



HOLLY FUTURES

(a joint stock company incorporated in the People's Republic of China with limited liability under the Chinese corporate name 弘業期貨股份有限公司 and carrying on business in Hong Kong as Holly Futures)

*(於中華人民共和國註冊成立的股份有限公司，
中文公司名稱為弘業期貨股份有限公司，在香港以 Holly Futures 名義開展業務)*

STOCK CODE/ 股份代號：3678



2016 ESG REPORT
環境、社會和管治報告

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I. The Report Preparation Instructions

第一章、本報告編製說明

This report is based on the concept of social responsibility and corporate growth of Holly Futures Co., Ltd. (hereinafter referred to as “Holly Futures” or the “Company”, together with its subsidiaries, the “Group”) and elaborates on the specific practice of social responsibility for the period from 1 January 2016 to 31 December 2016 (hereinafter referred to as the “Reporting Period”). All the contents and data disclosed in this report have been examined and approved by the board of directors (the “Directors”) of Holly Futures (the “Board”). The disclosure of this report is as follows:

(I) The scope of this report

Organizational scope of this report: The entity of this report is Holly Futures, which covers its major subsidiaries, including Holly Capital Management Co., Ltd., Holly Su Futures (Hong Kong) Co., Ltd., Holly Capital (Hong Kong) Co., Ltd.¹ and Holly Su Capital Management Co., Ltd.

The duration of this report: from 1 January 2016 to 31 December 2016.

This report is published annually.

(II) Principles for the preparation of this report

Holly Futures has prepared this report in compliance with the relevant provisions of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited (“Listing Rules”) and its Appendix 27 Environmental, Social and Governance Reporting Guide.

本報告秉承弘業期貨股份有限公司（以下簡稱「弘業期貨」、「本公司」或「公司」，連同其附屬公司簡稱「本集團」）社會責任與企業成長相統一的社會責任理念，並闡述了2016年1月1日至2016年12月31日期間（以下簡稱「本報告期間」）所履行的社會責任的具體實踐工作。本報告披露的所有內容和數據已經弘業期貨董事（「董事」）會（「董事會」）審議通過。關於本報告的披露內容，說明如下：

（一）本報告範圍

本報告的組織範圍：本報告以弘業期貨為主體，涵蓋旗下重要附屬公司，包括：弘業資本管理有限公司，弘蘇期貨（香港）有限公司，弘業資本（香港）有限公司¹及弘蘇資產管理有限公司。

本報告的時間範圍：2016年1月1日至2016年12月31日。

本報告每年發佈一次。

（二）本報告編製原則

弘業期貨已遵守《香港聯合交易所有限公司證券上市規則》（「《上市規則》」）及其附錄二十七《環境、社會及管治報告指引》相關規則而編寫本報告。

¹ HOLLY CAPITAL (HONG KONG) CO., LIMITED (弘業資本(香港)有限公司) is a company carrying on business in Hong Kong as HOLLY CAPITAL (HONGKONG) CO., LIMITED.

¹ 弘業資本(香港)有限公司，在香港以HOLLY CAPITAL (HONGKONG) CO., LIMITED名義開展業務。

I. The Report Preparation Instructions 第一章、本報告編製說明

(III) Information in this report

The financial information in this report is extracted from the 2016 Annual Report of Holly Futures Co., Ltd. Other data are compiled by the various departments of the Company.

The type and amount of the currencies involved in the information of this report are denominated in Renminbi (“RMB”) unless otherwise stated.

(IV) The form of publication of this report

This report is published in PDF electronic format on the website of Hong Kong Exchanges and Clearing Limited (<http://www.hkexnews.hk>) and the website of Holly Futures (<http://www.ftol.com.cn>)

(三) 本報告數據說明

本報告中的財務數據摘自《弘業期貨股份有限公司2016年年度報告》。其他數據由公司內部各部門整理完成。

本報告中有關數據所涉及貨幣種類及金額，如無特殊說明，均以人民幣（「人民幣」）為計量單位。

(四) 本報告發佈形式

本報告以PDF電子文件形式登載於香港交易及結算所有限公司披露易網站 (<http://www.hkexnews.hk>) 及弘業期貨網站 (<http://www.ftol.com.cn>)

II. Company Profile and Financial Information

第二章、公司簡介與財務情況

(I) Company profile

Holly Futures was established in 1995 and is formerly known as Jiangsu Jinling Futures Brokerage Company Limited. The Company was overall restructured as a joint-stock company on 29 November 2012. As at 30 December 2015, the Company was listed on the Main Board of the Stock Exchange of Hong Kong Limited (hereinafter referred to as the “Hong Kong Stock Exchange”), with the stock Chinese name of “弘業期貨”, English name of “HOLLY FUTURES”, and stock code of “03678”. It is the first provincial enterprise listed overseas since the establishment of the State-owned Assets Supervision and Administration Commission in 2003 of Jiangsu Province People’s Government.

The Group is mainly engaged in commodity futures brokerage, financial futures brokerage, futures investment consulting, asset management business, fund sales, risk management business and overseas business. The Company has the second-level risk management subsidiary Holly Capital Management Co., Ltd. (“Holly Capital”), the second-level Hong Kong subsidiary Holly Su Futures (Hong Kong) Co., Ltd., the third-level Hong Kong subsidiary HOLLY CAPITAL (HONG KONG) CO., LIMITED and Holly Su Capital Management Co., Ltd. It has established more than 40 branches in Beijing, Shanghai, Guangzhou, Shenzhen and other major domestic financial centers and key cities. The Company is currently a fellow member of Shanghai Futures Exchange, Zhengzhou Commodity Exchange, and Dalian Commodity Exchange, and a comprehensive clearing member of China Financial Futures Exchange, as well as a stock option trading participant of Shanghai Stock Exchange. The Company has won the awards of “National Civilized Unit”, “China’s Best Futures Company” and the “Outstanding Member” of various futures exchanges. In August 2016, China Securities Regulatory Commission (“CSRC”) announced the classification results of futures companies in 2016 and the Company was rated as A-level futures company.

(一) 公司簡介

弘業期貨成立於1995年，其前身是江蘇金陵期貨經紀有限公司，公司於2012年11月29日整體改制為股份有限公司。2015年12月30日，公司於香港聯合交易所有限公司（以下簡稱「香港聯交所」）主板掛牌上市，股票中文簡稱「弘業期貨」，英文簡稱「HOLLY FUTURES」，股票代碼「03678」，成為江蘇省人民政府國有資產監督管理委員會2003年成立以來首家在境外首發上市的省屬企業。

本集團主要從事商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理業務、基金銷售、風險管理業務、境外業務。公司擁有二級風險管理子公司弘業資本管理有限公司（「弘業資本」）、二級香港子公司弘蘇期貨（香港）有限公司、三級香港子公司弘業資本（香港）有限公司及弘蘇資產管理有限公司，並在北京、上海、廣州、深圳等國內主要金融中心和重點城市設立40多家分支機構。公司現為上海期貨交易所、鄭州商品交易所、大連商品交易所全權會員，中國金融期貨交易所全面結算會員，上海證券交易所的股票期權交易參與人。公司先後榮獲「全國文明單位」、「中國最佳期貨公司」以及各期貨交易所「優秀會員」等榮譽稱號。2016年8月，中國證券監督管理委員會（「證監會」）公佈了2016年期貨公司分類結果，公司被評為A級期貨公司。

II. Company Profile and Financial Information

第二章、公司簡介與財務情況

As a governing unit of China Futures Association and President Company of Jiangsu Province Futures Association, Holly Futures actively promoted the spirit of enterprise culture of “unity, progress, thanksgiving, and happiness”, continuously adhering to the “sound, efficient and innovative” corporate philosophy, strictly guarding against risks, expanding the market, continuously enhancing the core competitiveness, and creating great cause with the vast majority of investors.

作為中國期貨業協會理事單位、江蘇省期貨業協會會長單位，弘業期貨積極弘揚「團結、進取、感恩、快樂」的企業文化精神，持續秉承「穩健、高效、創新」的企業理念，嚴格防範風險，銳意開拓市場，不斷提升核心競爭力，與廣大投資者共創恢弘大業。

(II) Financial information of the Company in 2016

As at 31 December 2016, the Group’s total assets amounted to RMB4.833 billion and net assets amounted to RMB1.716 billion. In 2016, the Group gained operating income of RMB311 million, representing an increase of 6% over the same period of last year. The net profit attributable to shareholders of the Company (the “Shareholders”) was RMB78.9 million, representing an increase of 12% over the same period of last year.

(二) 2016年公司財務情況

截至2016年12月31日，本集團總資產人民幣48.33億元，淨資產人民幣17.16億元。2016年，本集團實現營業收入人民幣3.11億元，同比增長6%；實現歸屬於本公司股東（「股東」）的淨利潤人民幣7,890萬元，同比增長12%。

III. Corporate Governance 第三章、公司治理

(I) Establish and improve the governance structure

Listed in Hong Kong and registered in the People's Republic of China (the "PRC" or "China"), the Company operated in strict compliance with requirements of laws, regulations and normative documents at the listing place and in Mainland China, and kept committed to maintaining and improving its good social image. According to the Company Law of the PRC, Securities Law of the PRC and other laws, regulations and regulatory provisions, the Company has formed a corporate governance structure under which the general meeting, the Board, the supervisory committee and the management have their powers separated for checks and balances and perform their respective duties, so as to ensure regulated operation of the Company. The convening and voting procedures for general meetings and meetings of the Board and the supervisory committee are legal and valid; the information disclosed by the Company is true, accurate and complete and is disclosed in time; management of investor relations is efficient and practical; and corporate governance is based on scientific, rigorous and normative procedures. The Company has adopted the code provisions of the Corporate Governance Code and Corporate Governance Report in the Appendix 14 of the Listing Rules (the "Corporate Governance Code"). During the Reporting Period, the Company strictly complied with all code provisions of the Corporate Governance Code and met requirements for most recommended best practices specified in the Corporate Governance Code.

The Company convened and held general meetings according to the relevant provisions of Articles of Association and Rules of Procedure for General Meetings of the Company to guarantee the equal status and full exercise of rights for all Shareholders, especially the small and medium Shareholders.

(一) 建立完善治理結構

作為中華人民共和國（「中國」）註冊、在香港上市的企業，公司嚴格遵守上市地和國內的法律、法規及規範性文件的要求，依法合規運作，始終致力維護和提升公司良好的社會形象。公司根據《中華人民共和國公司法》、《中華人民共和國證券法》等法律法規以及監管規定，形成了股東大會、董事會、監事會、管理層之間分權制衡、各司其職的公司治理結構，確保了公司的規範運作。公司股東大會、董事會、監事會的會議召集召開程序、表決程序合法有效，公司信息披露真實、準確、及時、完整，投資者關係管理高效務實，公司治理科學、嚴謹、規範。公司已採納了《上市規則》附錄十四之《企業管治守則》及《企業管治報告》（「《企業管治守則》」）內的守則條文。於本報告期內，公司嚴格遵守《企業管治守則》，遵守了全部守則條文，並達到了《企業管治守則》中所列明的絕大多數建議最佳常規條文的要求。

公司嚴格按照公司章程、股東大會議事規則等相關規定召集、召開股東大會，確保所有股東，特別是中小股東享有平等的地位，充分行使股東權利。

III. Corporate Governance 第三章、公司治理

The Company has adopted the Model Code for Securities Transactions by Directors of Listed Issuers (“Model Code”) as set out in Appendix 10 of the Listing Rules in respect of securities transactions by directors and supervisors. The Company has made specific inquiries to all Directors and supervisors about compliance with the Model Code. All Directors and supervisors have confirmed that they fully comply with the standards set out in the Model Code during the Reporting Period. The Company also manages the unpublished price-sensitive data of the Company or its securities mastered by regulating employees in accordance with the Model Code. During the Reporting Period, the Company was not informed of any events for employee’s breach of the Model Code. The Board will check the corporate governance status and operation from time to time to comply with the relevant provisions of the Listing Rules and protect the interests of Shareholders.

The goal of corporate risk management is to maximize the value of the enterprise by implementing a comprehensive risk management system to ensure that business operations comply with relevant laws and regulations and control the risks associated with business operations within affordable areas. Since the regulatory authority implemented rating for the futures companies for the first time in 2009, the Company has been awarded the “Class A Grade A” regulatory category by CSRC for the past eight consecutive years. The Company has established an internal structure and designed business processes to decentralize the power of decision-making departments, executive departments and inspection and evaluation departments, and to impose appropriate counter-balances between such departments.

During the Reporting Period, the Company held a total amount of 20 meetings, including 2 shareholders’ general meetings, 9 Board meetings, 2 meetings of the supervisory committee, 2 meetings of the audit committee, 1 meeting of the nomination committee, 3 meetings of the remuneration committee, and 1 meeting of the risk management committee.

公司已就董事、監事進行證券交易採納《上市規則》附錄十所載的《上市發行人董事進行證券交易的標準守則》（「標準守則」）。公司已就遵守《標準守則》的事宜向所有董事和監事作出特定查詢，所有董事和監事皆確認於本報告期內完全遵守《標準守則》所載的標準。公司亦依據《標準守則》就監管僱員有可能掌握公司或其證券的未公佈的股價敏感數據進行管理。於本報告期內，公司並未獲悉任何相關僱員違反標準守則的事件。董事會會不時檢查公司的治理狀況和運作情況，以符合《上市規則》有關規定並保障股東利益。

公司風險管理的目標是通過實行全面的風險管理體系，確保業務運營遵守相關法律法規，並將業務運營相關的風險控制在可承受的範圍內，從而實現企業價值最大化。公司自2009年監管機構首次推出期貨公司評級以來，過去八年連續獲證監會頒發「A類A級」監管類別。公司已建立內部架構及設計業務流程以分散決策制定部門、執行部門以及檢察與評估部門的權力，並在該等部門間實行適當的制衡。

本報告期內，本公司召開股東大會2次，董事會會議9次，監事會會議2次，審核委員會會議2次，提名委員會會議1次，薪酬委員會會議3次，風險管理委員會會議1次，共計20次會議。

III. Corporate Governance

第三章、公司治理

(II) Strengthen the system process construction and disclose information properly

The Company established and improved the information isolation wall system in accordance with regulatory requirements to prevent the improper use and dissemination of sensitive information. At the same time, the Company carried out information disclosure in a true, accurate, complete and timely manner in accordance with the provisions of laws, regulations, the Listing Rules and the Articles of Association as well as the Information Disclosure Management Measures, to ensure that all investors have equal access to the Company's relevant information in a timely manner. During the Reporting Period, the Company has established a major information internal control system, the procedures for handling and issuing price-sensitive data and internal control measures.

When handling and issuing insider information, the Company strictly complies with the relevant provisions of the Listing Rules. First, the management of the Company carries out special discussion of the relevant information; at the same time, the relevant departments measure the timetable and disclosure of content, and contact with the Company's lawyers to discuss the disclosure matters in a timely manner; finally, in the process of preparing the insider information, the Company will send it to the Directors for review and confirmation. The above procedures ensure that the price sensitive data and other information are disclosed in a timely and accurate manner. As at the date of this report, the Risk Management Committee of the Board has reviewed the risk management and internal control system of the Group once during the Reporting Period. This review included the 12-month risk management and internal control system during the Reporting Period. The Company believes that the risk management and internal control system is sufficient and effective.

