



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

2017 ESG REPORT

環境、社會和管治報告



CONTENTS 目錄

I. The Report Preparation Instructions	2	第一章、本報告編製說明	2
(I) The scope of this report	2	(一) 本報告範圍	2
(II) Principles for the preparation of this report	2	(二) 本報告編製原則	2
(III) Information in this report	3	(三) 本報告數據說明	3
(IV) The form of publication of this report	3	(四) 本報告發佈形式	3
II. Company Profile and Financial Information	4	第二章、公司簡介與財務情況	4
(I) Company profile	4	(一) 公司簡介	4
(II) Financial information of the Company in 2017	5	(二) 2017 年公司財務情況	5
III. Corporate Governance	6	第三章、公司治理	6
(I) Establish and improve the governance structure	6	(一) 建立完善治理結構	6
(II) Strengthen the system process construction and disclose information properly	8	(二) 強化制度流程建設，做好信息披露工作	8
(III) Maintain investor relations and protect the rights and interests of investors	9	(三) 維護投資者關係，保障投資者權益	9
IV. Compliance and Risk Prevention	10	第四章、合規與風險防範	10
(I) Attach great importance to compliance management according to law	10	(一) 高度重視依法合規經營	10
(II) Pay attention to anti-money laundering	12	(二) 重視反洗錢工作	12
(III) Establish and improve anti-corruption mechanism	14	(三) 建立健全反貪污機制	14
(IV) Adherence to tax payment according to laws	17	(四) 堅持依法納稅	17
V. Investor Rights and Interests Protection and Supplier Management	18	第五章、投資者權益保障與供應商管理	18
(I) Improve the internet platform construction to enrich customer experience	18	(一) 完善互聯網平台建設，提高客戶體驗	18
(II) Provide diversified services for customers	19	(二) 為客戶提供多樣化服務	19
(III) Investor education work	20	(三) 投資者教育工作	20
(IV) Pay attention to customer information security and transaction network security	22	(四) 重視客戶信息安全及交易網絡安全保障工作	22
(V) Strengthen customer complaint management and improve complaint handling mechanism	23	(五) 加強客戶投訴管理，完善投訴處理機制	23
(VI) Protection of intellectual property rights	25	(六) 知識產權保護	25
(VII) Supplier management	25	(七) 供應商管理	25
VI. Promote Social and Economic Development	26	第六章、促進社會經濟發展	26
VII. Foster Staff Growth	28	第七章、促進員工成長	28
(I) Safeguard employees' rights and interests effectively	28	(一) 切實保障員工權益	28
(II) Establish a sound employees' labour welfare system	31	(二) 健全員工勞動福利制度	31
(III) Focus on employees' training and promotion	33	(三) 注重員工培訓與提升	33
(IV) Give full play to the Labour Union	34	(四) 充分發揮工會的積極作用	34
VIII. Green Environmental Protection and Energy Conservation and Emission Reduction	48	第八章、綠色環保，節能減排	48
IX. Public Welfare Undertakings and Social Service	52	第九章、公益事業與社會服務	52
(I) Provide student subsidies and boost education, relieve poverty and help the poor	52	(一) 助學興教、扶貧濟困	52
(II) Execute innovation and professional poverty alleviation	53	(二) 實踐創新、專業扶貧	53
(III) Enthusiastic about charitable events with long history and wide range	57	(三) 熱心公益事業歷史悠久、範圍廣闊	57
X. Prospects of Social Services and Awards of the Company	58	第十章、公司社會服務展望與獲獎情況	58
(I) Continue to advance public welfare and poverty alleviation	58	(一) 繼續推進公益扶貧	58
(II) Continue to improve customer service quality and ensure the investor appropriateness management and protection work is performed properly	60	(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	60
(III) Shoulder more social responsibilities along with its own development	62	(三) 以自身發展推動社會責任建設	62
(IV) Awards of the Company	62	(四) 公司所獲獎項	62
XI. Appendix: Index on Environmental, Social and Governance Reporting Guide of the Stock Exchange	64	第十一章、附：聯交所《環境、社會及管治報告指引》索引表	64

I. 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 2017 to 31 December 2017 (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 “Board”) of Holly Futures Co., Ltd. The contents of this report are explained as follows:

(I) The scope of this report

Organizational scope of this report: The major entity of this report is Holly Futures Co., Ltd., and 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.

Covering period of this report: from 1 January 2017 to 31 December 2017.

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的相統一的社會責任理念，並闡述了2017年1月1日至2017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股份有限公司董事會（「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：本報告以弘業期貨股份有限公司為主體，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：2017年1月1日至2017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 under the name of HOLLY CAPITAL (HONG KONG) CO., LIMITED.

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

I. 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 2017 annual report of Holly Futures Co., Ltd. Other data are compiled by the various departments of the Company.

The type and amount of the currency used in this report is 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2017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>) 弘業期貨公司網站(<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 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 Chinese stock 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 2004 of Jiangsu Provincial 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 a second-level risk management subsidiary Holly Capital Management Co., Ltd. (“Holly Capital”), a second-level Hong Kong subsidiary Holly Su Futures (Hong Kong) Co., Ltd., and third-level Hong Kong subsidiaries HOLLY CAPITAL (HONG KONG) CO., LIMITED and Holly Su Capital Management Co., Ltd. It has established more than 45 branches in Beijing, Shanghai, Guangzhou, Shenzhen and other major domestic financial centers and key cities. The Company is currently a member of Shanghai Futures Exchange, Zhengzhou Commodity Exchange, and Dalian Commodity Exchange, and a full 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 “Outstanding Member” of various futures exchanges. In August 2017, China Securities Regulatory Commission (“CSRC”) announced the classification results of futures companies in 2017 and the Company was rated as a Class A of the A Category 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」）主板挂牌上市，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2004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45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。2017年8月，中國證券監督管理委員會（「中國證監會」）公布了2017年期貨公司分類結果，公司被評為A類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 its 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 2017

As at 31 December 2017, the Group's total assets amounted to RMB5.829 billion and net assets amounted to RMB1.758 billion. In 2017, the Group achieved operating income of RMB336 million, representing an increase of approximately 8% over the same period of last year. Net profit attributable to shareholders of the Group was RMB101.76 million, representing an increase of approximately 29% over the same period of last year.

(二) 2017 年公司財務情況

截至2017年12月31日，本集團總資產人民幣58.29億元，淨資產人民幣17.58億元。2017年，本集團實現營業收入人民幣3.36億元，同比增加約8%；實現歸屬於本集團股東的淨利潤人民幣10,176萬元，同比增長約29%。

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 clearly defined powers 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 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 of the recommended best practices specified in the Corporate Governance Code.

The Company convened and held general meetings according to the relevant provisions of its 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-sized 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 risk management of the Company 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 “Class A of the A Category” for regulatory work by CSRC for the past nine consecutive years. The Company has established an internal structure and designed business processes to decentralize the power of decision-making departments, execution departments and inspection and evaluation departments, and to impose appropriate counter-balances among such departments.

