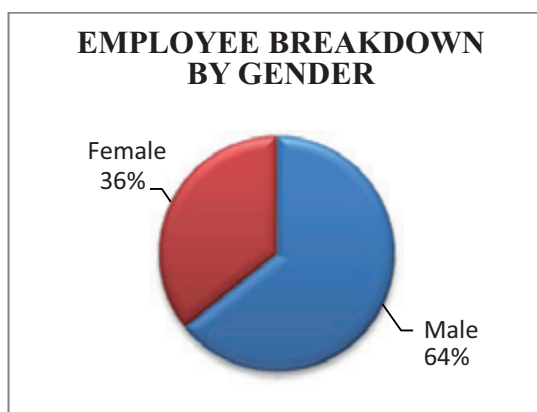
# **7 CREATING VALUES TO OUR EMPLOYEES**

## **7.1 EMPLOYMENT POLICY**

With the commitment to create a harmonious workplace, the Group adhered to the principle of fairness. The Group treated the employees with respect and fairness and encouraged a culture of equal opportunity regardless of race, color, gender, age, religion, physical or mental health status, marital status, family status, nationality, political affiliation and other factors. Any forms of discrimination were prohibited. Any employee who violated this policy would be subject to immediate disciplinary action such as discharge after investigation from the management. During the Reporting Year, the Group was not aware of any violations against the relevant labor laws and regulations including Employment Ordinance of Hong Kong.

The Group believed the quality services and environmental stewardship were built upon the dedicated employees. The Group was committed to build a supportive workforce and protect their well-being. In light of this, the Group had established various policies and measures to safeguard the benefits of our staff. Employees could enjoy a comprehensive and competitive remuneration package including, but not limited to, paid time off and health insurance.

As an ethical corporate, the Group strictly abided by the Employment Ordinance and other labor related laws and regulations. The Group prohibited any illegal employment of children or forced labor, discrimination and harassment. In order to prevent employment of child labor, the human resources department was responsible for verifying the identity documents of the candidates before employment. If the candidate failed to meet our legal employment requirements, the recruitment procedure would be terminated.



### Employee Turnover Rate

1 April 2019 to 31 March 2020

#### Turnover rate by gender

Male	0%
Female	3.57%

#### Turnover rate by age group

Between 21-30	0%
Between 31-40	0%
Between 41-50	0%
Between 51-60	3.57%

#### Turnover rate by employment region

Hong Kong	3.57%
Other regions	0%

## **7.2 HEALTH AND SAFETY**

To build a safe working environment, the Group placed unwavering effort on minimizing the occupational accident risk. The Group established a series of guidelines and policies to prevent accidents at the workplace. The Group required the employees to report on any unsafe practices, injury, accident or safety hazard immediately to their supervisor(s). In addition, the Group provided good working posture trainings to raise the employees' awareness of occupational health and safety. During the Reporting Year, with zero fatalities and work injury reported within the Group, the Group complied with the legislative requirements in Hong Kong, including the Occupational Safety and Health Ordinance.

## **7.3 TRAINING AND DEVELOPMENT**

The Group believed employees were one of the most important assets and recognised the importance of employee development to the business growth, the Group emphasized on the talent cultivation. Furthermore, employees could grow with the Group by realising their own values on the basis of their personal interests and expertise. The Group was dedicated to formulating comprehensive training programs and policies to encourage the employees to pursue continuous development of their capabilities and professional skills. In addition to the internal on-job trainings, the Group supported our employees to seek external education to facilitate their long-term career development.

## **7.4 ETHICAL OPERATION**

Following the principle of integrity, the Group strictly abided by the regulations of anti-corruption, anti-bribery, anti-money laundering and any form of misbehaviors.

As a preventive measure against the unethical activities, the Group complied with all applicable anti-money laundering laws and regulations in Hong Kong including the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong) and the Guideline on Anti-Money Laundering and Counter-Terrorist Financing issued by the SFC. Additionally, the Compliance Manual also stipulated the guidelines for identifying and avoiding conflicts of interest with respect to the relevant clients. Employees were prohibited from soliciting and accepting any inducements in connection with business.

The Group established whistle-blowing mechanism to raise concerns about possible suspected business irregularities. Employees were encouraged to report suspicious cases anonymously to compliance officer and to report to law enforcement authorities when necessary. All reported cases would be fully investigated by the management of the Group on confidential basis. During the Reporting Year, the Group complied with all laws and regulations regarding corruption and money-laundering such as Prevention of Bribery Ordinance.