The Company has established a standardized information disclosure system, emphasizing the initiative and prompt disclosure time, standardized formats and the true, accurate, complete and fair contents. The Company attaches great importance to the new changes in the supervision laws and regulations of information disclosure, continuously strengthens self-learning, enhances the normative and effective disclosure of information, meets the domestic regulatory requirements, as well as the regulatory requirements of the Hong Kong market and satisfies the needs of investors. All the information disclosure is published on the Company's website and the statutory media simultaneously. In 2016, the Company disclosed a total of 48 documents including H-share announcements and circulars.

(二) 強化制度流程建設，做好信息披露工作

公司按照監管要求建立健全了信息隔離牆等制度，防範了敏感信息的不當使用和傳播。同時，公司按照法律、法規、《上市規則》和公司章程及信息披露管理辦法等的規定，真實、準確、完整、及時地進行信息披露，確保所有投資者有平等的機會及時獲得公司有關信息。本報告期內，公司已建立重大信息內部監控體系，處理及發佈股價敏感數據的程序和內部監控措施。

公司在處理及發佈內幕消息時，嚴格遵守《上市規則》相關條例。首先，公司管理層對相關信息做專項討論；同時，相關部門衡量時間節點及披露內容，並與公司律師及時溝通、討論披露事宜；最後，在內幕消息的制備過程中，公司會發送給各位董事審閱並確認。通過上述程序，力保股價敏感數據、須予披露信息等及時、準確的發佈。截至本報告日，董事會轄下的風險管理委員會已檢討本集團於本報告期內的風險管理及內部監控系統一次，本次檢討包含本報告期內12個月的風險管理及內部監控系統，公司認為風險管理及內部監控系統充分及有效。

公司建立了規範的信息披露制度，強調信息披露時點的主動性、及時性，格式的規範化及內容的真實性、準確性、完整性和公平性。公司高度重視信息披露監管法規的新變化，不斷加強自身學習，提升信息披露的規範性和有效性，適應國內監管要求、香港市場的監管要求和滿足投資者需求。公司所有的信息披露均在公司網站和法定媒體上同時發佈。2016年，公司H股披露公告、通函等文件共計48個。

III. Corporate Governance 第三章、公司治理

(III) Maintain investor relations and protect the rights and interests of investors

The Company always focuses on continuously enhancing the value of Shareholders, attaches great importance to investor relations management, has gradually established a smooth two-way communication channel with investors, and constantly improves the corporate governance structure. During the Reporting Period, the Company communicated with investors through the telephone, E-mail, reception and other forms, with equal treatment of all investors to ensure that all Shareholders can fully exercise their rights. During the Reporting Period, the Company strictly abided by laws, regulations and regulatory requirements, and made true, accurate, complete and timely information disclosure to ensure that investors grasped the major issues of the Company in a timely manner and protected the interests of investors to the greatest extent.

(三) 維護投資者關係，保障投資者權益

公司始終把持續提升股東價值放在首位，高度重視投資者關係管理工作，逐步建立與投資者之間通暢的雙向溝通渠道，不斷完善公司的治理結構。本報告期內，通過開展電話、電子郵件、接待來訪等形式與投資者進行交流，平等對待全體投資者，確保所有股東能夠充分行使自己的權利。本報告期內，公司嚴格遵守法律法規和監管規定，真實、準確、完整、及時地進行信息披露，確保投資者及時了解公司重大事項，最大程度保護投資者的利益。

IV. Compliance and Risk Prevention 第四章、合規與風險防範

(I) Attach great importance to compliance management according to law

The Group has adopted internal control to supervise the continuous compliance with relevant laws and regulations. During the Reporting Period, the Group has not violated the relevant laws and regulations that will have significant impact on the Group's business operations.

During the Reporting Period, under the constant supervision and correct direction of the supervisory department, the Company strictly complied with the relevant laws, regulations and standards, carried out various supervision and discipline requirements carefully, carried out various compliance work in depth, continuously improved the Company's compliance management mechanism, focused on improving the Company's control over compliance risk. It established and improved the compliance management organizational structure. The Company has established the multi-level compliance management organization system of the Board, the Risk Management Committee of the Board, the Chief Risk Officer, the Compliance Risk Control Department, the Legal Department and the branch offices. The audit work is carried out under the leadership of the Chief Risk Officer. It is cooperating with the compliance manager in a timely manner when the Company establishes new departments and branches. In the compliance management, it is under the guidance of the Compliance Risk Control Department and reporting work to it. There are clear responsibilities at all levels and the communication reporting path is fluent.

Since the establishment of the Company, it has focused on the construction of internal rules and regulations and management system. Through the continuous formulation and effective implementation of each of the internal control systems, it constantly improved the internal control mechanism to lay a solid foundation for the Company's standardized development. The Company has always attached great importance to compliance operation and risk management and established and improved the internal control system in strict accordance with the requirements of regulatory authorities, the Futures Trading Management Regulations, Measures for Supervision and Management of Futures Companies and other laws and regulations. By strengthening the daily inspection and supervision of the chief risk officer and the compliance department, the Company improved the execution of the internal control system to ensure the steady development of the Company's compliance and implement the construction of the internal control throughout the development process of the Company.

(一) 高度重視依法合規經營

本集團已採納內部控制監督持續遵守相關法律及法規。於本報告期內，本集團概無違反有關法律及法規以致對本集團經營業務有重大影響。

本報告期內，在監管部門的持續監管和正確指導下，公司嚴格按照有關法律法規和準則，認真組織落實各項監管自律要求，深入開展各項合規工作，持續完善公司合規管理機制，著力提升公司對合規風險的控制水平。建立健全合規管理組織架構。公司構建了董事會、董事會風險管理委員會、首席風險官、合規風控部、法務部及各分支機構合規崗多層級合規管理組織體系，稽核工作在首席風險官領導下具體開展，公司在新設部門、分支機構時均及時配備合規管理員，在合規管理方面受合規風控部指導並向其報告工作，各層級職責明確，溝通報告路徑通暢。

公司自設立以來一直注重內部規章制度和管理體制的建設，通過持續制定和有效實施各項內控制度，不斷完善內控機制，為公司的規範發展奠定了堅實的基礎。公司歷來十分重視合規經營與風險管理，嚴格按照監管部門的要求以及《期貨交易管理條例》、《期貨公司監督管理辦法》等法律法規，建立健全內部控制制度。通過加強首席風險官與合規部門的日常檢查與監督，提高各項內控制度的執行力，確保公司合規穩健發展，並把內部控制的建設始終貫穿於公司經營發展過程之中。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

In 2016, the Legal Department of the Company led the formulation and revision of a series of internal control system, including the 2016 Edition Internal Control Measures Against Money Laundering, Measures for Administration of News Publicity, Release and Approval, Measures for Administration of Risk Incidents, Measures for Administration of Seal of Branches, Measures for Administration of Three-law Audit, Internal Control Manual and so on. At the same time, it actively promoted the revision and improvement of the Company's asset management system, work norms of internal audit, and branch management system.

Since the second half of 2016, the Company has focused on advocating the majority of party members to seriously study and practice the core socialist values through special topics training of compliance and other forms of party member activities, direct the thinking of party members with the correct world outlook, outlook on life and values, so as to affect all staff of the Company, establish upright, keep the conduct of ethics and moral bottom line of practitioners, strengthen ideological and moral education and business training and to prevent all kinds of risks from the source.

In October 2016, the Company issued the Implementation Program of Joint Inspection. A joint inspection working group is composed of the Finance Department, Brokerage Business Management Department, Discipline Inspection and Supervision Audit Department, Compliance Risk Control Department, and Information Technology Department to inspect the Company's branches by the mode of flight without prior notice in accordance with the related system of the Company and compile a written inspection report to search problems, find hidden dangers, strengthen supervision, and improve monitoring mechanism in a realistic and strict principle.

2016年，公司法務部主導制定和修改了一系列內控制度，包括2016年版《反洗錢內部控制辦法》、《新聞宣傳發佈審核管理辦法》、《風險事件管理辦法》、《營業部印章管理辦法》、《三項法律審核管理辦法》、《內部控制手冊》等。同時，積極促成公司資產管理制度體系、內部審計工作規範、分支機構相關管理制度的修訂與完善。

2016年下半年以來，公司以合規專題培訓、黨員活動等各種形式，重點教育廣大黨員認真學習和踐行社會主義核心價值觀，用正確的世界觀、人生觀、價值觀統領黨員的思想，進而影響公司全體員工，樹立正氣，謹守從業人員的執業行為操守和道德底線，強化思想道德教育和業務培訓，從源頭上防範各類風險。

2016年10月，公司下發了《聯合檢查工作實施方案》，由公司財務部、經紀業務管理部、紀檢監察審計部、合規風控部、信息技術部組成聯合檢查工作組，對公司各分支機構，以飛行檢查的模式，對被檢查對象不事先通知，對照公司相關制度逐一進行檢查，編寫書面檢查報告，本著實事求是、從嚴掌握的原則，真正查找問題，發現隱患，強化監督，健全監控機制。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

The Company required its leaders, the leaders of the subsidiaries, and the responsible persons of the branches to sign the responsibility letters for building a clean organization. During the Reporting Period, a total of 77 responsibility letters for building a clean organization were signed. The audit for resign and the three-year duration of term of office of responsible persons of the subsidiaries and branches must be conducted. The Company attaches importance to the training of staff and conducts continuous supervision through departmental supervision, internal audit report, flight inspection by the branches and other means. The Company attaches importance to the supervision of employees in their leisure time to prevent its employees from any behaviour and comments damaging the image and harming the interests of the Company and even affecting the interests of the public in their leisure time.

(II) Pay attention to anti-money laundering

The Company carried out anti-money laundering by adhering to the risk-based principle and revised the anti-money laundering internal control system in a timely manner according to the regulatory requirements and the actual situation of the Company, so as to provide system guarantee for the smooth development of anti-money laundering. The leaders of the Company attached great importance to anti-money laundering, personally organized the anti-money laundering leading group to implement and supervise anti-money laundering, and stressed the importance and necessity of anti-money laundering at various major work conferences of the Company. The Company organized anti-money laundering through the establishment of the three-level anti-money laundering work management system of "Leading Group of the Company – Compliance Risk Control Department – related business headquarters and branches in local areas". The Compliance Risk Control Department is the centralized management department of the Company's anti-money laundering.

The Functional Departments of the Headquarter of the Company (the "Headquarter") carried out regular and irregular inspection of the anti-money laundering work carried out by various branches as per requirements and established an anti-money laundering audit and reward system to encourage all departments and employees to actively carry out anti-money laundering. In 2016, the Company carried out compliance inspection and auditing of 10 branches with the anti-money laundering as an important part of inspection.

公司要求公司領導、子公司領導、營業部負責人簽署黨風廉政建設責任書，在本報告期內共簽署黨風廉政建設責任書共計77份。針對子公司及分支機構負責人做到離任審計必審、任期滿三年必審。公司重視對員工的培訓，通過部門監管、內部審計報告、營業部飛行檢查等方式進行持續監督。公司重視對員工工作時間之外的監督，防範公司員工在工作時間以外存在損害公司形象、危害公司利益甚至影響社會公眾利益的言行舉止。

(二) 重視反洗錢工作

公司反洗錢工作的開展，始終堅持以風險為本的原則，及時根據監管規定與公司實際情況對公司反洗錢內控制度進行修訂，從而為反洗錢工作順利開展提供制度保障。公司領導對反洗錢工作高度重視，親自組織反洗錢工作領導小組實施並監督反洗錢工作，且在公司各項重大工作會議上強調反洗錢工作的重要性與必要性。公司通過設立「公司領導小組－合規風控部－相關業務總部、各異地分支機構」三級反洗錢工作管理體系，組織開展反洗錢工作。合規風控部為公司反洗錢工作的歸口管理部門。

公司總部（「總部」）職能部門按要求開展定期與不定期對各分支機構落實反洗錢工作情況進行核查，建立了反洗錢審計與獎勵制度激勵各部門與員工積極開展反洗錢工作。2016年公司對10家營業部進行合規檢查、審計，反洗錢工作情況均作為重要部分列入檢查內容。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

The Company included the anti-money laundering performance-based appraisal in the performance appraisal of the various departments and posts, and the one-vote veto system is implemented; if the anti-money laundering work is substandard, the relevant responsible person will be removed of the qualifications being appraised as an outstanding employee, advanced employee and being promoted; the assessment bonuses will be deducted depending on the severity of circumstances, while the relevant department will be removed of the qualifications being appraised as an outstanding department of the year.

In order to adapt to the new situation of anti-money laundering, the Company continued to increase investment in technology and constantly optimized the anti-money laundering module of marketing service software CRM system. The system module includes identification, large amount transactions and suspicious transactions, risk classification, and blacklist. The module provides strong technical support for carrying out anti-money laundering to ensure that the system meets the requirements for anti-money laundering. At the same time, it strengthened the implementation of anti-money laundering through clearing the process of operations, so that each operation is recorded and reviewed in the system. It required various departments to complete the anti-money laundering within the time as specified by the system.

The Company insisted on carrying out anti-money laundering propaganda and training, and made full use of the 10th anniversary of the promulgation of the Anti-Money Laundering Law of the PRC to organize full propaganda and training activities for the employees of the Company and the general public, and created a good anti-money laundering atmosphere in the society. The Headquarter and branches of the Company organized and carried out anti-money laundering publicity and training of more than 100 times in 2016.

公司將反洗錢工作績效考核情況列入各部門、各崗位的工作業績考核範圍，並實行一票否決制，反洗錢工作不達標的，一律取消責任人本工作年度考核評優、評先和晉升資格，視其情節輕重扣減考核獎金，同時取消部門年度評優資格。

為了適應新形勢下的反洗錢工作，公司持續在技術上加大投入，不斷優化營銷服務軟件CRM系統反洗錢模塊，系統模塊包括身份識別、大額交易與可疑交易、風險等級劃分、黑名單等各項模塊，為開展反洗錢工作提供了有力的技術支持，確保系統能滿足反洗錢工作的需求，同時，通過梳理操作流程強化落實開展反洗錢工作，做到系統每一筆操作均留有留痕與覆核，並要求其各部門在制度規定的時效內完成各項反洗錢工作。

公司堅持開展反洗錢宣傳與培訓工作，利用《中華人民共和國反洗錢法》頒佈10週年的契機全面組織宣傳、培訓活動，受教範圍包括公司員工與廣大社會公眾，在社會上營造了良好的反洗錢氛圍，2016年度公司總部與各分支機構組織開展反洗錢宣傳、培訓達到百餘次。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

(III) Establish and improve anti-corruption mechanism

The Company fully implemented the responsibility system of building a clean organization and carried out the “one post two responsibilities.” The main executives and leaders of the Company have signed seven copies of the Commitment to Building a Clean Organization. The general manager of the Company and the head of the subsidiary company have signed two copies of the Commitment to Building a Clean Organization, and the division leaders and responsible persons of departments signed 68 copies of Commitment to Building a Clean Organization. There was a total of 77 copies.

The Company set up the report telephone call and report mailbox to encourage the internal and external people to report and reveal the possible violations. The Company conducts integrity conversations with employees at all levels who may be exposed to the risk of violations for 2-3 times per month.

The Company strengthened discipline inspection and supervision team building to improve the quality of the team. It carried out the special activity of strengthening self-discipline and implemented six bans, including: strictly prohibited inappropriate comments, strictly prohibited privileges, strictly prohibited to participate in activities not allowed, strictly prohibited alcohol, strictly prohibited to talk about work, and strictly prohibited access to private clubs.