During the Reporting Period, the Company held a total of 22 meetings, including 2 shareholders’ general meetings (including extraordinary general meeting), 10 Board meetings, 3 meetings of the supervisory committee, 2 meetings of the audit committee, 2 meetings of the nomination committee, 2 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布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，過去九年連續獲中國證監會頒發「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（包括臨時股東大會），董事會會議10次，監事會會議3次，審核委員會會議2次，提名委員會會議2次，薪酬委員會會議2次，風險管理委員會會議1次，共計22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 and 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 estimate the timetable and content to be disclosed, and contact with the Company's lawyers to discuss the disclosure matters in a timely manner; finally, in the process of preparing the inside 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 risk management and internal control system for the 12 months during the Reporting Period. The Company believes that the risk management and internal control system is sufficient and effective.

(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系統，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，在內幕消息的製備過程中，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。

III. Corporate Governance 第三章、公司治理

The Company has established a standardized information disclosure system, emphasizing the initiative and prompt disclosure time, standardized formats and 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 2017, the Company disclosed a total of 49 documents including H-share announcements, notices and circulars.

(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. To identify the most significant aspects of the Group for this ESG report, key stakeholders including investors, shareholders and employees participated in regular engagement sessions to discuss and to review areas of interest pertaining to its growth potential and preparedness for future challenges. 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 grasp the major issues of the Company in a timely manner and protected the interests of investors to the greatest extent. The Group welcomes stakeholders' feedback on the Company's environmental, social and governance approach and performance. Please give your suggestions or share your views with the Company via email at zqb@ftol.com.cn.

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。2017年，公司H股披露公告、通告、通函等文件共計49個。

(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。為了確立本報告內最重要的彙報範疇，本集團讓主要權益人包括投資者、股東和僱員參與定期會議，討論及檢討各個需要關注的領域，以助本集團的業務增長發展，為未來的挑戰做好準備。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，確保投資者及時瞭解公司重大事項，最大程度保護投資者的利益。本集團歡迎各方權益人就本公司的環境、社會及管治方針及表現提供意見。請以電郵向本公司提出建議或分享意見。電郵地址：zqb@ftol.com.cn。

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 smooth.

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体系的建設，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

The Company's risk management and internal control organizational structure was established on the fundamental principles of comprehensiveness, sustainability, independence and effectiveness. It includes four levels of management: the Board, risk management committee, Chief Risk Officer and risk control personnel of various business units.

In 2017, the Company revised and improved its internal control systems in accordance with the continuing requirement to follow regulatory policies, support business development needs and business environment specification requirements, and actual business conditions. The scope of revisions covered corporate governance, departmental responsibilities and job responsibilities, and management of compliance, transactions, risk control and settlement, information technology, finances, as well as comprehensive, branch and innovative business management and other rules and regulations.

In 2017, the Compliance Risk Control Department completed a full course of compliance flight inspections for all branches of the Company. The inspections strengthened the branches' compliance structure and promoted implementation of regulatory authorities' compliance requirements in all aspects of their daily operation. They contributed to the formation of a long-term constraint mechanism for actively preventing risks and standardizing the branches' operational legal compliance, including the work of supervising and encouraging employee practices in compliance with law, preventing and eliminating illegal loopholes, and promoting the branches' sustainable, stable development.

公司依據全面性、可持續性、獨立性、有效性原則建立風險管理及內部控制組織架構，包括了四個管理層級，分別為：董事會、風險管理委員會、首席風險官及各業務部門的風控負責人。

2017年公司組織進行了對內控制度彙編的修訂完善工作，根據持續滿足監管政策和本集團業務發展的需要，按照目前監管理制度規定、業務環境規範要求和公司開展業務實際情況，對公司內控制度體系加以健全完善。制度修訂範圍涵蓋公司法人治理、部門工作職責與崗位職責、合規管理、交易管理、風控結算管理、信息技術管理、財務管理、綜合管理、分支機構管理和創新業務管理等規章制度。

2017年公司合規風控部組織完成了對公司所有分支機構的合規飛行檢查全覆蓋。通過檢查，加強了公司分支機構的合規建設，促進分支機構將監管部門的合規要求貫徹落實到日常經營工作的方方面面，形成主動防範風險的長效約束機制，規範分支機構業務經營的合法合規性，監督督促公司從業人員合規執業，預防和杜絕違規漏洞，促進各分支機構持續、穩定、健康發展。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

The Company required its leaders, the leaders of subsidiaries, and responsible persons of the sub-branches and branches to sign the responsibility letters for building a clean organization. During the Reporting Period, a total of 76 responsibility letters for building a clean organization were signed. The audit for those resigned and the three-year duration of term of office of responsible persons of the subsidiaries and branches were 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.

(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.

公司要求公司領導、子公司領導、分公司及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76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、分支機構飛行檢查等方式進行持續監督。

(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了制度保障。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。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

In 2017, the Company fulfilled all statutory obligations pertaining to anti-money laundering in strict compliance with the laws and regulations, strengthened the inspection, supervision and direction of anti-money laundering activities in all branches as per requirements, performed key inspections on the implementation of anti-money laundering in daily compliance inspection and addressed all deficiencies found during inspections in a timely manner. At the same time, in accordance with the requirements of the “Measures for Administration of Reporting of Large-amount Transaction, Suspicious Transaction of Financial Institutions” promulgated by the head office of the People’s Bank of China (Order No. 3) on 28 December 2016, the Company proceeded on 1 July 2017 to revise its internal anti-money laundering control measures by taking into account both industry characteristics and the actual situation of the Company. The Company has upgraded and altered the anti-money laundering system and revised the standards for large-amount transactions and suspicious transactions. The data analysis models were increased and system parameter settings were optimized for suspicious transactions analysis through upgrading and alteration of the anti-money laundering system. Meanwhile, the Company organized several anti-money laundering publicity campaigns and special training activities to enhance employees’ awareness and knowledge of anti-money laundering. The Company’s capability on carrying out anti-money laundering effectively was further enhanced which promoted the compliant operational development of the Company and fulfilled the social responsibility of the statutory obligations pertaining to anti-money laundering.

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.

2017年公司嚴格按照法律法規規定履行反洗錢法定義務，強化了對各分支機構反洗錢工作的指導與檢查監督，在日常合規檢查中重點對反洗錢工作落實情況進行了核查，對檢查中發現的不足及時予以落實完善。同時根據中國人民銀行總行2016年12月28日新頒發的《金融機構大額交易和可疑交易報告管理辦法》（簡稱3號令）要求，結合行業特點與公司實際情況對公司反洗錢內部控制辦法進行修訂，並於2017年7月1日實施。公司對反洗錢系統進行了升級改造，修改了大額交易與可疑交易標準，通過對反洗錢系統的升級改造，增加了可疑交易數據分析模型與優化系統參數設置。同時，為了提升全員的反洗錢意識與理論水平，組織了多場次的反洗錢宣傳、專項培訓活動，進一步提升了公司有效開展反洗錢工作能力，促進公司合規執業發展，充分履行反洗錢法定義務的社會責任。

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。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

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. In keeping with requirements of the “Measures for Administration of Reporting of Large-amount Transaction, Suspicious Transaction of Financial Institutions” revised by the People’s Bank of China Order [2016] No. 3, around 100 thematic publicity and training activities were organized at the Company’s headquarters and branches during 2017.