## 8 MOVING FORWARD TOGETHER WITH THE COMMUNITY

As a socially responsible enterprise, The Group has extended our commitment to create values for the local community. During the Reporting Year, the Group contributed HK\$20,000 to TWGHs Charity Dinner Show and sponsored thematic game machines in the event of TWGHs Free Medical Services Donation Scheme as a form of social investment.

### TWGHs Charity Dinner Show



### TWGHs Free Medical Services Donation Scheme



## 9 LOOKING FORWARD

In the ever changing capital market, the Group will continue to reinforce its market position in the corporate finance industry by enhancing the professional knowledge and maintaining the professionalism of our employees. Furthermore, the Group will keep integrating sustainability elements into its decision making and resource allocation, and explore other sustainable business opportunities to diversity business risk and drive towards a sustainable future.

## 10 ESG CONTENT INDEX

Aspect/Description/KPI		Statement/Section	Page No.
A. Environment			
A1 Emission			
A1	General Disclosure	5 Environmental Protection	5-6
A1.1	Types of emissions and respective emissions data	5.2 Energy management	5
A1.2	Greenhouse gas emissions in total and intensity	5.2 Energy management	5
A1.3	Total hazardous waste produced and intensity	The Group's operations did not generate hazardous waste. Therefore, hazardous waste was not applicable.	/
A1.4	Total non-hazardous waste produced and intensity	5.3 Non-hazardous waste management	6
A1.5	Description of measures to mitigate emissions and results achieved	5.2 Energy management	5
A1.6	Description of how hazardous and non-hazardous wastes were handled, reduction initiatives and results achieved	5.3 Non-hazardous waste management	5
A2 Use of Resources			
A21	General Disclosure	5 Environmental Protection	5-6
A2.1	Direct and/or indirect energy consumption by type in total and intensity	5.2 Energy management	5
A2.2	Water consumption in total and intensity	Water consumption was not material to operations	/
A2.3	Description of energy use efficiency initiatives and results achieved	5.2 Energy management	5
A2.4	Description of whether there was any issue in sourcing water that was fit for purpose, water efficiency initiatives and results achieved	Water sourcing was not material to operations.	/
A2.5	Total packaging material used for finished products and with reference to per unit produced	Total packaging material was not material to operations.	/

Aspect/Description/KPI		Statement/Section	Page No.
A3 The Environment and Natural Resources			
A3	General Disclosure	5 Environmental Protection	5-6
A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them	5 Environmental Protection	5-6
B. Social			
B1 Employment			
B1	General Disclosure	7.1 Employment policy	7
B1.1	Total workforce by gender, employment type, age group and geographical region	7.1 Employment policy	8
B1.2	Employee turnover rate by gender, age group and geographical region	7.1 Employment policy	8-9
B2 Health and Safety			
B2	General Disclosure	7.2 Health and safety	9
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 were implemented and monitored	7.2 Health and safety	9
B3 Development and Training			
B3	General Disclosure	7.3 Training and development	9
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		/

Aspect/Description/KPI		Statement/Section	Page No.
B4 Labour Standard			
B4	General Disclosure	7.1 Employment policy	7
B4.1	Description of measures to review employment practices to avoid child and forced labour	7.1 Employment policy	7
B4.2	Description of steps taken to eliminate such practices when discovered	7.1 Employment policy	7
B5 Supply Chain Management			
B5	General Disclosure	6.1 Supply chain management	6
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 were being implemented, how they were implemented and monitored	6.1 Supply chain management	6
B6 Product Responsibility			
B6	General Disclosure	6.2 Quality Assurance	6
B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons	Not applicable	/
B6.2	Number of products and service-related complaints received and how they were dealt with	The Group received no complaints during the Reporting Year.	/
B6.3	Description of practices relating to observing and protecting intellectual property rights	Intellectual property right was not material issue to the operations	/
B6.4	Description of quality assurance process and recall procedures	6.2 Quality Assurance	6
B6.5	Description of consumer data protection and privacy policies, how they were implemented and monitored	6.3 Consumer data protection	7

Aspect/Description/KPI		Statement/Section	Page No.
B7 Anti-Corruption			
B7	General Disclosure	7.4 Ethical operation	9
B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting year and the outcomes of the cases	7.4 Ethical operation	9
B7.2	Description of preventive measures and whistle-blowing procedures, how they were implemented and monitored	7.4 Ethical operation	9
B8 Community Investment			
B8	General Disclosure	8 Moving forward together with the community	10
B8.1	Focus areas of contribution	8 Moving forward together with the community	10
B8.2	Resources contributed to the focus area	8 Moving forward together with the community	10