The Company has formulated various rules and regulations, such as procurement management system, and innovative use of taking pictures for Company's vehicles mileage to avoid the possibility of private use of Company's vehicles in holidays.

(三) 建立健全反貪污機制

公司全面貫徹落實黨風廉政建設責任制，執行「一崗雙責」。公司黨政主要領導相應簽訂了7份《黨風廉政建設承諾書》，公司總經理與下屬子公司負責人相應簽訂了2份《黨風廉政建設承諾書》，各分管領導與部門負責人層層簽訂了68份《黨風廉政建設承諾書》，一共77份。

公司設立舉報電話、舉報郵箱，鼓勵公司內外部人士對可能存在的違規行為進行檢舉揭發。公司以每月2-3次的頻率，針對可能存在違規風險的各級員工進行廉潔談話。

公司加強紀檢監察隊伍建設，提高隊伍素質。開展打鐵還需自身硬專項活動，執行六項禁令，即：嚴禁不當言論、嚴禁搞特權、嚴禁參加禁止的活動、嚴禁酗酒、嚴禁談論工作、嚴禁出入私人會所。

公司制定了各項規章制度，如採購管理制度，創新採用公車里程數拍照的方式，規避了節假日公車私用的可能性。

IV. Compliance and Risk Prevention 第四章、合規與風險防範

(IV) Adhere to tax payment according to law

The Company has always believed that tax payment according to law is a concentrated reflection of corporate social responsibility. Since the establishment of the Company, it has always adhered to the concept of tax payment lawfully and honestly, and declared payment of various taxes truthfully and promptly to implement social responsibility and social return.

In accordance with the relevant provisions, the Company paid the Futures Investor Protection Fund to the PRC Futures Exchange and implemented the important deployment of the regulatory authorities to resolve the futures market risk and make contributions to the stable development of the futures market. In 2016, Holly Futures paid Futures Investor Protection Fund of RMB1.91 million.

(四) 堅持依法納稅

公司一貫認為，依法納稅是企業社會責任的集中體現。公司自成立以來，始終堅持依法納稅、誠信納稅的理念，如實、及時申報繳納各項稅額，作為履行社會責任、回報社會的方式。

公司根據有關規定，向中國期貨交易所繳納期貨投資者保護基金，真正落實監管部門化解期貨市場風險的重要部署，為促進期貨市場穩定發展做出貢獻。2016年，弘業期貨繳納期貨投資者保障基金人民幣191萬元。

V. Investor Rights and Interests Protection and Supplier Management 第五章、投資者權益保障與供應商管理

(I) Improve the internet platform construction to improve customer experience

The Company uses “Internet +” as an opportunity to improve customer experience and service quality, develop the profitability model by online-offline joint development and organic combination. The customer expansion business model through operating outlets progressively changed into internet-based customer service model. Customer mobile terminal “Holly Easy” (弘運通) was officially launched on 8 October 2016. The Company will fully utilize the internet big data to provide the customers with integrated and diversified financial service solutions.

At the same time, the Company deepens the establishment of information technology. The Company will press on with implementing the technology-led strategy to formulate medium and long term plans for information technology system according to industry development trend and the transformation and innovation needs. The Company uses IT system as a platform to accelerate the optimization and reconstruction of business process, and build up a highly effective service system featuring smooth communications, orderly procedures and customer intimacy. Through promoting the establishment of backstage operation system and further deepening the development of backstage management model, the Company targets to speed up achieving the goals of “unified settlement, unified compliance, unified risk control, unified technology and unified consulting”. The Company will advance from “internet + futures” to “internet x futures” by exploring cross sector cooperation on multiple levels in internet finance.

While deepening the construction of information technology, the Company strengthens the enterprise’s research and development capabilities. The Company will build up a research and development resources sharing platform, enhance the integration of investment and research of the Company, and create a good atmosphere of “research creates value”. Through changing the old research and development mindset to a new seller research approach that based on buyer’s mindset and building up a macro research system, the Company developed a buyer and seller win-win approach, thereby strengthening the Company’s core competence. The Company will also provide professional consulting services to the customers by enabling face to face internet communication between the Company and its customers and improving the expert online section.

(一) 完善互聯網平台建設，提高客戶體驗

公司以「互聯網+」為契機，改善客戶體驗，提高服務水平，努力形成線上線下共同發展、有機結合的盈利模式。從營業網點地域輻射的客戶拓展模式逐步轉化為以網絡為渠道的客戶服務模式。「弘運通」手機客戶端於2016年10月8日正式上線，利用互聯網大數據，向客戶提供一體化、多樣化的金融服務方案。

同時，公司深化信息技術建設，堅持技術領先策略，按照行業發展趨勢、轉型創新要求，做好信息技術系統中長期規劃。以IT系統為平台，加快實現業務流程的優化和再造，建立溝通順暢、銜接有序、貼近客戶的高效服務體系。大力推進大後台運營系統建設，進一步深化構建大後台的管理模式，加快實現「統一結算、統一合規、統一風控、統一技術、統一諮詢」進程。探索互聯網金融領域多層面的跨界合作，實現從「互聯網+期貨」到「互聯網×期貨」。

在深化信息技術建設的同時，公司增強企業研發實力，建立研發資源共享平台，強化公司投研一體化建設，營造「研究創造價值」的良好氛圍。轉變研發思維，以做買方思維的賣方研究為目標，著力打造大研究體系，構建買方賣方並進的發展格局，增強公司的核心競爭力。在互聯網上實現公司與客戶的面對面交流，完善專家在線欄目，為客戶提供專業諮詢服務。

V. Investor Rights and Interests Protection and Supplier Management 第五章、投資者權益保障與供應商管理

(II) Provide diversified services for customers

The Company has introduced various types of asset management programs for investors with different risk appetite, which can meet the investment certainty needs of investors with lower risk appetite and provide high-yield opportunities for investors with higher risk appetite. Asset management business is having a scale-up transformation. The Company will launch customer value-added services by taking investment managers and investment capabilities as the key concerns, with “one on one” specialized investment management and “one-to-many” products as the starting points, as well as placing importance on nurturing the fund managers and accelerating the building of a proactive management team. The Company will leverage the futures company’s advantages over the research and development and risk control of derivatives to design characterized, actively managed products for derivatives markets such as commodity futures and options markets; lay stress on the innovation of the form of product and keep on exploring and pushing through the issuance of FOF, MOM, QDII, offline issuance of new shares and other products; put more effort on the research and exploration on different industries, especially the emerging industries, and design products according to the specific needs of customers by shifting from product-focused to customer-centric approach and establish a risk management system suitable for these products, so to create value for the customers.

At the same time, in order to provide good wealth consulting services for customers, the Company established a variety of channels to communicate with customers. The customer service hotline of Holly Futures is the most direct customer consulting platform; customers can also access the Company’s product information through official website and customize the personalized needs; the Company regularly pushes product quotes, market views and financial information through the WeChat Official Account to increase communication and exchange.

(二) 為客戶提供多樣化服務

公司面向不同風險偏好的投資者推出了各類型的資產管理計劃，既能滿足較低風險偏好投資者的投資確定性需求，也能為較高風險偏好投資者提供獲取高收益的機會。公司資產管理業務向規模化轉型，推出客戶增值服務，主抓投資經理人、投資能力兩個關鍵點，從「一對一」專戶資管和「一對多」產品兩方面切入，注重孵化基金經理，加快打造主動管理團隊。充分發揮期貨公司在衍生品研發、風控等方面的優勢，著力打造商品期貨、期權等衍生品市場的特色化主動管理型產品。重視產品形式的創新，繼續探索開展FOF、MOM、QDII、網下打新等產品的發行。加大對各行業特別是新興產業的研究挖掘，從以產品為中心向以客戶為中心轉變，從客戶的特定需求出發來設計產品，同時著力建設與之相適應的風險管理體系，真正做到為客戶創造價值。

同時，為了做好客戶身邊的財富顧問，公司建立了多種渠道與客戶進行溝通。弘業期貨客服電話是最直接的客戶諮詢平台；客戶也可以通過公司官方網站訪問產品信息，定制個性化的需求；公司通過微信公眾號定期推送產品報價和市場觀點及金融信息，增加溝通與交流。

V. Investor Rights and Interests Protection and Supplier Management

第五章、投資者權益保障與供應商管理

(III) Investor education work

According to the Measures for Administration of Securities and Futures Investors Appropriateness issued by CSRC, it further strengthened the Company's appropriateness management system construction, improve internal control and strengthen the technical system management, standardize the Company's appropriateness management, and guide investors to participate in securities investment rationally and protect the legal rights and interests of investors.

The Company fully understood the identity, property and income, investment experience, risk appetite, integrity records and other information of customers, and established a mechanism for continuously effective the customer information. It took effective measures to collect, record, identify customer identity information, implemented customer visits, inspection and other procedures, and reviewed the authenticity, accuracy and integrity of customer identity information.

The Company established a customer classification system with investor's objective ability and subjective willingness. The Company divides the customers into professional investors and ordinary investors according to the professional judgment ability of the investors to further strengthen the special protection for the ordinary investors. The Company carries out the risk assessment for ordinary investors, classifies the customers according to the risk tolerance assessment results and improves the customer dynamic assessment mechanism.

The Company strengthened the appropriateness management of financial products and established risk assessment guidelines for various types of financial products; according to the financial product information learnt, the Company assess the risk level. The Company established the adaption principle of product and customer risk tolerance to fully reveal the product risk and ensure instruction of the appropriate products to the appropriate customers. It implemented the appropriateness management of each business. It focused on the asset management business, risk management business and other financial innovation business and implemented business authority permission, appropriateness management, investor education and risk disclosure in strict accordance with the appropriateness management requirements for each business.

(三) 投資者教育工作

根據證監會《證券期貨投資者適當性管理辦法》，進一步加強公司適當性管理制度建設、完善內部控制及強化技術系統管理，規範公司適當性管理工作，引導投資者理性參與證券投資，切實保護投資者合法權益。

公司充分了解客戶的身份、財產與收入狀況、投資經驗、風險偏好、誠信記錄等信息，並建立持續有效客戶信息的機制。採取有效措施採集、記錄、識別客戶身份信息，實施客戶回訪、檢查等程序，審查客戶身份信息的真實性、準確性和完整性。

公司建立了以投資者客觀能力和主觀意願的客戶分類制度。公司根據投資者專業判斷能力將客戶分為專業投資者和普通投資者，進一步加強對於普通投資者的特別保護，普通投資者需進行風險測評，根據風險承受能力評估結果進行分類分級，並完善客戶動態評估機制。

公司加強金融產品適當性管理工作。建立各類金融產品風險評估指針，根據了解的金融產品信息，評估其風險等級。建立產品與客戶風險承受能力的適配原則，充分揭示產品風險，確保將適當的產品推介給適當的客戶。落實各項業務適當性管理。以資產管理業務、風險管理業務等金融創新業務為工作重點，嚴格按照各項業務適當性管理要求實施業務權限開通、適當性管理、投資者教育與風險揭示等。

V. Investor Rights and Interests Protection and Supplier Management

第五章、投資者權益保障與供應商管理

The Company has strengthened the technical system management. The Company adopts marketing services software CRM system for management of the customer account opening data preservation, anti-money laundering, business staff remuneration management and rebate, employee behaviour monitoring, personnel management, business statements and other aspects.

The Company clarified the appropriateness duties of respective departments and their staff and strengthened the supervision and inspection of the establishment and implementation of the investor appropriateness system of the Company to ensure the effective implementation of the Company's investor appropriateness system.

The Company has always given priority to continuous enhancement of Shareholder value, paid high attention to investor relations management, gradually established clear two-way communication channels with investors and kept improving the corporate governance structure. During the Reporting Period, the Company communicated with investors through ways like, making phone calls, sending emails and receiving visitors, and treated all investors equally to ensure that all Shareholders can fully exercise their rights. During the Reporting Period, the Company disclosed information in a truthful, accurate, complete and timely manner in strict accordance with laws, regulations and regulatory provisions, to ensure that investors are informed of the Company's material matters in time and thereby protecting their interests to the greatest extent.

The Company attached great importance to investor education, established the customer-based service concept, built a long-term mechanism for investor education and protection, and made full use of the "Internet+" platform to explore new models of investor education and protection to expand the space of investor education and protection. It combined the teaching work and practice together to intensify cooperation with regulatory authorities and industry associations and deepen investor education and protection work.

公司強化了技術系統管理。公司在客戶開戶資料保存、反洗錢、業務人員薪酬管理及返佣、員工行為監控、人員管理、業務報表等多方面採用營銷服務軟件CRM系統進行管理。

公司明確了各部門及其工作人員各自的適當性工作職責，加強對公司投資者適當性制度建立及執行情況的監督和檢查，確保公司投資者適當性制度得到有效執行。

公司始終把持續提升股東價值放在首位，高度重視投資者關係管理工作，逐步建立與投資者之間通暢的雙向溝通渠道，不斷完善公司的治理結構。本報告期內，通過開展電話、電子郵件、接待來訪等形式與投資者進行交流，平等對待全體投資者，確保所有股東能夠充分行使自己的權利。本報告期內，公司嚴格遵守法律法規和監管規定，真實、準確、完整、及時地進行信息披露，確保投資者及時了解公司重大事項，最大程度保護投資者的利益。

公司高度重視投資者教育工作，樹立以客戶為中心的服務理念，打造投資者教育和保護工作的長效機制，充分利用「互聯網+」平台探索投資者教育和保護新模式，拓展投資者教育和保護空間，將投教工作與實踐相結合，加大與監管機構和行業協會等合作，深化投資者教育和保護工作。

V. Investor Rights and Interests Protection and Supplier Management

第五章、投資者權益保障與供應商管理

(IV) Pay attention to customer information security and transaction network security

To protect the customer's information security and its legitimate rights and interests is the Company's the corporate social responsibility. The Company requires its employees to strictly comply with the relevant requirements to protect customer information security, forbidden to disclose, trade and abuse customer information.

For the protection of information security, the Company carried out strict management of data production, transmission, use, preservation, backup, and destruction and thereby formulating a number of regulations, including Information Technology Management System, Information Security Management System, Information System Emergency Management System, and Measures for Data Backup and Media Management.

In order to protect the interests of investors and deal with possible information risks, the Company set up disaster prepared rooms in the same city and remote area. The Company is equipped with machine rooms in Hexi, Nanjing and Shanghai in China, and ensures information security through UPS ("uninterruptible power supply"), diesel generators and other emergency power supply equipment.

(V) Strengthen customer complaints management and improve complaints handling mechanism

In order to protect the legitimate rights and interests of investors, the Company actively implemented the duties of investor protection. According to the requirements of the Opinions on Further Strengthening the Protection of the Legitimate Rights and Interests of Small and Medium Investors in the Capital Market promulgated by the General Office of the State Council of China and other relevant laws and regulations, as well as relevant documents, it bears the responsibility for investor complaints handling to enhance service awareness, quality and level and maintain the Company's reputation and image. The Company formulated the Measures for Administration of Customer Complaints Handling of Holly Futures Co., Ltd. in 2016. The Measures clarify the division of responsibilities of customer complaints, complaints handling mechanism, complaints handling emergency mechanism and complaints handling duties responsibility investigation.