(III) Establish and improve anti-corruption mechanism

1) The responsibility system for building a clean government

In 2017, the Company continued its Party discipline and anti-corruption educational activities, and deepened the “three-change” work of the Commission for Discipline Inspection ie., transferring main business to functional, highlighting the main responsibility, and actively taking the initiative to change, and vigorously strengthened the construction of discipline inspection and supervision teams, execute supervision responsibility to provide strong protection. The Disciplinary Committee insists on bringing discipline and rules to the forefront, and strict compliance with the requirements of law and discipline before the law, makes good use of the “four forms” of supervision and discipline, and earnestly performs the functions of supervision, discipline, and accountability. In order to build a major supervision system, the Company will develop and maintain a system for punishing and preventing corruption and promote the implementation of the responsibility for supervision.

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客戶關係管理系統(CRM)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，2017年度結合中國人民銀行令[2016] 3號令修訂的《金融機構大額交易和可疑交易報告管理辦法》的要求有針對性的組織實施了多場專題宣傳、培訓活動，公司總部及分支機構全年累計組織開展各類反洗錢宣傳、培訓達近百次。

(三) 建立健全反貪污機制

1) 推進、落實黨風廉政建設責任制

2017年，公司持續開展了黨規黨紀教育、廉政教育，深化推進紀委聚焦主業轉職能、突出主責轉方式、積極主動轉作風的「三轉」工作，大力加強紀檢監察隊伍建設，為履行監督責任提供堅強保障。紀委堅持把紀律和規矩挺在前面，堅持紀嚴於法、紀在法前的要求，用好監督執紀「四種形態」，切實履行好監督、執紀、問責職能。以構建「大監督」體系為目標，大力加強懲治和預防腐敗體系建設，推進監督責任持久落實。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

In 2017, the Company continued to implement the “one post with dual responsibilities”, and leaders from all levels signed a total of 76 “commitments on building a clean government”.

2017年，公司繼續貫徹執行「一崗雙責」，各級領導負責人共簽署76份《黨風廉政建設承諾書》。

2) Improving channels and efficiency of petitioning and whistleblowing

The Department of Discipline Inspection and Supervision has taken several steps to simplify whistleblowing within the Company. Among these are the publications of a whistleblowing email address and telephone numbers for disciplinary inspection and supervision on the Company website. The Company also provides supervision and reporting box at its headquarters. The whistleblowing box is regularly checked in line with the “Measures for the Management of Whistleblowing Box of Holly Futures Co., Ltd.” The use of multiple channels helps to ensure a smooth flow of petitioning and whistleblowing within the Company structure.

2) 暢通信訪舉報渠道，提高信訪舉報工作的效率

紀檢監察審計部在公司網站公示舉報郵箱、紀檢監督電話、舉報通訊地址，並在公司總部設立監督舉報信箱，按《弘業期貨股份有限公司監督舉報箱管理辦法》定時開箱查看。多舉並用確保信訪舉報渠道的暢通。

3) Perform supervisory duties and disciplined functions

In 2017, the Company always adhered to the management of company vehicles with high standards and strict requirements to eliminate the private use of company vehicles on holidays; self-inspection and self-correction of high-end liquor and business member cards.

3) 履行監督職責，用好執紀職能

2017年公司始終堅持以高標準、嚴格要求對公車進行管理，杜絕節假日公車私用的情況；對高檔白酒、商超會員卡進行自查自糾。

4) Improving system requirements and implementation

In 2017, the Department of Discipline Inspection and Supervision improved the “Work System for Disciplinary Inspection”, “Anti-fraud system” and “Guidelines for Internal Auditing” and their related work processes for incorporation of these improvements in routine operations.

4) 完善制度建設，貫徹制度要求

2017年紀檢監察審計部完善了《紀檢監察信訪工作制度》、《反舞弊制度》、《內部審計工作準則》和相關工作流程，並且能夠在日常工作中，貫徹執行制度要求。

5) Rationalizing integrity risk points, carrying out self-examination and self-correction work

In 2017, the Department of Discipline Inspection and Supervision intensified prevention and control of corruption risks. The department identified points of risk for corporate integrity in various work papers and special reports, and reported them to the Group’s Party Committee.

5) 梳理廉潔風險點，展開自查自糾工作

2017年，紀檢監察審計部開展廉潔風險防控再深化再排查再落實工作，認真梳理公司廉潔風險點，形成工作底稿及專項工作報告，並上報本集團黨委。

IV. Compliance and Risk Prevention

第四章、合規與風險防範

6) Audit on resigned personnel

In 2017, the Department of Discipline Inspection and Supervision formed a resignation audit working group to carry out resignation audits on two managers from branches of the Company and issued an audit report.

7) Economic responsibility audit

In 2017, the Department of Discipline Inspection and Supervision formed an economic responsibility audit working group to carry out economic responsibility audits on seven managers from branches of the Company and issued an audit report.

8) Special audit of fixed assets

In 2017, the Department of Discipline Inspection and Supervision jointly formed a special fixed assets audit team with the Finance and Technical Departments and office to carry out a special audit of the internal control and management of the Company's fixed assets and issued an audit report.

6) 離任審計

2017年紀檢監察審計部組成離任審計工作小組，對2位分支機構負責人開展離任審計工作，並出具審計報告。

7) 經濟責任審計

2017年紀檢監察審計部組成經濟責任審計工作小組，對7位分支機構負責人開展任中經濟責任審計工作，並出具審計報告。

8) 固定資產專項審計

2017年紀檢監察審計部聯合財務部、技術部、辦公室共同組成固定資產專項審計小組，對公司固定資產的內部控制與管理情況展開專項審計工作，並出具審計報告。



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

(IV) Adherence to tax payment according to laws

The Company has always believed that tax payment according to law is an overall reflection of corporate social responsibility. Since its establishment, the Company has adhered to the concept of paying tax lawfully and honestly, and declared its payment of various taxes truthfully and promptly. For the whole year of 2017, Holly Futures paid taxes of RMB33.14 million in total.

In accordance with the relevant provisions, the Company paid the Futures Investor Protection Fund to the PRC Futures Exchange and implemented the important work of the regulatory authorities to resolve the futures market risk and make contributions to the stable development of the futures market. In 2017, Holly Futures contributed RMB180,000 to the Futures Investor Protection Fund.

(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。2017年全年，弘業期貨共繳納各項稅金合計人民幣3,314萬元。

公司根據有關規定，向中國期貨交易所繳納證券投資者保護基金，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。2017年，弘業期貨繳納期貨投資者保障基金人民幣18萬元。

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 enrich customer experience

The Company uses “Internet +” as an opportunity to improve customer experience and service quality, develop the profit model by online-offline joint development and organic combination. The customer expansion business model through operating outlets is progressively changed into internet-based customer service model. Our customer mobile terminal “Holly Easy” (弘運通) was officially launched, fully utilizing the internet big data to provide 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 back office operation system and further deepening the development of back office 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 based on buyer’s mindset and building up a macro research system, the Company developed a buyer and seller win-win approach, thereby strengthening its core competence. The Company will also provide professional consulting services to its 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、公司轉型創新要求，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 assure the investors with lower risk appetite of their investment certainty and provide high-yield opportunities for investors with higher risk appetite. Asset management business is undergoing a scale-up transformation. The Company will launch value-added customer services by taking investment managers and investment capabilities as the key management concerns, with “one on one” specialized investment management and “one-to-many” self-management and investment consultation products as the starting points, as well as placing importance on nurturing the investment managers and accelerating the building of a proactive management team. The Company will leverage the futures company’s advantages on the research and development, trading 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 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 as to create value for the customers.

At the same time, in order to provide better 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 publishes product quotes, market views and financial information through its Official Account in WeChat 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、投資能力兩個管理關鍵點，從「一對一」專戶資管和「一對多」自主管理與投顧產品兩方面切入，注重孵化投資經理，加快打造主動管理團隊。充分發揮期貨公司在衍生品研發、交易、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、定增等產品的發行。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, the Company further strengthens its appropriateness management system construction, improves internal control and strengthens the technical system management, standardizes the Company's appropriateness management, and guides investors to participate in securities investment rationally and protects 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 updating customer information. Effective measures were taken to collect, record, identify customer identity information. The Company also 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 its customers into professional investors and ordinary investors according to the professional judgment ability of the investors to further strengthen special protection for the ordinary investors. The Company carries out 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 it acquired the Company assess the risk level of the products. The Company established the adaption principle of product and customer risk tolerance to fully reveal the product risk and ensure introduction of the right products to the right 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

根據中國證監會《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。

公司充分瞭解客戶的身份、財產與收入狀況、投資經驗、風險偏好、誠信記錄等信息，並建立持續完善客戶信息的機制。採取有效措施采集、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方針，根據瞭解的金融產品信息，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紹給適當的客戶。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. It adopts the 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 reception of 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 China's futures 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客戶關係管理系統進行管理。

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，確保投資者及時瞭解公司重大事項，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，將投資教育工作與實踐相結合，加大與監管機構和中國期貨行業協會等合作，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 customer's information security and its legitimate rights and interests is the Company's corporate social responsibility. Employees of the Company are required to strictly comply with the relevant requirements to protect customer information security, and are 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 contingency rooms in different places of the same city. 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.

(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，嚴禁泄露、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（「不斷電供應系統」）、柴油發電機等緊急供電設備，保障信息安全。

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

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

In order to protect the legitimate rights and interests of investors, the Company actively carried out its duties for investor protection. According to the requirements of the Opinions on Further Strengthening the Protection of the Legitimate Rights and Interests of Small and Medium-sized 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 complaint 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 Complaint Handling of Holly Futures Co., Ltd.. These Measures clarify the division of responsibilities of customer complaints, complaint handling mechanism, complaint handling emergency mechanism and complaint handling duties responsibility investigation.

After receiving a customer complaint, the Company conducts an investigation to distinguish its responsibilities in the matter. If the complaint is not within the responsibility of the Company, the department involved will provide an explanation to the customer and obtain their understanding on the matter. If the complaint is within the Company's responsibility, the department involved will provide the customer with an apology and seek understanding. Should this fail, and if the customer has suffered direct economic loss, a written complaint handling proposal will be submitted to the affected branch's management after the amount of loss has been confirmed.

(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，公司制定了《弘業期貨股份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。

在接到客戶投訴電話後，進行情況調查，分清責任：一、非公司責任，由被投訴部門向客戶進行解釋，取得理解；二、確屬公司責任，被投訴部門向客戶進行道歉，取得客戶諒解，協調不成且已給客戶造成直接經濟損失的，應在核定損失金額後向分管領導提交書面投訴處理建議。



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 relevant department shall, within one working day of receiving the complaint, send the complaint investigation and processing progress or results to the Brokerage Business Management Department. Customer service personnel shall make a return visit to the client within two working days of completion of the complaint's processing. If the customer maintains that the problem has not been solved, the case shall be transferred to a second complaint handler.

For major complaints, the Brokerage Business Management Department may communicate directly with the customer's business department. The communications are to be in written form to facilitate better coordination and the timely transfer of processing comments and investigation results to the Legal and Compliance Risk Control Departments, and to the customer. Led by the Legal Department and leading management leaders from the Compliance Risk Control Department, a working group is then formed. The Legal Department is responsible for investigating and handling complaints and issuing opinions for their handling. After investigation by the Legal and Compliance Risk Control Departments, if a major complaint is found to have been caused by violations of laws or regulations by the Company or its staff, or if it may cause group or vicious incidents, the departments involved will report to the regulatory agency after confirmation from the relevant department leaders and the chief risk officer.

In 2017, the Company received 5 complaints in total, which were mainly related to futures brokerage business, of which 2 complaints have been successfully resolved through negotiation.

相關部門應在接到投訴後的1個工作日內將投訴調查情況及處理進展或結果反饋至經紀業務管理部，客服人員應在投訴處理完畢後2個工作日內對客戶進行回訪，若客戶表示問題未被解決的，轉為二次投訴受理。

對重大投訴，經紀業務管理部應根據書面投訴材料積極與客戶所在業務部門溝通，做好協調工作，及時將客戶投訴移交法務部和合規風控部，並根據法務部和合規風控部的處理意見及結果反饋給客戶；法務部和合規風控部分管領導牽頭組成工作小組，由法務部具體負責投訴事件的調查處理，並出具處理意見；對於重大投訴，經法務部和合規風控部調查，事實認定確屬公司或工作人員違法違規行為造成的，或可能引發群體性、惡性事件的，經相關部門領導及首席風險官確認後，由相關部門報監管機構。

2017年公司受理投訴5件，主要涉及期貨經紀業務，其中已協商成功並辦結的有2件。



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

(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 and the Trademark Law of the PRC. Product promotion and publicity are in line with relevant regulations.

(VII) Supplier management

Due to the nature of its businesses, the Company does not have major suppliers. However, since the Company purchases computers, software, services, etc., it strictly complies with the supply chain management procedures. The Company requires its 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.