(四) 重視客戶信息安全及交易網絡安全保障工作

保護客戶的信息安全及其合法權益是公司應承擔的企業社會責任，公司要求員工嚴格遵守相關要求，保護客戶信息安全，嚴禁洩露、交易和濫用客戶信息。

針對信息安全的保護工作，公司對數據的生產、傳輸、使用、保存、備份、銷毀等多方面進行嚴格管理，為此制定了多項公司規定，包括《信息技術管理制度》、《信息安全管理制度》、《信息系統應急管理制度》、《數據備份與介質管理辦法》等。

為了保障投資者權益，應對可能存在的信息風險，公司在同城、異地建設了災備機房。公司在中國南京河西、上海兩地配備機房，並通過UPS（「不間斷電源」）、柴油發電機等緊急供電設備，保障信息安全。

(五) 加強客戶投訴管理，完善投訴處理機制

為保障投資者合法權益，積極踐行投資者保護職責，根據中國國務院辦公廳頒佈的《關於進一步加強資本市場中小投資者合法權益保護工作的意見》等法律法規及相關文件要求，承擔投資者投訴處理責任，提升服務意識、質量和水平，維護公司信譽與形象，公司於2016年制定了《弘業期貨有限公司客戶投訴處理辦法》。該辦法明確了客戶投訴的職責分工、投訴處理機制、投訴處理應急機制以及投訴處理工作責任追究等內容。

V. Investor Rights and Interests Protection and Supplier Management

第五章、投資者權益保障與供應商管理

In 2016, the Company received 1 complaint in total, which mainly related to futures brokerage business and has been successfully resolved through negotiation. There was no pending case.

(VI) Protection of intellectual property rights

The Company respects and protects intellectual property rights and uses the software and hardware products provided by the supplier within the scope of the contract. The Company strictly abides by the Advertising Law of the PRC, the Trademark Law of the PRC. Product promotion and publicity are in line with relevant regulations.

(VII) Supplier management

Due to the nature of the Company's businesses, the Company does not have major suppliers. However, since the Company purchases computers, software, services, etc., the Company strictly complies with the management procedures of supply chain. The Company requires the suppliers to observe relevant standards with respect to environment, society and governance, and supports them to keep improving their sustainability. Building a relationship of mutual trust between the suppliers and the Company helps the Company manage potential environmental and social risks and enhance its operation efficiency at the same time.

2016年，公司共受理投訴1件，主要涉及期貨經紀業務，已協商成功並辦結。不存在協商不成尚未辦結案件。

(六) 知識產權保護

公司尊重和保護知識產權，在合同規定範圍內使用供貨商提供的軟件和硬件產品。公司嚴格遵守《中華人民共和國廣告法》、《中華人民共和國商標法》，產品推介與宣傳均符合相關規定。

(七) 供應商管理

由於業務性質的原因，本公司沒有主要供應商。但由於本公司會採購電腦、軟件及服務等，因此本公司嚴格遵守供應鏈管理流程。公司要求供貨商遵守相關的環境、社會及管制準則，並且支持其不斷提升可持續發展的能力。與供貨商建立互信的關係，有助於公司管理潛在的環境及社會風險，同時提高運營效率。

VI. Promote Social and Economic Development 第六章、促進社會經濟發展

For a long time, Holly Futures focused on serving the real economy and was committed to exploring the new model of the agricultural product price risk management and made progress in exploration and achieved growth in practice. A prototype of risk management business system has initially formed. In 2016, the Central No. 1 Document mentioned steady promotion of the “futures + insurance” pilot for the first time, which provided a greater space for the futures market to serve “agriculture, rural areas and farmers”. It promoted the integration innovation of “futures + insurance” to enhance the service intensity and strength of financial market for the “agriculture, rural areas and farmers”, so as to realize point-to-point docking between financial markets and farmers. It has a positive significance in the protection of farmers’ income and promotion of agricultural and rural development. It is in this context that Holly Futures and PICC Property and Casualty Company Limited (PICC P&C) cooperated and worked together to establish the “futures + insurance” risk protection mechanism and carry out the “centralized handling” and “effective avoidance” of the scattered price risk, jointly promote the process of marketization of agricultural product price risk management, and start the new exploration for the futures and insurance industry to serve “agriculture, rural areas and farmers” through cooperation.

長期以來，弘業期貨以服務實體經濟為宗旨，致力於探索農產品價格風險管理的新模式，在探索中前進，於實踐中成長，現今已初步形成了一套風險管理業務體系的雛形。2016年中央一號文件首次提出穩步推廣「期貨+保險」試點，這為期貨市場服務「三農」提供了更大的發展空間。推動「期貨+保險」的融合創新，有助於提升金融市場對「三農」的服務力度和強度，使金融市場和農民實現點對點對接，在保障農民收入、促進農業農村發展方面具有積極意義。正是在這樣的背景下，弘業期貨與中國人民財產保險股份有限公司（簡稱PICC P&C）強強聯合，攜手共進，建立了「期貨+保險」風險保障機制，將分散的價格風險進行「集中處理」和「有效規避」，共同推進農產品價格風險管理市場化進程，開啟期貨與保險行業合作服務「三農」的新探索。



VI. Promote Social and Economic Development 第六章、促進社會經濟發展

On 16 August 2016, Holly Futures and PICC P&C held a ceremony for signing of strategic cooperation agreement. Holly Futures and PICC P&C worked together for the pilot project of implementation of the corn “futures + insurance” in Guannan County, Lianyungang, Jiangsu Province, the PRC, which is not only an innovative project and a poverty alleviation project, but also an effective measure to protect the income of farmers. The Company further promoted the “futures + insurance” project around the cooperation model of cross-industry integration through exploring the corn project practice to make contributions to the economic development of the entity.

On 23 August 2016, the general manager Zhou Jianqiu and deputy general manager Zheng Peiguang of Holly Futures went to Guannan County, Lianyungang to hold a signing ceremony with PICC P&C in relation to the innovation project of corn “futures + insurance” to provide the benefiting-farmer services. 12 policies were issued on the date of signing to provide nearly RMB8 million of risk protection for more than 200 households in Guannan County.

Holly Futures will strengthen the implementation of work to improve the implementation efficiency of projects. At the same time, it will properly carry out pilot project summary and promote the gradual expansion of the scope of the pilot project of “futures + insurance” through the practice and exploration of corn project.

2016年8月16日，弘業期貨與PICC P&C舉行戰略合作協議的簽約儀式。弘業期貨與PICC P&C合作項目是以中國江蘇省連雲港灌南縣為試點單位實施的玉米「期貨+保險」項目，這不僅是一個創新項目，一個扶貧項目，更是保障農戶收入的有力措施。公司圍繞跨行業融合的合作模式，通過玉米項目的實踐探索，進一步推進「期貨+保險」項目，為服務實體經濟發展作出貢獻。

2016年8月23日，弘業期貨總經理周劍秋、副總經理鄭培光一行赴連雲港灌南縣與PICC P&C舉行玉米「期貨+保險」創新項目簽約儀式，啟動惠農服務。簽約當日出具保單12張，為灌南縣200多戶農戶提供了近人民幣800萬元風險保障。

弘業期貨將強化工作落實，提高項目的實施效率。同時，還會做好項目試點總結工作，通過玉米項目的實踐探索，推進「期貨+保險」項目試點範圍的逐步擴大。

VII. Promote Staff Growth 第七章、促進員工成長

(I) Safeguard employees' rights and interests effectively

Staff is the Company's valuable assets and the foundation of its survival and development. The Company treats all employees with fairness and respect. The Company keeps expanding its recruitment channels while optimising the training system and deployment of staff. The Company pays close attention to the interest of staff and puts in efforts to build a corporate culture that creates a harmonious and healthy atmosphere.

Every year, the Company participates in social recruitment, campus recruitment and other types of on-site recruitment activities, and constantly introduces the necessary personnel for the Company through the network recruitment platform. The Company hires employees by open recruitment, fair competition, and strict assessment to select the excellent employees. In the course of introducing and cultivating staff, the Company adheres to the principle of equal employment, fair promotion to eliminate the discrimination, harassment and defamation due to age, sex, marital status, disability, family status, race, skin colour, descent, nationality, ethnicity, or religion. The Company is committed to taking the open and impartial manner while assessing employee performance in all aspects of employment, such as promotion, job transfer, salary adjustment, training, dismissal and layoffs, so that all employees get equal employment opportunities. The corresponding positions of employees have a clear job description, which describes the job responsibilities of various positions in details and the basic requirements for job qualification. The Company has a complete promotion system and promotion mechanism; staff promotion is linked to the performance appraisal, including: performance assessment for business personnel every six months, performance assessment for comprehensive staff every year, and provision of career development platform for the outstanding staff. According to the provisions of the Labour Law of the PRC and the Labour Contract Law of the PRC, the Company has signed the labour contract with each employee and established labour relations in accordance with the principles of lawfulness, fairness, equality and voluntariness, consensus and good faith. The labour contract includes terms such as the duration of the contract, working hours, rest and leave, labour remuneration and insurance benefits, labour protection and labour conditions, as well as the change and removal of the contract.

(一) 切實保障員工權益

員工是公司寶貴的財富，是公司賴以生存發展的根本，公司公平對待及尊重員工。公司不斷拓寬引入渠道，完善育人體系，優化用人機制。公司密切關注員工的權益，深入開展企業文化建設，全力營造和諧健康的文化氛圍。

公司每年都會參加社會招聘、校園招聘等各類現場招聘活動，並通過網絡招聘平台，為公司持續引進所需人才。公司錄用員工採取公開招聘、公平競爭、嚴格考核的辦法，擇優錄用；在引進和培養員工過程中，公司堅持平等就業、公平提拔的原則，以消除年齡、性別、婚姻狀況、殘疾、家庭狀況、種族、膚色、血統、國籍、族群、或宗教為由的歧視、騷擾和誹謗。公司致力為員工在晉升、轉職、薪酬調整、培訓、解僱及裁員等一切就業方面評估員工績效時，採取公開及公正的態度，令所有員工獲得平等的就業機會。公司員工對應的崗位均有明確的崗位說明書，崗位說明書詳細描述了各個崗位職責及崗位任職資格基本要求。公司有完備的晉升體系和晉升制度，員工晉升和績效考核相掛鉤，包括：每半年對業務人員進行業績考核，每年對綜合人員進行績效考核，為表現優異的員工提供職業發展平台。根據《中華人民共和國勞動法》和《中華人民共和國勞動合同法》規定，遵循合法、公平、平等自願、協商一致、誠實信用的原則，公司與每位員工簽訂勞動合同，建立勞動關係。勞動合同包含合同期限、工作時間和休息休假、勞動報酬和保險福利、勞動保護和勞動條件、合同的變更及解除等條款。

VII. Promote Staff Growth 第七章、促進員工成長

The Company determines the salary of employees according to their work nature, market trends and individual performance, and pay performance-based bonuses. At the same time, in addition to social insurance and housing provident fund, the Company provides employees with supplementary health insurance, corporate annuities and other welfare policies, so as to provide adequate welfare protection for employees. All resigned employees will be invited to participate in the pre-resign interviews, so as to let the Company know more about the reasons for their resignation, and take appropriate measures for paying attention to the major trends.

The Company formulated the labour policies such as the Employee Handbook to prohibit the employment of forced labour and child labour in business operations. In the process of employee hiring, the Human Resources Department verifies the identity of the employees. In addition, the Company will regularly check the staff overtime and labour intensity to ensure compliance with relevant labour laws and regulations. During the Reporting Period, the Group complied with the Labour Law of the PRC, the Labour Contract Law of the PRC and other laws and regulations which have a material impact on the Company, and there was no use of child labour and forced labour.

(II) Establish a sound employees' labour welfare system

The Company established a multi-level welfare security system and effectively freed its employees from worries. The Company contributed to social insurances including pension insurance, medical insurance, unemployment insurance, maternity insurance and job-related injury insurance for all employees. The Company set up an enterprise annuity scheme as an effective supplement to the basic pension insurance. At the same time, the Company also bought supplementary medical insurance and other insurances for its employees.

The Company has been committed to providing a safe and healthy working environment for each employee. As the Company did not produce products, there is no existence of potential security problems that would arise in manufacturing enterprises. Most of the employees are office workers and work for a long time at their desks. Accordingly, the Company arranged relevant seminars to improve their awareness of focusing on health and safety in the office from time to time and encouraged employees to do more exercises after they sat for a long time. The Company reminded employees to put the displays, keyboards and chairs properly in order to prevent long-term occupational health problems.

公司按員工工作性質、市場趨勢和員工個別表現釐定薪酬，結合員工績效表現發放績效獎金。同時，除社會保險、住房公積金外，公司還有補充醫療保險、企業年金等多種福利政策，從而為員工提供充分的福利保障。所有離職的員工都會邀請參加離職前面談，讓公司更多地了解他們離職的原因，並在需要關注的重大的趨勢下採取適當的措施。

公司訂立了《員工手冊》等勞工政策，禁止於業務營運中聘用強制勞工及童工。公司在員工聘用過程中，由人力資源部門對員工身份進行核實。此外，公司會定期檢查員工加班及勞動強度情況，以確保符合相關的勞動法律法規。於本報告期內，本集團遵守《中華人民共和國勞動法》、《中華人民共和國勞動合同法》等對公司有重大影響的法律法規，不存在使用童工和強制勞工的情況。

(二) 健全員工勞動福利制度

公司建立多層次的福利保障體系，切實解決員工後顧之憂。為全體員工繳納社會保險（包括養老保險、醫療保險、失業保險、生育保險及工傷保險）；設立企業年金計劃，作為基本養老保險的有效補充；同時，公司也為員工購買補充醫療保險等。

本公司致力為每位員工提供一個安全及健康的工作環境，由於公司不生產產品，不存在生產製作企業存在的安全隱患，大部分員工都為辦公室工作人員，他們在辦公桌上長時間工作，故此公司不定期安排相關講座以提升大家關注辦公室健康及安全意識，鼓勵員工坐久了多做運動。公司提醒員工正確擺放顯示器、鍵盤和椅子的位置，以預防長期職業健康問題。

VII. Promote Staff Growth 第七章、促進員工成長

The Company's working hours are from 8:30 to 11:30 and from 13:00 to 17:00 every Monday to Friday (namely seven hours per day). In accordance with the requirements of the Labour Law and relevant laws of the PRC, the Company fully protected the legal rights and interests of employees and strictly implemented statutory holiday and day-off systems, including casual leave, sick leave, marriage leave, funeral leave, maternity leave and paid annual leave, etc. In addition, in order to reflect the concern for the female employees, the Company also set up the female employees leave policy separately to fully protect the rights and interests of the female employees. The implementation of a series of holiday and day-off systems enabled employees to rest and relax after their work, which better contributed to the employees' involvement in work and life with a healthy body and delighted mood.

(III) Focus on employees' training and promotion

The Company made various training plans for employees at all levels in order to constantly improve the professional ability and quality of its executives.

The Company provided the operation and management personnel with training programs centered on enhancing their understanding of the development of the securities and futures industry, management theories and skills, strategic thinking ability and operation and management ability, etc.; and offered training programs focusing on improving business knowledge, product development and marketing skills and service abilities to employees of various business lines and departments. Moreover, it encouraged employees to study by themselves and take professional qualification exams, etc. in order to educate themselves and update their professional knowledge timely. Especially, it rewarded employees who have obtained qualifications for futures investment analysis, fund practitioner and futures practitioner, etc. in Hong Kong.

The Company made full use of internal, external and Internet resources to provide abundant learning opportunities for employees. The Company invested an accumulative training expense of RMB172 thousand for the whole year of 2016, organised a total of 31 various internal trainings with more than 1,000 persons participating in and sent 63 persons to participate in a total of 28 external trainings. The Company also conducted online trainings by using the Internet, WeChat and videos for all employees, which formed an effective supplement to offline trainings and largely met the development needs of employees.

公司工作時間為每週一至週五8:30-11:30, 13:00-17:00, 每天工作七小時。按照中國勞動法及相關法律規定, 公司充分保障員工合法權益, 嚴格執行法定假日及休假制度, 包括: 事假、病假、婚假、喪假、產假、帶薪年假等。除此之外, 為體現對女職工的關心關愛, 公司還另行制定了女工假政策, 以充分保障女職工權益。通過系列休假制度的執行, 使員工能夠在工作之餘得到休息和放鬆, 更好的保障員工以健康的體魄、愉悅的心情投入工作和生活。

(三) 注重員工培訓與提升

為不斷提升公司幹部員工的專業能力和職業素養, 公司建立了分層分類、統籌兼顧的培訓計劃。

對經營管理人員重點開展以提高證券期貨行業發展認知、管理理論與技能戰略思維能力、經營管理能力等內容的培訓; 對各業務條線和部門的員工重點開展以強化業務知識、提高產品開發、營銷技巧和服務能力等內容的培訓。同時, 鼓勵員工通過自學、參加職業資格考試等方式進行自主學習, 及時更新專業知識, 特別是對考取期貨投資分析、基金從業資格、香港期貨從業等資格的員工給予獎勵。

公司充分利用內、外部及互聯網的資源, 為員工提供豐富多樣的學習機會。2016全年培訓費用累計投入人民幣17.2萬元, 組織1,000餘人次參加內部各類培訓共31期, 外派63人次參加外部培訓共28期。運用網絡、微信、視頻等形式開展在線培訓, 實現培訓全員覆蓋, 與線下培訓形成有效補充, 大力滿足員工的發展需要。

VII. Promote Staff Growth 第七章、促進員工成長

(IV) Give full play to the Labour Union

In 2016, the Labour Union of Holly Futures (the “Company’s Labour Union” or the “Labour Union”) continued to strengthen self-growth and created a new situation in the work of the Labour Union in a spirit of reform. Under the proper leadership of the party committee of the Company, with the concern and support from each department, and through the joint efforts of all the executives of the Labour Union, the Labour Union better completed each task of the annual work plan and each task assigned by labour unions at higher levels and has made some achievements. The Labour Union of the Company insisted on keeping up with the times and updating ideas, continued to explore and practice new ways for the work of the Labour Union, strived to promote the transformation and upgrading of the Labour Union from being activity-oriented, welfare-oriented and transaction-oriented to being learning-oriented, service-oriented and innovation-oriented, actively built its own brand and formed its own features.

1. Establishing a learning-oriented Labour Union

Futures companies are in a knowledge-intensive industry. With the constantly changing market development situation, employees are required to constantly improve their own knowledge reserves, in order to set up a foothold over the position and take the opportunity to meet the challenges in a timely manner. For this objective, the Labour Union will also actively contribute to establishing a learning-oriented organization.

(1) Organizing employees’ reading day activities

In order to encourage employees to actively learn new knowledge and skills, create the Company’s cultural atmosphere of learning delightedly and well, improve their overall quality and respond to “423 World Book Day” of 2016, the Labour Union recommended popular books of different categories for all the employees, with the contents covering many aspects such as historical humanity, professional knowledge and social sciences. The three books selected by each employee were centralizedly purchased by the Labour Union and placed to each employee to meet the personalised need of each employee.

(四) 充分發揮工會的積極作用

2016年，弘業期貨工會（「公司工會」或「工會」）以改革的精神，不斷加強自身建設，開創了工會工作新局面。在公司黨委的正確領導下，在各部門的關心和支持下，經過全體工會幹部職工的共同努力，較好地完成了全年工作計劃和上級工會交給的各項工作任務，取得了一定的成績。公司工會堅持與時俱進，更新觀念，不斷探索實踐工會工作新方式新方法，著力推動企業工會由活動型、福利型、事務型向學習型、服務型、創新型轉型升級，積極打造自身品牌，形成自身特色。

1. 創建學習型工會

期貨公司處於知識密集型行業，隨著市場發展形勢的瞬息萬變，需要員工們不斷完善自身知識儲備，從而立足崗位、及時把握機遇、迎接挑戰。對照這一目標，工會也積極致力於學習型組織的建設。

(1) 舉辦員工讀書日活動

為了鼓勵員工主動學習新知識、新技能，營造樂學善學的企業文化氛圍，促進全員素質的整體提升，為響應2016年「423世界讀書日」，工會為全體員工推薦了不同類別的熱門書目，內容涵蓋歷史人文、專業知識、社會科學等多個方面，由員工自行選擇其中的3本書籍，由工會統一採購併發放到每位員工手上，以滿足每位員工的個性化需求。

VII. Promote Staff Growth 第七章、促進員工成長

(2) Focusing on improving the Labour Union organization establishment

In 2016, according to the unified deployment of Jiangsu Federation of Labour (江蘇省總工會), the Labour Union selected 6 Labour Union's workers for participating in provincial labour union cadre training courses for enterprises in 2 lots. They comprehensively learned the business and labour union theories including the labour union organization construction, propaganda and education, democratic management, security work, economic technology, legal work, labour protection, signing of collective contracts, etc. and further improved their ability of performance of duties.

2. Establishing a service-oriented Labour Union

The Company's Labour Union firmly established the awareness of serving overall targets, employees and the Company. Under the strong support from the party committee and the government, the Labour Union actively and properly performed the work that the party committee and the government concerned, employees expected and the Labour Union were able to complete. During the Reporting Period, the Labour Union continued the tradition of the past and made great efforts in being concerned with employees and serving employees, which constantly improved the construction of a service-oriented Labour Union to new heights.

(2) 注重加強工會組織建設

2016年，根據江蘇省總工會統一部署，工會選派6名工會工作者，分2批次參加了省部屬企業工會幹部培訓班，對工會組織建設、宣傳教育、民主管理、保障工作、經濟技術、法律工作、勞動保護、集體合同簽訂等方面的業務和工會理論等進行了全面的學習，進一步提高履職能力。

2. 創建服務型工會

公司工會牢固樹立服務大局、服務職工、服務企業的意識和觀念，在黨委和行政的大力支持下，積極做好黨政所急、職工所盼、工會所能的工作。報告期內，工會繼續延續以往的傳統，在關愛員工、服務員工方面做了諸多工作，促進了服務型企業工會建設不斷邁上新台階。

VII. Promote Staff Growth 第七章、促進員工成長

(1) Organizing donation campaign for seriously ill staff

In April 2016, learning that an employee suffered from malignant tumour made her and her family in great financial difficulties because of the high surgical treatment costs, the Company's party committee and Labour Union paid great attention and jointly initiated the "Love Donation Campaign", calling on all employees to express their love for and offer their help to the employee. In the following week, officers and employees at all levels in the Headquarter and 43 branches and subsidiaries throughout the country lent a helping hand and participated in the donation campaign, finally raising a donation totalling more than RMB94,000. Jia Guorong, the chairman of the Labour Union, and others went to the hospital to visit the employee, and expressed condolences from colleagues across the Company.

(2) Providing subsidies for needy staff

In order to conscientiously act in the spirit of the provincial Labour Union Federation's documents and give full play to the unique role of enterprise labour union in helping services work, the Labour Union carried out the love activity of giving warmth themed "Labour Union Always Standing by: Giving Attentive Warmth", to properly perform the condoling and helping work for needy staff. In early 2016, the Labour Union provided subsidies for 9 needy staff from the Headquarter and various branches, and in the helping ceremony during the annual meeting of the Company, Zhou Jianqiu, our general manager, Zhao Weixiong, our executive deputy general manager and Jia Guorong, chairman of the Labour Union in person granted consolation money and presented gifts for employees under help. At the same time, with efforts of the Company, 2 needy staff received financial support from the provincial Labour Union Federation. During the early Spring Festival, accompanied by the Company's party committee and labour union leaders, Li Jiexiang, chairman of labour union of Jiangsu SOHO Holdings Group Co., Ltd. ("Holdings Group" or "SOHO"), visited the Company and condoled with needy staff representatives in person.

(1) 重病職工組織募捐活動

2016年4月，當得知某名員工，身患惡性腫瘤，高額的手術治療費給她個人和家庭帶來了極大的經濟困難時，公司黨委、工會高度重視，共同發出「愛心捐款活動」的倡議，號召全體員工為該名員工獻上愛心，提供幫助。在隨後一週的時間里，公司總部、分佈在全國各地的43家營業部以及子公司的幹部職工紛紛伸出援助之手，參與募捐活動，最終籌集愛心款項人民幣94,000餘元。工會主席賈國榮一行前往醫院看望住院員工，並帶去了來自全公司同事的慰問。

(2) 向困難職工發放補貼

為認真貫徹落實省總工會文件精神，充分發揮企業工會在幫扶服務工作方面的獨特作用，公司工會開展了「工會常伴·貼心送暖」為主題的送溫暖關愛行動，做好困難職工慰問幫扶工作。2016年初，工會向來自總部和各營業部的9名困難職工發放補助，在公司年會期間的幫扶儀式上，總經理周劍秋、常務副總趙偉雄、工會主席賈國榮等親自向被幫扶員工發放慰問金並贈送慰問品。同時，在公司的爭取下，其中的2名困難職工會還獲得省總工會的幫扶。春節前期，在公司黨委、工會領導的陪同下，江蘇省蘇豪控股集團有限公司（「控股集團」或「蘇豪」）工會主席李結祥親臨公司慰問困難職工代表。

VII. Promote Staff Growth

第七章、促進員工成長

(3) Caring for physical and mental health of employees

In order to further promote the laws and regulations including the Occupational Disease Prevention Measures, the Management Measures on Heatstroke Prevention (《防暑降溫措施管理辦法》), in July 2016, the Labour Union purchased two sets of books, including the Employees Safety Knowledge Brochure (《員工安全常識手冊》) and the Special Provisions on the Labour Protection for Female Workers (《女職工勞動保護特別規定》) for the employees in accordance with the document requirements of the Notice on the Implementation of 2016 Summer Well-being “Three Gives” Campaign (Su Gong Sheng Qi Wei [2016] No. 31) (《關於開展2016年度夏季安康「三送」活動的通知》(蘇工省企委[2016]31號)) by Jiangsu Provincial Enterprise Union. With significant practical value, such books could contribute to popularizing legal knowledge with respect to labour protection and safe production, improving employees’ awareness and capability of protecting their own safety and health rights and interests in accordance with laws, thus widely welcomed and acclaimed by the employees. The Labour Union also organized periodic physical examinations for the employees annually, and after the employees got the medical reports, the Labour Union would invite specialists to the Company to give thematic lectures on issues related to the physical examinations to provide professional consultation and service for the employees. In December 2016, the Labour Union organized employees to actively participate in the free Chinese medical consultation campaign by the Holdings Group, in which provincial Chinese medical specialists provided interrogation and counselling for employees, providing a platform for employees to know about their health and reflecting the care and love of the Company for employees.

(3) 關注員工身心健康

為進一步宣傳《職業病防治法》、《防暑降溫措施管理辦法》等法律法規，根據江蘇省屬企業工會《關於開展2016年度夏季安康「三送」活動的通知》(蘇工省企委[2016]31號)的文件要求，工會於2016年7月為員工採購《員工安全常識手冊》、《女職工勞動保護特別規定》等兩套書籍。這批書籍具有較強的實用價值，有助於普及勞動保護、安全生產方面的法律知識，提高職工依法維護自身安全與健康權益的意識和能力，受到廣大員工的歡迎和好評。每年定期組織員工體檢，並在員工拿到體檢報告後，組織專家來公司針對體檢相關事項進行專題講座，為員工提供專業諮詢和服務。2016年12月，工會組織員工積極參與控股集團中醫義診活動，在活動中，由省內中醫專家為職工尋脈問診、答疑解惑，為大家了解自身健康提供了平台，體現了公司對員工的關心關愛。

VII. Promote Staff Growth

第七章、促進員工成長

(4) Providing refreshing drink and festival gifts for employees

In the summer of 2016, facing unusually high temperatures, the Labour Union purchased refreshing drink for employees at the Headquarter to refresh and relieve summer heat. At the same time, the Labour Union continued the tradition in previous years, preparing gifts for all employees when the Spring Festival, the Dragon Boat Festival and other traditional festivals come, and gifts for the employees in 43 branches in cities throughout the country were delivered in place by logistics, making employees in branches feel intimate care from the Headquarter; during the Children's Day, the Labour Union provided festival subsidies for relevant employees.

(5) Conducting "Delivering Coolness" activity in branches

As the branch network of the Company covers the whole country and in order to let the staff in the branches feel the warmth from the Headquarter family, leading members of the Company went to branches in all regions to deliver coolness, safety and laws ("Three Delivering" Activity) in hot summer. This activity delivered the regards from the Headquarter to every staff in the branches while bringing true voices of the grassroots to the Headquarter, which is beneficial to win the heart and develop together.

(4) 向員工發放清涼飲品和過節慰問品

2016年夏天，面對連日高溫，工會為總部員工採購了清涼飲品，以供大家在炎炎夏日進行消暑，提神振氣。同時，工會繼續延續往年傳統，在春節、端午節等傳統節日來臨之際，為全體員工發放節日慰問品，全國43個城市營業部的慰問品也通過物流全部發放到位，讓營業部員工感受到來自總部的貼心關懷；「六一」節期間，工會將節日補貼發放給相關員工。

(5) 開展營業部送清涼活動

公司營業網點遍及全國，為讓營業部員工感受到總部大家庭的溫暖，炎炎夏日，公司班子成員奔赴各地的營業部，開展送清涼、送安全、送法律「三送」活動，將總部的問候傳遞給營業部的每一名員工，也將基層一線的心聲帶回總部，為聚集人心、聚力發展起到了有力的促進作用。

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In terms of other work areas, the Labour Union continues to develop in a traditional, solid and steady way. For example, the staffs were granted condolence allowances and subsidies when they get married, bear a baby, get ill and in other special periods; the Company convened the Labour Union meetings and the Labour Union liaison meetings periodically to implement specific work of the Labour Union, etc.

3. Establishing activity-oriented Labour Union

Since 2016, in order to alleviate the pressure of staff work, enhance the friendship of colleagues and achieve the effect of combination of work and rest, the Labour Union has organized a number of large-scale staff cultural and sports activities to promote the cohesion of entrepreneurial spirit.