(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，本公司沒有主要供貨商。但由於本公司會採購計算機、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、社會及管治準則，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 has 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 was initially formed. In 2017, the Central No. 1 Document mentioned the steady promotion of the “futures + insurance” pilot project, which provided more room 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 connection between financial markets and farmers. It has a positive impact 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 pricing 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。2017年中央一號文件提出穩步推廣「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服務有限公司（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

Supported and promoted by the Dalian Commodity Exchange and local government, Holly Futures and its risk management subsidiary Holly Capital and the PICC Jilin Branch cooperated in launching a corn “insurance + futures” pilot project. It was one of 32 “insurance + futures” pilot projects supported by the Dalian Commodity Exchange in 2017. On 10 November 2017, the project was completed, providing price risk protection for 22,000 tons of corn in Zhenlai County, Jilin Province. Insured farmers received claimed compensation amounting to RMB1.05 million. Through its exploration of corn project practices, the Company further promoted the “futures + insurance” concept and the model of cross-industry integration, made contributions to the economic development of the entity. The Company further promoted the “futures + insurance” concept and cross-industry integration model through exploring the corn project practice to make contributions to the economic development of the entity.

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

在大連商品交易所和當地政府的支持推動下，弘業期貨及其風險管理子公司弘業資本與吉林人保合作推出了玉米「保險+期貨」試點項目。作為2017年大連商品交易所支持的32個「保險+期貨」試點項目之一，2017年11月10日，該「玉米價格險試點」項目了結，為吉林省鎮賚縣22,000噸玉米提供了價格風險保障，參保農戶共計獲得理賠金額人民幣105萬元。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。

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. Foster 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 optimizing 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 right candidates. In the course of introducing and cultivating staff, the Company adheres to the principle of equal employment, fair promotion to eliminate 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 an 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 variation and rescission of contract.

(一) 切實保障員工權益

員工是公司寶貴的財富，為公司賴以生存發展的根基，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. Foster Staff Growth 第七章、促進員工成長

According to the provisions of the Labour Law of the PRC and the Labour Contract Law of the PRC, the Company has signed labour contracts with all on-the-job staff of contractual employment. In terms of employment management, the Company has internal regulations and detailed guidelines formulated to protect the rights of employees according to law. The Company's basic social insurance for employees includes a basic pension plan, basic medical insurance, unemployment and work-related injury insurance, and maternal insurance as required by law. It also provides bonus packages which include a housing fund, an enterprise annuity and supplementary medical insurance to build a stronger safety net for employees. All resigned employees will be invited to participate in the exit 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 recruitment, 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 employment of child labour and forced labour.

The Company's "Reform and Innovation Suggestion Box" is an important channel for junior staff to communicate with senior management. Employees are encouraged to actively advise on and supervise business development and internal management. It also serves as a sound external feedback mechanism and aids the Company in rationalizing proposals for recruitment. According to the principle of "completion within time limit", the Company reflects on and deals with core issues. Most employees can also participate in business operations through their employee representation meeting system. These meetings will consider and approve a variety of systems and methods which link with the actual interests of employees.

根據《中華人民共和國勞動法》、合同相關規定，所有在崗勞動合同制員工均與本公司簽訂了勞動合同。在用工管理上，依法制定各類內部規章制度及相關實施細則，依法保障員工各項勞動權利。依法為員工繳納基本養老、基本醫療、失業、工傷、生育等基本社會保險，並建立住房公積金以及企業年金、補充醫療等員工福利制度，提高員工的養老、醫療保障。所有離職的員工都會邀請參加離職前面談，讓公司更多地瞭解他們離職的原因，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，不存在聘用童工和強制勞工的情況。

公司內部開設了「改革創新建議箱」，是基層員工與高級管理溝通的重要渠道，員工可通過此建議箱與公司高級管理層進行直接溝通。「改革創新建議箱」鼓勵員工對業務發展和內部管理積極建言、共同監督，建立完善的外反饋機制和合理化建議徵集渠道。根據「限時辦結」原則，公司對反映較為集中的問題進行反饋和處理。同時，廣大員工還可以通過職工代表大會制度參與業務經營，會議審議涉及職工切實利益的制度辦法。

VII. Foster Staff Growth 第七章、促進員工成長

Employees' Employment Performance Indicator

員工僱傭績效指標

	Indicator 指標	Unit 單位	2017 2017年
Total number of employees			
員工總數			
By gender 按性別劃分	Male 男性	person 人	424
	Female 女性	person 人	288
Classified by employment type 按僱傭類型劃分	Contract employees 合同制員工	person 人	712
	Others 其他	person 人	0
By age group 按年齡組別劃分	Below 30 years old 30歲以下	person 人	340
	31 years old – 40 years old 31歲–40歲	person 人	289
	41 years old – 50 years old 41歲–50歲	person 人	67
	51 years old – 59 years old 51歲–59歲	person 人	16
	Above 60 years old 60歲以上	person 人	0
By region 按地區劃分	Employees within Jiangsu 江蘇省內員工	person 人	505
	Employees outside Jiangsu 江蘇省外員工	person 人	207

VII. Foster Staff Growth 第七章、促進員工成長

	Indicator 指標	Unit 單位	2017 2017年
Employee turnover 員工流失人數			
By gender 按性別劃分	Male 男性	person 人	97
	Female 女性	person 人	44
By age group 按年齡組別劃分	Below 30 years old 30歲以下	person 人	78
	31 years old – 40 years old 31歲–40歲	person 人	53
	41 years old – 50 years old 41歲–50歲	person 人	10
	51 years old – 59 years old 51歲–59歲	person 人	0
	Above 60 years old 60歲以上	person 人	0
	Domestic 境內	person 人	136
	Overseas 境外	person 人	5

(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. An enterprise annuity scheme was set up as an effective supplement to the basic pension insurance. At the same time, the Company also took out supplementary medical insurance and other insurances for its employees.

(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。



VII. Foster Staff Growth 第七章、促進員工成長

The Company has been committed to providing a safe and healthy working environment for each employee. As the Company does not produce products, there is no potential safety problems that would arise in manufacturing enterprises. Most of the employees are office workers and work for long hours 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 sitting for long hours. The Company reminded employees to put the displays, keyboards and chairs in proper positions, and staff training activity named “Strong body and happy work” was carried out in order to prevent long-term occupational health problems.

The Company’s working hours are from 8:30 to 11:30 and from 13:00 to 17:00 every Monday to Friday (seven hours per day). In accordance with the requirements of the Labour Law of the PRC and relevant laws, 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 acknowledge the concern of female employees, the Company also set up a 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.

During the Reporting Period, the Company organized regular employee health checks, various cultural and sporting activities, vigorously promoted employee psychological healthcare, and offered Chinese medical consultations and treatments, which strengthened the humanistic care for employees, advocated scientific lifestyles, further improved the physical quality of employees, and inspired employees’ work and life enthusiasm. It also maintained a safe working environment by promoting a safety culture, adopting innovations in safety management, conducting rigorous safety inspections, and eliminating occupational hazards wherever possible. The Company has an extensive system of safety warnings in place, regularly holds fire safety and emergency response drills, and is continuously improving its emergency command and control capability.

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，並開展「強壯體魄、快樂工作」為主題的職工工間操活動以預防長期職業健康問題。

公司工作時間為每周一至周五 8:30-11:30，13:00-17:00，每天工作七小時。按照《中華人民共和國勞動法》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。

於本報告期內，本公司定期組織員工進行健康檢查，廣泛開展各類文體活動，大力推進員工心理健康關愛工程，通過舉辦中醫問診治療等，加強對員工的人文關懷，倡導科學的生活方式，進一步提高員工身體素質，激發員工工作和生活熱情。此外，重視員工工作環境安全和職業安全，把保障員工人身安全作為重要目標，放在重要位置。推進安全管理轉型創新，通過倡導平安文化加強員工安全意識，打牢職業安全基礎；深入開展安全生產大檢查，消除職業安全隱患；做好安全預警預演，指導開展消防安防應急處置演練，提高應急指揮和險情處置能力。

VII. Foster Staff Growth 第七章、促進員工成長

Occupational Health and Safety Indicator

職業健康與安全績效指標

	Unit 單位	2017 2017年
Number of employees who die at work 因工作關係而死亡的人數	person 人	0
Number of working days lost due to work-related injury 因工傷損失工作日數	day 天	0

(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 RMB157 thousand for the whole year of 2017. At the same time, 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. The employees were encouraged to participate in completing online classroom training projects organized by the Company in 2017.

(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。2017全年培訓費用累計投入人民幣15.7萬元。同時公司運用網絡、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，督促員工參與完成了2017年公司組織的網絡課堂培訓項目。

VII. Foster Staff Growth 第七章、促進員工成長

Staff Training Performance Indicator

員工培訓績效指標

	Indicator 指標	Unit 單位	2017 2017年
Number of trained employees by gender 按性別劃分的受訓僱員人數	Male 男性	person 人	424
	Female 女性	person 人	288
Number of trained employees by employee category 按僱員類別劃分的受訓僱員人數	Senior management 高級管理層	person 人	7
	Middle management 中級管理層	person 人	69
	Junior staff 基層員工	person 人	636
Number of employee training hours by gender 按性別劃分的僱員受訓時數	Male 男性員工	hour 小時	4,700
	Female 女性員工	hour 小時	4,500
Employee training hours by employee category 按僱員類別劃分的僱員受訓時數	Senior management 高級管理層	hour 小時	210
	Middle management 中級管理層	hour 小時	2,200
	Junior staff 基層員工	hour 小時	6,790

(IV) Give full play to the Labour Union

In 2017, 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. Through election by the Labour Union, the market department was honoured by the Jiangsu Provincial Federation of Labour Unions as the “Pioneer Worker”.

(四) 充分發揮工會的積極作用

2017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。經工會推選，市場總部被江蘇省總工會表彰為「工人先鋒號」。

VII. Foster Staff Growth 第七章、促進員工成長

During the past year, the Labour Union insisted on keeping up with the times and updating ideas, continued to explore and practice new ways for the work of the Company's 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. The main work for the year is summarized as follows:

1. Establishing a learning-oriented Labour Union

Futures companies are in a knowledge-intensive industry. With the ever changing market development situation, employees are required to constantly improve their own knowledge reserves, in order to gain a foothold for 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 delightful learning, improve their overall quality, the Labour Union distributed books to all employees to echo the "423 World Book Day 2017". In this reading activity, books were first screened from a list of titles for employee reference and selection. After employees made their selections, the books were collectively purchased and subsequently distributed by headquarter on the e-commerce platform, as well as to various departments and regional branches. Through the reading activity, the idea of "love learning, good learning" is permeated in the corporate culture to cultivate lifelong learning and further enhance the thinking and mental status of employees.

一年來，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。現將一年以來的主要工作總結如下：

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，在2017年「423世界讀書日」來臨之際，工會為全體員工發放書籍。本次讀書活動，工會事先篩選出了書庫名單供員工參考和選擇，各員工按需選擇後，由總部在電商平台上統一采買並分發至各部門和外地營業部。通過讀書活動的形式，將「愛學習、善學習」貫穿於企業文化中，培養員工的終身學習理念，進一步提升廣大員工的思想狀況和精神面貌。

VII. Foster Staff Growth 第七章、促進員工成長

(2) Creating a book sharing platform for employees

In 2017, following a Labour Union initiative, employees of the Company donated their favorite books to create a new staff reading corner. More than 300 books were eventually collected. The reading corner is located in the headquarters' third floor training room, and is used by staff during break times to enjoy the pleasure of reading more easily and gain more knowledge, so that the corporate culture of love learning will be more intense. The books placed idly at home can now be fully utilized and the idea of saving is turned into practical action for giving love to every colleague in need.

(2) 搭建職工圖書共享平台

2017年，在工會倡議下，公司職工紛紛捐出喜愛的書籍，共建職工之家讀書角。在大家傾力支持下，最終收集到了圖書300多本。目前，設置在總部大廈3樓培訓室的圖書角已正式面向職工開放，職工可以在午休時間前往學習閱讀，更加便捷地享受讀書的樂趣，獲取更多的知識，樂學尚學的企業文化氛圍愈加濃厚。手邊的閑置書籍得到充分的利用，將節約的理念化作奉獻愛心的實際行動，傳遞給每一位需要的同事。

(3) Participating in Group financial competition activities

In October 2017, Jiangsu SOHO Holding Group Co., Ltd. ("Holdings Group") launched a financial competition within the Group. Under the leadership of the Company's Labour Union, all finance department employees registered to participate. After three rounds of competition, Holly Futures achieved group excellence award. The competition helped employees to deepen their understanding of the Company's internal control and risk management, and to appreciate the importance of new accounting standards and financial budget analysis. Taking this competition as an opportunity, staff passion for learning and work were further inspired.

(3) 參與本集團財務競賽活動

2017年10月，江蘇省蘇豪控股集團有限公司（「控股集團」）在全集團範圍內開展財務競賽。在公司工會組織下，財務部工作人員全部報名參賽。經過三輪比賽的激烈競爭，弘業期貨獲得團體優秀獎。通過比賽，公司財務人員對企業的內部控制以及風險管理有了更多的掌握，對新的會計準則和財務預算分析的重要性有了更深刻的認識。以這次競賽為契機，也進一步激發了大家學習的熱情和工作的激情。



VII. Foster Staff Growth 第七章、促進員工成長

2. Establishing a service-oriented Labour Union

The Company's Labour Union firmly established the awareness of serving the 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 improving the construction of a service-oriented Labour Union to reach new heights.