(1) Organizing teams to participate in the First Staff Games of the Holdings Group

On 29 May 2016, under the organization of the Labour Union, nearly 200 people, led by the party secretary and general manager, Zhou Jianqiu, and other members of the leadership team, participated in the First Staff Games held by Holdings Group in Hohai University, and won the first prize in group category and the best organization prize. During the games, many scenes were commendable, such as in the opening of the square formation, Holly Futures showed its spirits of struggling and courage to open up to SOHO Family (蘇豪大家庭) through neat pace, high spirits, and magnificent momentum; cheer aerobics performance organized by Holly

在其他工作方面，工會延續一貫傳統，紮實穩步推進。比如：在員工婚嫁嫁娶、生育、生病等特殊時期發放慰問津貼和補助；定期召開工會會議、工會聯絡人會議，將工會各項具體工作落到實處，等等。

3. 創建活動型工會

為了緩解員工工作壓力，增進同事友誼，同時達到勞逸結合的效果，2016年以來，工會組織舉辦了多項大型職工文體活動，促進了企業精神的凝聚。

(1) 組隊參加控股集團首屆職工運動會

2016年5月29日，在工會的組織下，公司近200人在黨委書記、總經理周劍秋及其他領導班子成員的帶領下，參加控股集團於河海大學舉辦的第一屆職工運動會，並榮獲團體第一名和最佳組織獎。運動會期間的很多場景都可圈可點：開場的走方陣比賽中，弘業期貨以整齊的步伐、昂揚的精神、恢弘的氣勢，向蘇豪大家庭展示了弘業期貨人奮力拼搏、勇於開拓的精神風貌；由弘業期貨組織的啦啦操表演向大家展示了一曲青春的讚歌，舞出了青春的活



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Futures was like a song of youth, showing the vitality and enthusiasm of youth; in the official competition, the Company's athletes fully developed the sportsmanship, worked hard and bravely fought for the first prize; in particular, in the early training, though many athletes hurt their muscles because of training, they insisted in participating in the games with inspirations of not surrendering and no giving up and achieved good results. In the preparatory process of the early stage of the games which lasted more than one month, the labour union set up a sport committee and the various special working groups with a clear division of work, full cooperation and good organization and coordination, which made a certain contribution to the Company's winning the championship in the games finally.

(2) Organizing the "Beauties in Holly Futures Walking" activity

On 11 March 2016, in order to celebrate the 106th "International Women's Day", the Labour Union organized female workers carrying out the activity of visiting plum blossom with the theme of "Beauties in Holly Futures Walking" in the Plum Blossom Mountain Scenic Spot in Nanjing, China, and took the photos with plum blossom. Through the activity, the workers not only pleased themselves spiritually and physically, but also enhanced the unity and friendship. After visiting the plum blossom, the Labour Union held "Beauty Walking" network selection activity through Holly Futures' official WeChat platform, with 10 photos which entered the final competition voted by 2,270 people in total. The activity showed the graceful style of Holly Futures' female workers; meanwhile, it promoted the Holly Futures' vibrant image.

力和熱情；正式比賽中，公司運動員們都充分發揚運動精神，奮力拼搏、勇爭第一；尤其是，在前期的訓練中，不少運動員由於訓練而拉傷了肌肉，但他們不服輸、不放棄的精神激勵著他們帶傷上場，取得了不錯的成績。而在運動會前期長達1個多月的籌備過程中，工會專門成立了運動會委員會和各個專項工作小組，分工明確，全力配合，充分發揮組織協調作用，為公司最終在運動會中攬冠做出了一定貢獻。

(2) 組織「弘業期貨麗人行」活動

2016年3月11日，為慶祝第106個「三八國際勞動婦女節」，工會組織女職工在中國南京梅花山風景區開展了「弘業期貨麗人行」主題賞梅活動，並留下賞梅照片。通過活動，大家既愉悅了身心，又增進了團結和友誼。賞梅結束後，工會還利用弘業期貨官方微信平台，舉辦「麗人行」網絡評選活動，共有2,270人為進入決賽的10張照片投票。通過活動，展示了弘業期貨女職工們的綽約風采，同時也宣傳了富有朝氣的弘業期貨形象。



VII. Promote Staff Growth

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(3) Organizing a walk around the lake in spring

In order to advocate healthy lifestyle and to encourage the staff to have a touch with nature, the Labour Union organized an activity named “a walk around the lake in spring” on 5 March 2016. Under the leadership of Jia Guorong, chairman of the Labour Union, over 50 employees from the Headquarter took part in the event. Through the walking-around-lake activity, many employees relaxed their bodies and minds and had a workout, and the cohesion and centripetal force of the Company were boosted, so everybody gave the activity a thumb up.

(3) 組織春季環湖走活動

為倡導健康生活方式，鼓勵大家親近自然，工會於2016年3月5日組織員工開展「春季環湖健身走」的活動。在工會主席賈國榮的帶領下，公司總部50多名員工參加此次活動。環湖活動的開展，不但可以讓廣大員工舒展身心，鍛煉身體，而且也增強了公司的凝聚力、向心力，得到了大家的一致好評。



(4) Organizing a walk around the lake for “315 Promotion Day of Investor Protection”

On 12 March 2016, to answer the appeal of the Jiangsu Securities Bureau, the Labour Union organized the staff to participate the theme activity of “315 Promotion Day of Investor Protection”. Under the leadership of Ding Jiunian, the deputy general manager, nearly 30 employees from the Headquarter propagated information related to investor protection in form of “a walk around the lake”.

(4) 組織「315投資者保護宣傳日」環湖走活動

2016年3月12日，工會積極響應江蘇省證監局號召，組織員工參加「315投資者保護宣傳日」專題活動，在副總經理丁久年帶領下，總部近30名員工通過「環湖走」的形式宣傳投資者權益保護等相關內容。

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(5) Participating in the women workers square dance contest for provincial enterprises

To advance the building of corporate culture and staff culture, improve the health of women workers, and enrich the amateur cultural life of women workers, in July 2016, the Holdings Group set up a team to take part in the Women Workers Square Dance Contest for Provincial Enterprises. As an important subsidiary of Holdings Group, the Labour Union actively engaged itself in and took the lead in arranging this activity, and demonstrated the Company's function as a good example in the Holdings Group and its spirit to shoulder responsibility once again.

(6) Participating in the "Tiger Swallowtail Butterfly" welfare event

On 21 August 2016, a volunteer team of 23 employees from the Headquarter, led by the Labour Union, gathered at the foot of Purple Mountain to attend the "Tiger Swallowtail Butterfly" welfare event which was organized by Jinling Evening News. With the theme of "Picking up each garbage, enabling Purple Mountain to breathe freely", within more than one hour in this activity, volunteers cleaned up all garbage that they saw along the way, which created a better environment of Purple Mountain. The activity also provided education within entertainment and promoted environmental idea to the society, which showed high environmental awareness and social responsibility of Holly Futures again.

(5) 參加省部屬企業女職工廣場舞比賽

為促進企業文化和職工文化建設，提高女職工健康水平，豐富女職工業餘文化生活，2016年7月份，控股集團組隊參加了省部屬企業女職工廣場舞比賽。作為控股集團重要子公司，工會積極參加並牽頭組織該項活動，再次體現了公司在控股集團內的表率作用和擔當精神。

(6) 參加「虎鳳蝶」公益活動

2016年8月21日，工會帶領由總部23名員工組成的志願者隊伍在紫金山腳下集合，共同參加由《金陵晚報》組織舉辦的「虎鳳蝶」公益活動。活動以「撿起每片垃圾，讓紫金山暢快呼吸」為主題，在一個多小時的活動時間里，志願者們將沿途所看到的垃圾清掃一空，使紫金山的環境更加優美。活動也在寓教於樂中，向社會宣傳了環保理念，再次展示了弘業期貨人高度的環保意識和社會責任感。



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(7) Organizing climbing purple mountain activity

On 12 November 2016, namely the 150th anniversary of Dr. Sun Yat-sen's birth, the Labour Union held climbing activity in Dr. Sun Yat-sen's Mausoleum Scenic Area in memory of Dr. Sun Yat-sen. Nearly 80 employees from Headquarter participated in this activity. After this activity, they said they would learn and inherit the precious spirit of Mr. Sun Yat-sen and strive for the great rejuvenation of the Chinese nation based on the actual situation of their own positions.

(8) Organizing and participating in theme essay contest

In 2016, the Labour Union actively aroused a great number of employees to participate in the essay selecting activity with the theme of "Chinese dream, beauty of labour and happy road – I contribute to the development of 'thirteenth five-year'" organized and held by the Holdings Group, and there are 14 employees of the Company in total submitted their essays. After the selection at different levels, the articles submitted by the Company's employees were fully appreciated by judging panel, among which, Zhang Xingxin's article was awarded with the second prize and published in Labour Newspaper of Jiangsu Province; Wu Lihui's article was awarded with the third prize and Xu Xu's article was awarded with consolation prize.

(9) Forming a team to participate in various sporting events

In 2016, a representative team consisting of five employees organized by the Labour Union participated in the badminton game of the financial system in Jiangsu Province, which was organized and held by Jiangsu Financial Association and won the "Excellent Organization Award". In addition, the Company also sent four members representing the Holdings Group to participate in table tennis game of provincial enterprises in this year. In respect of the recreational activity between the Company's Yixing Branch and industry customers, the Labour Union provided a vigorous support, organized and held a table tennis game. A team, led by Zhou Jianqiu, general manager went to Yixing to participate in the activity and support the work of the branch.

At the same time, the Labour Union continued to give out a park annual card to each employee to provide convenience for employees to participate in outdoor activities and appreciate beautiful lakes and mountains. At the same time, the Labour Union continued to support the activities of the badminton club and basketball club every week and encouraged employees to relax themselves and build fitness after work. The new recruits could also integrate themselves into the Company's atmosphere more rapidly through these relaxing and healthy activities.

(7) 組織紫金山登山活動

2016年11月12日，孫中山先生誕辰150週年紀念日，工會在中山陵風景區舉辦登高活動，深情緬懷孫中山先生，總部近80名員工參加本次活動。通過活動，大家紛紛表示，要學習和繼承中山先生的寶貴精神，立足自身崗位實際，為中華民族的偉大復興而努力奮鬥。

(8) 組織參加主題徵文比賽

2016年，工會積極動員廣大員工參加由控股集團組織舉辦的「中國夢·勞動美·幸福路——我為〈十三五〉發展做貢獻」主題徵文評選活動，公司共有14名員工參與投稿。經層層評選，公司員工提交的徵文稿件得到評委會充分認可，其中：張幸欣作品獲二等獎，並在《江蘇工人報》上刊登；吳麗慧作品獲三等獎，徐旭作品獲鼓勵獎。

(9) 組隊參加各類體育賽事

2016年，江蘇省金融業聯合會組織舉辦全省金融系統的羽毛球比賽，工會組織由5名員工組成的代表隊參加比賽，並獲得「優秀組織獎」。此外，公司今年還派出4名隊員代表控股集團，參加了省部屬企業乒乓球比賽。在公司宜興營業部與產業客戶聯誼活動中，工會給予大力支持，組織舉辦了一場乒乓球比賽，並由總經理周劍秋率隊奔赴宜興參與活動，支持營業部工作。

同時，工會繼續給每位員工發放公園年卡，為員工參與戶外活動，領略湖光山色提供便利；同時，工會繼續支持每週羽毛球俱樂部，籃球俱樂部活動的開展，鼓勵大家在工作之餘放鬆身心，強身健體，新入職員工也可以通過這一輕鬆健康的活動，更快的融入公司氛圍。

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Based on the team size of each branch, the Labour Union continued to provide special activity funds for all branches. Once the application by the branches was reviewed and approved, they can obtain relevant funds to organize employees of the department and conduct a great variety of collective activities in local. During the Reporting Period, under the support of the Labour Union, each branch held distinctive collective activities, including employees outward trainings organized by Zhangjiagang Branch, Kunshan Branch, Wuhu Branch, Jiangyin Branch and other branches, race walkings organized by Suzhou Branch, badminton games organized by Suqian Branch, Yancheng Branch, Nanning Branch and other branches and fishing activities organized by Zhenjiang Branch. Each branch further improved the communication and cooperation among employees of each department and sense of belonging to the team through a great variety of cultural and sporting activities.

根據不同營業部的團隊規模，工會繼續為所有營業部提供專門的活動經費。一旦營業部提出申請並經審核通過，即可獲得相關經費支持，以組織本部員工在當地開展形式豐富的集體活動。本報告期內，在工會的支持下，各營業部紛紛舉辦了各具特色的集體活動，包括：張家港、昆山、蕪湖、江陰等營業部組織員工拓展訓練，蘇州營業部組織徒步競走，宿遷、鹽城、南寧等營業部組織羽毛球比賽，鎮江營業部組織釣魚活動。各營業部通過形式多樣的文體活動，進一步加強部門員工間的溝通和協作，提升了大家的團隊歸屬感。

Classification Statistics of the Number and Turnover Rate of Staff of the Group

本集團員工人數及流失率分類統計表

Classification 分類	Number of Staff as of 31 December 2016 截至2016年12月31日 員工人數 (人)	Turnover Rate During the Reporting Period 本報告期內流失率
Total number of staff 僱傭人總數 (人)	699	13.60%
By gender 按性別劃分		
Total number of male staff 男員工總數	429	8.41%
Total number of female staff 女員工總數	270	5.19%
By age 按年齡劃分		
Under the age of 30 30歲以下	357	6.55%
At the age of 31-40 31歲－40歲	260	6.18%
At the age of 41-50 41歲－50歲	71	0.87%
At the age of 51-59 51歲－59歲	11	—
Above the age of 60 60歲以上	—	—

For staff that violate the Company's rules and regulations, the Company has established a set of procedures to terminate their employment contracts. Terms and conditions of employment termination have been outlined in the Employee Handbook of the Company. In any cases, the management personnel will consult the Human Resources Department to ensure compliance with regulations of applicable laws.

就違反公司規章制度的員工，公司已建立一套終止其僱傭合同的程序。解僱的條款及條件已於《公司員工手冊》中概述。於所有情況下，管理人員會諮詢人力資源部，以確保遵守適用的法律規定。

VIII. Green Environmental Protection and Energy Conservation and Emission Reduction

第八章、綠色環保，節能減排

During the Reporting Period, the Company adhered to integrating the ideas of sustainable development and green environmental protection into the Company's development strategies, actively advocated all staff's practices of green development concept and advocated development of circular economy and improvement of resource utilization efficiency. The Group strictly abides by Environmental Protection Law of the PRC. During the Reporting Period, the Group didn't have any environmental pollution incidents or non-compliance events or lawsuits related to environmental protection.

As a non-manufacturing enterprise, the main influences on environment in the process of daily operation of the Company are consumption of paper, electricity and water, automobile exhaust emission, HFCs and perfluorocarbon discharged by air conditioners, etc. The Company adheres to the principle of low carbon and emission reduction as well as energy conservation and environmental protection in the management of its businesses.

In terms of paper reduction, the Company advocates employees to use e-mail instead of paper as much as possible. Use the paper on both sides when copying and printing. Paper with one side used can be used for photocopying or cut into notes or draft paper. According to different needs, all files try to use small font to save paper. Use recycled paper for documents, business cards and printed materials as much as possible. The Company encourages employees to bring their own cups, reducing the use of disposable paper cups. In November 2015, the Company fully promoted the paperless project, introduced OA management system and made an electronic office process to reduce operating costs, improve the unified management capabilities of Headquarter and save the printing and use of a large number of office documents. In 2016, the Company generated a total of 44,074 office documents, saving approximately 120,000 sheets of A4 paper. Based on 70 grams per copy paper, the papers saved weighed 0.52 tons.