(1) Strengthening democracy in the Company

The Company relies on a system of employee representative meetings to build a platform for employees to participate in democratic management and create channels for expressing their claims. It ensures that important issues pertaining to the Company's development are discussed with employees, the Company's major issues are known to employees, and employees are involved in solving important issues concerning their immediate interests. During the Reporting Period, the Labour Union organized four employee representative meetings during which employees expressed their opinions on important operational and management matters, and on their own interests concerning the "13th Five-Year Plan" of Holly Futures, the A-share listing, implementation methods of the employee representative meeting, the compensation system adjustment plan, employee location allowances, revisions to the enterprise annuity plan, employee housing allowances, employee critical illness insurance plan, and Labour Union authorization management regulations. Democratic voting was conducted on all these matters. The convening of the employee representative meetings fully protected the employees' rights as to information, participation, expression and supervision. It also fully mobilized the employees' enthusiasm for production and provided a platform for employees to participate in the democratic management of the Company.

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。一年來，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。

(1) 加強企業民主建設

公司依託職工代表大會制度搭建職工參與民主管理的平台和表達利益訴求的渠道，保證公司發展重要事項讓職工討論，公司生產經營重大問題讓職工知曉，涉及職工切身利益重要問題讓職工參與。於本報告期內，工會共組織召開了4次職工代表大會，會上，就企業經營管理以及和職工利益切身相關的重要事項聽取職工意見，包括弘業期貨「十三五」戰略規劃、A股上市計劃、職工代表大會實施辦法、薪酬制度調整方案、員工地區津貼、企業年金方案修訂、職工住房補貼、職工重疾險方案、工會授權管理規定等，並進行民主表決。職工代表大會的召開，充分保障了職工的知情權、參與權、表達權和監督權，也充分調動了職工的生產積極性，為職工參與企業的民主管理提供了平台。

VII. Foster Staff Growth 第七章、促進員工成長

(2) Optimizing the Labour Union's organization structure

During the Reporting Period, the Labour Union organized two members' representative meetings. Through democratic voting, a new session of the Labour Union Committee was elected which composed of seven members; the chairman of the new session Labour Union, and professional committees such as the Audit Committee and the Women's Workers Committee were also elected. Democratic appraisal and review of the chairman of the Labour Union was conducted in which each employee representative filled out an assessment form. Through the adjustment of the Labour Union's organizational structure and effective democratic appraisals, the foundation of work of the Labour Union has been further consolidated, which is beneficial to the role of Labour Union and further deepened the construction of workers' homes.

(3) Promoting the Company's image

During the Reporting Period, under the leadership of the Labour Union, the Company produced a number of playing cards suitable for investor education. Each card features promotional pictures such as different kinds of futures products. The cards will be distributed as souvenirs at investment education activities and will help the Company publicize the futures market and its corporate brand.

(2) 優化完善工會組織架構

於本報告期內，工會組織召開2次會員代表大會。先後完成了新一屆工會的換屆選舉工作，以及開展工會民主評議工作。通過民主投票表決，選舉產生新一屆工會委員會，新一屆工會委員會由7名委員組成；選舉產生新一屆工會主席，以及經審委員會、女工委員會等兩個專業委員會。開展民主評議建家工作，民主評議工會主席工作，每位職工代表認真填寫民主測評表。通過工會組織架構的重新調整以及民主評議工作的開展，進一步夯實了工會工作的基礎，有利於更好發揮工會的作用，進一步深化職工之家建設。

(3) 參與公司形象宣傳工作

於本報告期內，在工會牽頭下，公司製作了一批適用於投資者教育的撲克牌。每張撲克牌上，都有期貨品種等宣傳圖片，這些撲克牌將作為公司紀念品在投資教育活動中予以發放，幫助公司進一步宣傳期貨市場和企業品牌。

VII. Foster Staff Growth 第七章、促進員工成長

(4) 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 Company's Labour Union carried out the love activity of giving warmth themed "Labour Union Always By Your Side: Giving Attentive Warmth", to properly perform the condoling and helping work for needy staff. In early 2018, the Labour Union provided subsidies for 13 needy staff from the Headquarter and various branches during the year 2017, and in the helping ceremony during the annual meeting of the Company, Zhou Jianqiu, general manager of the Company and Jia Guorong, chairman of the Labour Union granted in person consolation money of RMB2,000 per person 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 in 2018, accompanied by Jia Guorong, chairman of the Labour Union, Zhang Jian, chairman of the Joint Labour Union of Holdings Group visited the Company and condoled with needy staff representatives in person. In the future, the Labour Union will use the "1+1+N" series of activities as the starting point for exploring targeted special assistance measures and expanding its help and support, so that love and support from party committees and the Labour Union can be sent to employees.

(5) Festive gifts for employees

The Labour Union continued the tradition of distributing gifts to employees before such events as the Spring Festival and Dragon Boat Festival. At 45 branches across the country, gifts were also distributed to staff as an appreciative gesture from headquarters. During the "61" festival, the Labour Union distributed holiday subsidies to relevant employees.

(4) 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。2018年初，工會向來自總部和各營業部2017年度的13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、工會主席賈國榮等親自向被幫扶員工發放慰問金（人民幣2,000元／人）並贈送慰問品。同時，在公司的爭取下，其中的2名困難職工還獲得省總工會的幫扶。2018年春節前期，在工會主席賈國榮的陪同下，控股集團聯合工會主席張健親臨公司慰問困難職工代表。未來，工會將以「1+1+N」系列活動為抓手，繼續探索有針對性的專項救助措施，擴大幫扶面、加大幫扶力度，提高幫扶實效，把黨委和工會的關愛送到職工群眾心中。

(5) 向員工發放過節慰問品

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45個分支機構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。

VII. Foster Staff Growth 第七章、促進員工成長

(6) 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 12 branches in all regions to deliver coolness, safety and laws (“Three Delivering” Activity) in hot summer. The activity also gave headquarters-based leaders a detailed understanding of the working conditions for junior and front-line staff, and cooling products were sent to hard-working staff and reminded them to pay attention to heatstroke prevention and cooling. Through these means, the Company delivered the heartfelt caring to the staff. During the half-year meeting period of the Company, the Labour Union also carefully prepared medical kits for all branches, which not only sent coolness and care to the organization, but also greatly boosted the morale of the employees and made it better for everyone to pay attention to physical health.

(7) Health consultation services

In 2017, the Company’s Labour Union invited doctors from the Health Research Institute of Traditional Chinese Medicine and other senior health management professionals to provide medical services in the headquarters’ fourth floor conference room. Health advice and guidance were provided to employees for nearly two weeks, with services including traditional Chinese medical pulse, blood pressure, cervical and lumbar vertebrae examinations, massage, scraping, and acupuncture treatment of the meridians. This activity was generally welcomed by the Company’s employees. After treatment by doctor, physical condition of some employees of the Company improved significantly.

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 occasions; the Company convened the Labour Union meetings and the Labour Union liaison meetings periodically to implement specific work of the Labour Union, etc.