於本報告期內，公司堅持把可持續發展及綠色環保理念融入到公司發展戰略中，積極倡導全員踐行綠色發展理念，倡導發展循環經濟，提高資源利用效率。本集團嚴格遵守《中華人民共和國環境保護法》。於本報告期內，本集團未發生任何環境污染事件，未發生涉及環保的不合規事件及訴訟事件。

公司作為非製造類企業，在日常運營過程中對環境的主要影響為耗紙、耗電、耗水、汽車尾氣、因空調使用而排放的氫氟碳化物及全氟化碳等。本公司管理自身業務時奉行低碳減排，節能環保的原則。

節約用紙方面。公司提倡員工盡量使用電子郵件代替紙張。複印打印時雙面使用紙張。單面使用後的紙張可再利用空白面影印或裁剪為便條紙或草稿紙。根據不同需要，所有文件盡量使用小號字體以節約用紙。公文用紙、名片、印刷物等盡可能使用再生紙。公司鼓勵員工自帶水杯，節約一次性紙杯的使用。2015年11月，公司全面推廣無紙化項目，上線OA管理系統，使辦公流程電子化，降低運營成本，提高總部統一管理能力，節省大量辦公文件的印刷和使用。2016年，公司共生成辦公文文件44,074份，節省了約A4紙12萬張。以70克複印紙計，節省的紙張重達0.52噸。

VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 第八章、綠色環保，節能減排

In terms of electricity and water conservation, the Company will inform all staff by email to turn off all electricity consuming equipment (except those essentially operating machines in Technology Department) such as computers, printers, air conditioners and lighting lamps and so on before holidays. The Company promotes vigorously the use of energy saving lamps and incandescent lamps in the offices are all replaced by energy saving lamps. The Company prohibits the staff to use high-power electricity consuming equipment. The Company also suggests that the staff should not set the temperature of air conditioners to the lowest in summer (26°C should be proper) and the highest in winter (20°C should be proper). The Company encourages the staff to set their display brightness of computers at an appropriate level to save electricity and protect their eyesight. The Company has networked the printers to share one printer in one office in order to reduce idle equipment and save electricity. In addition, the Company has pasted slogans in pantry area and restrooms to urge all staff to save water and electricity.

In terms of use of the Company's vehicles, the Company has formulated specific use policies regarding the Company's vehicles to strictly control the private use of the Company's vehicles. During holidays, all of the Company's vehicles will be sealed and stored and the non-local branch should keep relevant storage certificate of the Company's vehicles. The Company also encourages the staff to use transportation means like bus and bicycle when going out for work or on a business trip.

In terms of use of air conditioners, an important standard of the Company in procurement is whether the air conditioner is environmental friendly. As of December 31, 2016, the Group had 27 air conditioners in use, all of which were energy-saving.

節約用電、用水方面。節假日前，公司以郵件形式通知所有員工，除技術部必備運行機器外，關閉電腦、打印機、空調、照明燈等耗電設備。公司大力推廣節能燈的使用，辦公場所全部使用節能燈代替白熾燈。公司禁止員工使用大功率耗電設備。公司建議員工使用空調時夏天不將溫度調到最低，26度為宜；冬天不將溫度調到最高，20度為宜。公司提倡員工將電腦顯示器亮度調整到一個合適的值，以節約用電，保護視力。公司將打印機聯網，同一個辦公室內共用一台打印機，以減少設備閒置節約電力。公司在茶水間、洗手間張貼宣傳語，請所有員工節約用水、用電。

公車使用方面。公司制定明確的公車使用政策，嚴格控制公車私用行為。節假日期間，公司公車全部封存，異地營業部需留存相關公車封存證明資料。公司鼓勵員工外出辦事及出差使用公交車、自行車等交通工具。

空調使用方面。公司採購時，空調是否環保是公司選擇的一項重要標準。截至2016年12月31日，本集團在使用空調共27台，全部為節能空調。

IX. Public Welfare Undertakings and Social Service

第九章、公益事業與社會服務

In order to implement the Decision of the State Council on Winning the Fight against Poverty (《中共中央國務院關於打贏脫貧攻堅戰的決定》) and Opinions of the CSRC on the Capital Market Playing its Role in Serving for the National Strategy of Poverty Alleviation (《中國證監會關於發揮資本市場作用服務國家脫貧攻堅戰略的意見》) and actively respond to the Initiative on Futures Industry Servicing National Poverty Alleviation Strategic Action (《期貨行業服務國家脫貧攻堅戰略行動倡議書》), Zhou Jianqiu, the secretary of the party committee and general manager of Holly Futures, comprehensively planned the overall poverty alleviation work, requiring that all members of the Company should strengthen their consciousness in assuming responsibility, pay high attention to ideology and take winning the fight against poverty alleviation as the lofty political responsibility of the Company to achieve poverty alleviation in targeted areas and through specific projects. Through years of experience in social welfare undertakings, Holly Futures has summarized a series of practicable methods of poverty alleviation, such as poverty alleviation through education, employment and specific projects.

(I) Provide student subsidies and boost education, relieve poverty and help the poor

Taking “providing student subsidies and boosting education, relieving poverty and helping the poor” as the main line, Holly Futures has insisted on carrying out a series of social welfare activities and it is the practitioner of poverty alleviation and helping the poor. For years, Holly Futures has persisted in helping the children in poor areas receive education. It considers that “give a man a fish, you feed him for a day and teach a man to fish, you feed him for a lifetime”, so it’s more effective to recover their wealth-creating mechanism and to get rid of poverty and become better off ultimately by themselves than to just provide support to them.

為貫徹落實《中共中央國務院關於打贏脫貧攻堅戰的決定》和《中國證監會關於發揮資本市場作用服務國家脫貧攻堅戰略的意見》、積極響應《期貨行業服務國家脫貧攻堅戰略行動倡議書》，弘業期貨黨委書記、總經理周劍秋對公司整體扶貧工作進行了全面部署，要求公司上下強化責任擔當意識，在思想認識層面予以高度重視，實現精準扶貧和專業扶貧，把打贏脫貧攻堅戰作為公司崇高的政治責任。經過多年投入社會公益事業的經驗，弘業期貨總結出一系列切實可行的扶貧方法，如教育扶貧、就業扶貧、專業扶貧。

(一) 助學興教、扶貧濟困

弘業期貨素來堅持以助學興教、扶貧濟困為主線開展系列社會公益活動，是扶貧助困工作的踐行者。多年來弘業期貨堅持幫助貧困地區的兒童接受教育。弘業期貨認為，授人以魚不如授人以漁，不僅要給貧困地區輸血，更要讓他們恢復造血機制，最終依靠自身力量脫貧致富。

IX. Public Welfare Undertakings and Social Service 第九章、公益事業與社會服務

On 26 August 2016, the forum of and grants issue ceremony for aid-receiving freshmen from the “Spring Buds Project Class of Holly Futures” was held in Guannan High School at Lianyungang, Jiangsu Province. The funds of RMB54,000 donated in this activity were mainly used to help the Spring Buds students solve the problem in financial difficulty and help them enroll in colleges successfully. “Spring Buds Project Class of Holly Futures” was founded in September 2013. In the past three years, Holly Futures has totally donated RMB0.12 million to 30 underprivileged students from Spring Buds Project Class, which helped them complete the three years of high school education successfully. The donation activities of Holly Futures has opened up a door of determination for success and set up a road of hard working for those outstanding underprivileged students, and promoted the traditional virtues of poverty alleviation and solidarity and mutual assistance. Guannan Government of Jiangsu Province expressed its heartfelt gratitude to Holly Futures for its continuing contributions to society, and long-term caring about the development of education and underprivileged students. The relevant leaders of Municipal Women’s Federation and County Women’s Federation of Lianyungang City presented a pennant to the Company.

In 2016, the Company called on all employees to donate books and toys to underprivileged children from Heping Village, Tuhe Town, Guanyun County, Jiangsu Province for many times for the purpose of creating a colourful childhood with spiritual food for children.

2016年8月26日，「弘業期貨春蕾班」受助大學新生座談會暨助學金發放儀式在江蘇省連雲港市灌南高級中學舉行。本次活動所捐贈出的人民幣54,000元愛心善款，主要用於幫助春蕾學子解決大學入學困難，使他們順利走進大學校門。「弘業期貨春蕾班」創辦於2013年9月，在過去三年間，弘業期貨公司累計為春蕾班30名貧困學子提供了人民幣12萬元的助學款，幫助他們順利完成了三年高中教育。弘業期貨的捐助行動，為優秀的寒門學子開啟了立志成才之門、鋪設了奮發圖強之路，弘揚了扶貧濟困、團結互助的傳統美德。江蘇省灌南縣政府對弘業期貨始終不忘回報社會，長期以來心繫教育事業發展，情系寒門學子表示衷心的感謝。連雲港市市婦聯和縣婦聯相關領導向公司贈送了錦旗。

2016年，公司數次號召全體員工向江蘇省灌雲縣圖河鎮和平村的貧困兒童捐助圖書和玩具，此舉旨在用精神食糧為孩子們營造五彩斑斕的童年。



IX. Public Welfare Undertakings and Social Service

第九章、公益事業與社會服務

(II) Care about the remote areas and provide job opportunities for poverty alleviation

In 2016, in order to help students in the remote areas successfully get employed, the Company provided job opportunities for local graduates from universities and recruited them successfully.

(III) Execute innovation and professional poverty alleviation

Professional poverty alleviation is a kind of special poverty alleviation insisted by Holly Futures for a long term. It is common to implement hedging successfully by using professional instruments for enterprises in poverty areas. Holly Futures made full use of the advantages of futures industry in hedging, cooperative hedging and warehouse receipts business to carry on professional support and assistance, establish a long-term and effective mechanism for poverty alleviation and set up a positive image in the industry. Meanwhile, after launching agricultural commodity options on futures market, the Company has entered into an agreement with Guannan government of Jiangsu Province to provide special insurance business of corn “futures + insurance” for local farmers.

On 23 August 2016, Holly Futures implemented corn “futures + insurance” innovation project and launched agriculture benefit services in Guannan County, Jiangsu Province, to help prevent farmers from the misfortune of “hard produce but poor harvest”. Providing services for real economy and dedicating to exploring new models for agricultural products price risk management has always been the target of Holly Futures. Holly Futures combines the field of risk management in which it does well with poverty alleviation, providing a broader development room for the future market to service “agriculture, rural areas and farmers”. Promotion of integrated innovation of “futures + insurance” contributes to enhancing the efforts and strength of services to “agriculture, rural areas and farmers” by financial market, realizing the point-to-point connection between financial market and farmers, thus it is of positive significance in safeguarding revenue of farmers and promoting the agricultural and rural development.

(二) 心繫偏遠、就業扶貧

2016年，為幫助偏遠地區學生順利就業，公司為當地生源的高校畢業生提供就業崗位，並成功錄用。

(三) 實踐創新、專業扶貧

專業扶貧是弘業期貨長期堅持的特色扶貧，用專業工具為貧困地區企業成功實行套期保值的案例屢見不鮮。弘業期貨充分利用期貨行業在套期保值、合作套保、倉單業務方面的優勢，開展專業幫扶，建立扶貧的長效機制，樹立行業正面形象。同時，在期貨市場推出農產品期權後，公司與江蘇省灌南縣政府達成協議，為當地農民提供玉米「期貨+保險」特色保障業務。

2016年8月23日，弘業期貨在江蘇省灌南縣實施玉米「期貨+保險」創新項目啟動惠農服務，幫助農民免遭「豐產不豐收」的厄運。服務實體經濟、致力於探索農產品價格風險管理的新模式，一直是弘業期貨的宗旨，弘業期貨將自己所擅長的風險管理領域和扶貧助困結合在一起，為期貨市場服務「三農」提供了更大的發展空間。推動「期貨+保險」的融合創新，有助於提升金融市場對「三農」的服務力度和強度，使金融市場和農民實現點對點對接，在保障農民收入、促進農業農村發展方面具有積極意義。

IX. Public Welfare Undertakings and Social Service 第九章、公益事業與社會服務

(IV) Enthusiastic about public welfare undertakings with long history and wide range

Apart from poverty alleviation through education, employment and specific projects, Holly Futures, the only enterprise being awarded as “National Civilized Unit” in the national futures industry, also actively participated in public welfare undertakings in other forms, including participating in the “pair-up urban areas with villages for civilized construction” activities throughout the province, helping the economically disadvantaged villages and towns in the province and making a pair with Matou Town, Huaiyin District, Huai’an City for poverty alleviation; deeply developing “Charity Day Donation”, “Love Piggy Bank, Heritage Good Family Trait” and other public welfare undertakings; calling upon employees to actively donate after the rainstorm disaster in Funing county and Sheyang county, Yancheng City, promoting the national traditional virtues of “Support comes from all sides when disaster strikes” national traditional virtues. In recent years, the cumulative donation reached nearly RMB2 million. In 2015, more than 100 employees passionately participated in the voluntary blood donations organized by the Company. Under the call of the Headquarter, branches also actively performed social responsibility, including that Yixing Branch formed flood wrecking teams to fully support the local flood prevention and relief work after consecutive rainstorms in Eastern China; Hangzhou Branch organized employees to take to the street and condole the sanitation workers who were working hard in scorching summer days; Yancheng Branch went to the nursing homes to visit the elderly; each branch proactively paid disability insurance annually to support the local government to settle of the disabled. In addition, Holly Futures also actively fulfilled the enterprise taxation obligation, ranking the forefront in the local. Holly Futures has been awarded as an Outstanding Contribution Enterprise in the local for more than a decade.

(四) 熱心公益事業歷史悠久、範圍廣闊

除教育扶貧、就業扶貧以及專業扶貧外，作為全國期貨行業唯一被授予「全國文明單位」的企業，弘業期貨還積極參與其他形式的公益事業，包括：參與全省「城鄉結對、文明共建」活動，幫扶省內經濟落後鄉鎮，對點扶貧淮安市淮陰區碼頭鎮；深入開展「慈善一日捐」、「愛心儲蓄罐、傳承好家風」等公益活動；號召員工在鹽城阜寧、射陽暴雨災害後踴躍捐款，弘揚「一方有難、八方支援」的民族傳統美德；近年來累計對外捐贈數近人民幣200萬元；在2015年組織的義務獻血中，公司多達百餘名員工熱情參與。在總部號召下，營業部也積極履行社會責任，其中：宜興營業部在華東地區連日暴雨襲擊後，組成抗洪搶險隊全力支援地方做好防汛救災工作；杭州營業部組織員工走上街頭，慰問炎炎夏日下辛勤工作的環衛工人；鹽城營業部走進養老院看望孤寡老人；各營業部每年都主動繳納殘保金，支援地方政府做好殘疾人安頓工作等。此外，弘業期貨還積極履行企業納稅義務，納稅排名位居地方前列，連續十多年獲得所在地突出貢獻企業獎。



X. Prospects of Social Services and Awards of the Company 第十章、公司社會服務展望與獲獎情況

Holly Futures will always respond to the call of government and the CSRC, actively participate in public welfare, consider public welfare as the political and social responsibilities the Company should take on, and establish a firm concept that it is of great strategic significance to engage in public welfare undertakings and serve China for its poverty alleviation, thus marching forward on the road of poverty alleviation. Meanwhile, the Company will make innovations based on the former traditional way of poverty alleviation, and make better use of the characteristics of the futures industry to form a persistent mechanism of service work for poverty alleviation. From now on, Holly Futures will carry out professional, targeted and diversified support and assistance by using the advantages of Holly Capital, a risk management subsidiary, in hedging, corporate hedging and warehouse receipts business, with focus on improving the efficiency and continuity of poverty alleviation, to better fulfil the social responsibility, and strive to become the star enterprise on poverty alleviation.

(I) Continue to advance public welfare and poverty alleviation

The Company will take an active part in the poverty alleviation work organized by the China Futures Association. In March 2017, leading by the China Futures Association, Holly Futures and other 22 business institutions in the futures industry entered into the Memorandum of the "One Company with One Industry, Hand in Hand for a Long Term" Targeted Support and Assistance Activities (《“一司一產、長期攜手”精準幫扶活動備忘錄》) with the government of Yanchang County, Shaanxi Province, intending to provide an industry support fund of RMB16 million in total, to help Yanchang County, Shaanxi Province realize getting rid of poverty in targeted areas. The scope of the poverty alleviation and assistance covers 32 poor villages, accounting for 37.55% of the total poor villages across the county; and expecting to assist 828 poor families, including 1,900 people, accounting for 8.63% of the total poor families across the county and 9.48% of the total number of the poor people.

弘業期貨將一如既往地響應國家和證監會的號召，積極參與公益事業，把公益事業視為公司理應擔當的政治責任和社會責任，並樹立投身公益事業、服務中國脫貧攻堅戰略意義重大的牢固觀念，在扶貧道路上勇往直前。同時，在原來傳統的扶貧方式上進行創新，更好地發揮期貨行業的特點，形成服務脫貧工作的長效機制。今後，弘業期貨將利用風險管理子公司弘業資本在套期保值、合作套保、倉單業務方面的優勢，開展專業幫扶、精準幫扶，多樣化幫扶，著力提升扶貧效率性和持續性，以更好地履行社會責任，力爭成為明星扶貧企業。

(一) 繼續推進公益扶貧

積極參與中國期貨業協會組織的扶貧工作。2017年3月，經中國期貨業協會牽頭，弘業期貨及其他22家期貨行業經營機構與陝西省延長縣政府簽署了《「一司一產、長期攜手」精準幫扶活動備忘錄》，將合計向陝西省延長縣提供產業幫扶資金人民幣1,600萬元，助力陝西省延長縣實現精準脫貧。此次扶貧幫扶範圍共覆蓋貧困村32個，佔全縣貧困村總數的37.55%；擬幫扶貧困戶828戶、共計1,900人，佔全縣貧困戶總數的8.63%，貧困人口總數的9.48%。



X. Prospects of Social Services and Awards of the Company

第十章、公司社會服務展望與獲獎情況

Holly Futures entered into Memorandum of Poverty Alleviation Services with Zhenlai County, Jilin Province. In 2017, Holly Futures entered into Memorandum of Poverty Alleviation Services with Zhenlai County, Jilin Province, pursuant to which, both will focus on basic strategies of “alleviating and getting rid of poverty in targeted areas”, make efforts to promote economic and social development of Zhenlai County, and vigorously develop inclusive finance by docking financial demands accurately, so as to win the tough war for getting rid of poverty. Holly Futures has set up a working committee for alleviating poverty in targeted areas with Zhou Jianqiu (general manager of the Company) as group leader, defined the responsibility of group members and determined the target of “professionally alleviating poverty in targeted areas” for the Company. The committee integrated professionalization and modernization into poverty alleviation tradition to continue the professional poverty alleviation spirit of corn “futures + insurance” implemented in Guannan County, Jiangsu Province, and determined five measures to help strengthen the production mechanism of Zhenlai County, Jilin Province by combining new policies and new targets of futures market with creative efforts. Firstly, as Zhenlai County of Jilin Province is a county with a high yield of corn, the introduction of corn “futures + insurance” helped local farmers prevent the risks and ensured their benefits. Secondly, the Company spread the information to the countryside and held the first promotion event on 28 March 2017. In the past, farmers just blindly produced, but lacked knowledge about the market. The spread of the information to the countryside created reassuring and clear atmosphere for farmers. Thirdly, the farmers’ problem of the difficulty in selling grain was solved by making use of the advantages of prosperous economy of the eastern China where Holly Futures’ Headquarter is located, various branches of the Company and the risk management subsidiary, Holly Capital’s rich experience in spot markets. Fourthly, Holly Futures’ Northeast Sub-branch provided free trainings for the poor farmers and students and internships for students. Fifthly, the Company directly provided money and items for the families living below the poverty line and provided education funds for the students from the families living below the poverty line. Through these five measures, the Company helped Zhenlai County of Jilin Province establish mechanism of growing wealth with lasting effect, so as to win the tough war for getting rid of poverty.

弘業期貨與吉林省鎮賚縣簽訂扶貧服務備忘錄。2017年，弘業期貨與吉林省鎮賚縣簽訂扶貧服務備忘錄，雙方將緊緊圍繞「精準扶貧、精準脫貧」基本戰略，著力促進鎮賚縣經濟社會發展，精準對接金融需求，大力開展普惠金融，努力打贏脫貧攻堅戰。弘業期貨成立了以總經理周劍秋為組長的精準扶貧工作委員會，明確組員職責，確定公司「專業扶貧、精準扶貧」的方針，將公司扶貧傳統與專業化、現代化相結合，延續公司在江蘇灌南縣實施的玉米「期貨+保險」的專業扶貧精神，並結合期貨市場新政策、新方針，不斷推陳出新，確定了五大舉措幫助吉林省鎮賚縣增強造血機制，一是吉林省鎮賚縣是玉米生產大縣，開展玉米「期貨+保險」幫助當地農民防範風險，保障利益；二是送資訊下鄉，並於2017年3月28日舉行首場推介會。過去農民們只是盲目生產，卻對市場缺乏了解，信息下鄉讓農民種得放心，賣得明白；三是利用弘業期貨總部所屬東部地區經濟發達、公司營業網點多、風險管理子公司弘業資本在現貨市場上經驗豐富等優勢解決農民賣糧難的問題；四是由弘業期貨東北分公司為貧困農戶和學子提供免費培訓，為學子提供實習崗位；五是為特困戶提供直接財物幫助，為特困學子提供教育基金。力圖通過這五大舉措，幫助吉林省鎮賚縣打造長效致富機制，打贏脫貧攻堅戰。

X. Prospects of Social Services and Awards of the Company

第十章、公司社會服務展望與獲獎情況

Poverty alleviation service for Zhenlai County of Jilin Province is the new starting point of Holly Futures for professional poverty alleviation work. Taking it as an opportunity, Holly Futures will earnestly fulfil its social responsibilities as a state-owned financial enterprise in futures professional support, industrial support, talent support and education support, and carry out poverty alleviation work with dedication, responsibility and effort.

吉林省鎮賚縣扶貧服務是弘業期貨開啟專業扶貧工作的新起點，弘業期貨將以此為契機，在期貨專業幫扶、產業幫扶、人才幫扶以及教育幫扶等方面，切實履行國有金融企業的社會責任，在扶貧工作中做到「三盡」，即盡心、盡責、盡力。



(II) Continue to improve customer service quality and ensure the investor appropriateness management and protection work is performed properly

In 2017, the Company will continue to accelerate the construction of Internet finance, improve business efficiency and system performance oriented by customer experience. In respect of wealth management, the Company will adhere to market-oriented product developing mechanism oriented by customers' demands. The Company will continue to strictly deal with customer re-visits and customers' complaints in accordance with relevant requirements and establish investor education and investor protection work system, thereby closely meeting the actual demands of investors and the market.

(二) 繼續加強客戶服務水平，同時做好投資者適當性管理和投資者保護工作

2017年公司將繼續加快互聯網金融建設，以客戶體驗為方向，提升業務效率、系統性能。在財富管理方面，堅持以客戶需求為導向的市場化產品研發機制。公司將繼續按照相關要求嚴格做好客戶回訪與客戶投訴工作，建立投資者教育和投資者保護工作體系，更加貼近投資者和市場的實際需求。

X. Prospects of Social Services and Awards of the Company

第十章、公司社會服務展望與獲獎情況

(III) Advance the establishment of social responsibilities by its own development

In 2017, while contributing economic value to the society, the Company will continue to adhere to the idea of harmonious development between the Company and the society and integrate corporate social responsibility construction into the Company's development strategy, operation management and various business lines. The Company will vigorously develop green finance to reward Shareholders and stakeholders, better service the real economy, improve service quality, build a harmonious labour relation and protect the ecological resources and the environment. By innovating and making contributions to the society, the Company will promote its harmonious and common development with the society.

(三) 以自身發展推動社會責任建設

2017年，公司在為社會貢獻經濟價值的同時，將繼續堅持公司與社會和諧發展的理念，將企業的社會責任建設融入到公司發展戰略和經營管理及各業務條線中，大力發展綠色金融，以回報股東和各利益相關方，加大服務實體經濟、提升服務水平、構建和諧勞動關係、保護生態資源與環境為己任，開拓創新，奉獻社會，促進公司與社會的和諧共同成長。

(IV) Awards of the Company

(四) 公司所獲獎項

Award-winning organization 獲獎單位	Award 獲得獎項	Year of issue 獲獎年度	Awarding or granting organization 頒獎單位
The Company 公司	The Best Future Company in China 中國最佳期貨公司	2016 2016年	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Best Commodity Futures Industry Service Prize 最佳商品期貨產業服務獎	2016 2016年	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Best Assets Management Business Award 最佳資產管理業務獎	2016 2016年	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Best Capital Operation Development Award 最佳資本運營發展獎	2016 2016年	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Excellent Member 優秀會員	2016 2016年	Dalian Commodity Exchange 大連商品交易所
The Company 公司	The Excellent Member in Market Growth 市場成長優秀會員	2016 2016年	Zhengzhou Commodity Exchange 鄭州商品交易所
The Company 公司	The Excellent Customer Service Award 優秀客戶服務獎	2016 2016年	Living Trading Contest of Futures Daily 期貨日報實盤大賽
The Company 公司	The No. 1 Sports Meeting Group 運動會團體第一	2016 2016年	Jiangsu SOHO Holdings Group Co., Ltd. 江蘇省蘇豪控股集團有限公司
The Company 公司	The Best Organisation Award 最佳組織獎	2016 2016年	Jiangsu SOHO Holdings Group Co., Ltd. 江蘇省蘇豪控股集團有限公司
The Company 公司	Model Unit of Safe Finance Development 平安金融示範單位	From 2014 to 2016 2014年至2016年	The Safe Finance Development Steering Group of Nanjing City 南京市平安金融創建活動領導小組
Yixing Branch, Yangzhou Branch and Hangzhou Branch 宜興營業部、揚州營業部、杭州營業部	The Excellent Branch of Futures in China 中國期貨優秀營業部	2016 2016年	Futures Daily, Securities Times 期貨日報、證券時報
The Company's legal representative 公司法定代表人	The 2016 Futures Management Leader in China 2016中國期貨資管領軍人物	2016 2016年	Securities Times 證券時報

XI. Appendix: Indexing Table on Environmental, Social and Governance Reporting Guide of the Stock Exchange

第十一章、附：聯交所《環境、社會及管治報告指引》索引表

Aspects, General Disclosure and Key Performance Indicators 層面、一般披露及關鍵績效指標	Descriptions 描述	Disclosure chapter 披露章節
Subject Area A. Environmental		
主要範疇A.環境		
Aspect A1. Emissions		
層面A1.排放物		
General Disclosure A1	Information on:	VIII
	(a) the policies; and	八
	(b) compliance with relevant laws and regulations that have a significant impact on the issuer	
一般披露A1	relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste. 有關廢氣及溫室氣體排放、向水及土地的排污、有害及無害廢棄物的產生等的：	
	(a) 政策；及	
	(b) 遵守對發行人有重大影響的相關法律及規例的資料。	
Aspect A2. Use of Resources		
層面A2.資源使用		
General Disclosure A2	Policies on the efficient use of resources, including energy, water and other raw materials.	VIII
一般披露A2	有效使用資源（包括能源、水及其他原材料）的政策。	八
Aspect A3. The Environment and Natural Resources		
層面A3.環境及天然資源		
General Disclosure A3	Policies on minimising the issuer's significant impact on the environment and natural resources.	VIII
一般披露A3	減低發行人對環境及天然資源造成重大影響的政策	八

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Subject Area B. Social Employment and Labour Practices		
主要範疇B.社會僱傭及勞工常規		
Aspect B1. Employment		
層面B1.僱傭		
General Disclosure B1	Information on:	VII. (I)
	(a) the policies; and	VII. (II)
	(b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare.	
一般披露B1	有關薪酬及解僱、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的：	七、(一)
	(a) 政策；及	七、(二)
	(b) 遵守對發行人有重大影響的相關法律及規例的資料。	
Aspect B2. Health and Safety		
層面B2.健康與安全		
General Disclosure B2	Information on:	VII. (III)
	(a) the policies; and	VII. (IV)
	(b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards.	
一般披露B2	有關提供安全工作環境及保障僱員避免職業性危害的：	七、(二)
	(a) 政策；及	七、(四)
	(b) 遵守對發行人有重大影響的相關法律及規例的資料。	

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Aspects, General Disclosure and Key Performance Indicators 層面、一般披露及關鍵績效指標	Descriptions 描述	Disclosure chapter 披露章節
Aspect B3. Development and Training		
層面B3.發展及培訓		
General Disclosure B3	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities.	VII. (III)
一般披露B3	有關提升僱員履行工作職責的知識及技能的政策。描述培訓活動。 Note: Training refers to vocational training. It may include internal and external courses paid by the employer. 註：培訓指職業培訓，可包括由僱主付費的內外部課程。	七、(三)
Aspect B4. Labour Standards		
層面B4.勞工準則		
General Disclosure B4	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour.	VII. (I)
一般披露B4	有關防止童工或強制勞工的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	七、(一)
Subject Area B.		
Social Operating Practices		
主要範疇B.社會		
營運慣例		
Aspect B5. Supply Chain Management		
層面B5.供應鏈管理		
General Disclosure B5	Policies on managing environmental and social risks of the supply chain.	V. (VII)
一般披露B5	管理供應鏈的環境及社會風險政策。	五、(七)

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Aspects, General Disclosure and Key Performance Indicators 層面、一般披露及關鍵績效指標	Descriptions 描述	Disclosure chapter 披露章節
Aspect B6. Product Responsibility		
層面B6.產品責任		
General Disclosure B6	Information on:	V. (IV)
	(a) the policies; and	V. (VI)
	(b) compliance with relevant laws and regulations that have a significant impact on the issuer	
	relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress.	
一般披露B6	有關所提供產品和服務的健康與安全、廣告、標籤及私隱事宜以及補救方法的：	五、(四)
	(a) 政策；及	五、(六)
	(b) 遵守對發行人有重大影響的相關法律及規例的資料。	
Aspect B7. Anti-corruption		
層面B7.反貪污		
General Disclosure B7	Information on:	IV
	(a) the policies; and	
	(b) compliance with relevant laws and regulations that have a significant impact on the issuer	
	relating to bribery, extortion, fraud and money laundering.	
一般披露B7	有關防止賄賂、勒索、欺詐及洗黑錢的：	四
	(a) 政策；及	
	(b) 遵守對發行人有重大影響的相關法律及規例的資料。	
Aspect B8. Community Investment		
層面B8.社區投資		
General Disclosure B8	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests.	IX
一般披露B8	有關以社區參與來了解營運所在社區需要和確保其業務活動會考慮社區利益的政策。	九



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