(6) 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12家分支機構，開展送清涼、送安全、送法律「三送」活動。活動中，總部領導極為細緻的瞭解基層一線員工的工作情況，為辛勤工作的員工們送去防暑降溫用品，叮囑大家要注意做好防暑降溫的工作，將企業的關懷真切的傳達到了員工的心上。在公司半年會議期間，工會還為所有分支機構精心準備醫藥箱，不僅送去了組織的清涼和關懷，更是極大的鼓舞了員工們的士氣，讓大家在注意身體健康的情況下，更好的工作。

(7) 開展健康諮詢服務

2017年公司工會先後邀請中醫研究院健康研究所醫師、國家高級健康管理師，坐診總部大廈4樓會議室，歷時近兩周時間，為員工提供亞健康諮詢指導。期間進行中醫號脈，測血壓，頸腰椎檢查，普及中醫養生保健知識、三高問題解答，進行推拿按摩，刮痧，經絡點穴調理。工會此舉得到公司員工的普遍歡迎，一些員工經過醫師治療，身體狀況得到明顯改善。

在其他工作方面，工會延續一貫傳統，扎實穩步推進。比如：在員工婚嫁娶、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。

VII. Foster Staff Growth 第七章、促進員工成長

3. Establishing an activity-oriented Labour Union

Since 2017, in order to alleviate the pressure of staff work, enhance the friendship among 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 visiting activity to Niushou in spring

On 4 March 2017, more than 100 employees were treated to a tour of the Niushoushan scenic area. The activity included visits to the Foding Temple and Foding Palace to appreciate the “New Chinese style” architecture and landscape, and taste the special Liang Wu vegetarian food. Employees relaxed in the contemporary new Buddhist style garden with Zen rhyme, the visit made employees feel happy, relieved their stress and enabled them to enjoy the beauty of spring.

(2) A lake walk in early summer

In order to advocate a healthy lifestyle and encourage the staff to have a touch with nature and to promote the core values of socialism as the theme, the Labour Union organized an activity named “walking around the lake” on 11 June 2017. The event was held in the Nanjing Xuanwu Lake Park. More than 50 employees from the headquarter of the Company actively participated in the event. Through the walking-around-then lake activity, many employees relaxed their minds and trained their body, and the cohesion and centripetal force of the Company were also promoted, everybody gave the activity positive feedback.

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，2017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) 組織春游牛首活動

2017年3月4日，工會組織了100多名員工前往牛首山風景區踏青遊，沿途參觀了佛頂寺、佛頂宮等多個景點，親身體驗了「新中式」建築及景觀風格，在禪韻深厚、空靈雋永的當代新式佛教園林景區放鬆心情，還品嚐了頗具特色的梁武素齋。活動讓員工們愉悅身心，紓解壓力，感受到無限春光的美好。

(2) 組織初夏環湖走活動

為倡導健康生活方式，鼓勵大家親近自然，以弘揚社會主義核心價值觀為主題，工會於2017年6月11日組織員工開展「環湖健身走」的活動。活動在南京玄武湖公園舉辦，公司總部50多名員工踴躍參與。環湖活動的開展，不僅讓廣大員工舒展身心，鍛煉身體，同時也增強了企業的凝聚力、向心力，得到了大家的一致好評。



VII. Foster Staff Growth 第七章、促進員工成長

(3) Organizing hiking activity in Chung Yeung Festival

In order to improve the physical fitness of employees, promote team spirit, and promote traditional Chinese culture, a hiking activity with the theme “Love Holly Futures, Enhance Futures, Welcome Chung Yeung, Hike Zijin” was organized and held before Chung Yeung Festival in 2017. Employees from headquarter actively responded to the call of the Labour Union and enthusiastically participated in the hiking. The outdoor hiking activity carried out in nice weather not only promoted the communications between employees, but also created a healthy and happy mood and enhanced cohesion. The activity fully displayed the spirit of unity and optimism of staff of Holly Futures.

(3) 組織重陽節登山活動

為增強職工身體素質，提倡團隊合作精神，弘揚中華傳統文化，在2017年重陽節到來之際，組織舉辦「愛弘業強期貨迎重陽登紫金」主題登山活動，總部員工積極響應工會號召，踴躍參加登山活動。在天高氣爽的季節開展戶外活動，登高望遠，不但促進了員工之間的交流，也營造了一份健康、快樂的心情，增強了凝聚力。充分展現弘業期貨員工團結進取，樂觀向上的精神風貌。



(4) Participating Fangshan climbing activity of Holdings Group

On 18 April 2017, more than 600 employees of the Group participated in a climbing activity of the Holdings Group held at the Fangshan Scenic Area, Jiangning District. Competing climbers were divided into men's youth team, women's youth team, men's middle-aged team and women's middle-aged team, those non-competing staff were grouped into an activity team. Holly Futures formed a team of 50 employees for the competition and won the Morality Award. Through this activity, everyone relaxed and participated in the development of the Company with more enthusiasm and higher morale.

(4) 參加控股集團方山登高活動

2017年4月18日，控股集團2017年度春季職工登山活動在江寧區方山風景區拉開帷幕，本集團600多名職工參加活動。登山活動分男子青年組、女子青年組、男子中年組和女子中年組四個競賽隊，未參加競賽隊的職工編入活動組。弘業期貨選派由50名員工組成的代表隊參賽，並獲道德風尚獎。通過活動，大家放鬆心情，以更加飽滿的熱情和更加昂揚的鬥志投入企業發展建設中去。

VII. Foster Staff Growth 第七章、促進員工成長

(5) Organizing employees to participate in the “Finding the Most Beautiful Labour” prize-winning photography and writing activity

In June 2017, the Jiangsu Federation of Labour Union and Xinhua Daily Media Group jointly held the “Finding the Most Beautiful Labour” photography and writing competition. The Company’s Labour Union helped mobilize staff photography enthusiasts to participate, yielding a selection of 40 “most beautiful labour” photographic and writing materials which were entered for competition in the “Most Beautiful Labour of SOHO Holdings Group” award.

(6) Organizing employees to participate in vertical marathon competition of Holdings Group

On 18 June 2017, the Buick•2017 Jiangsu Vertical Marathon Series-Nanjing Da Bao'en Temple was held in Nanjing Da Bao'en Temple. Thanksgiving is the theme of this vertical marathon. To better highlight the theme, enrich employee activities of state-owned enterprises and demonstrate the spirits of the state-owned enterprises, the employees of Holdings Group participated in the Jiangsu Vertical Marathon Series. The Company's Labour Union mobilized staff from headquarter extensively. A total of more than 30 employees enrolled in it. After a random draw, 10 employees successfully participated in the competition at the end.

(5) 組織員工參加「尋找最美勞動者」有獎征圖(文)活動

2017年6月，江蘇省總工會和新華報業傳媒集團聯合開展「尋找最美勞動者」有獎征圖(文)活動，工會積極動員公司攝影愛好者參與，組織並上報了40名「最美勞動者」的圖文材料參加集團內部評選，角逐「蘇豪控股集團最美勞動者」的獎項。

(6) 組織員工參加控股集團垂直馬拉松比賽

2017年6月18日，別克•2017江蘇垂直馬拉松系列賽—南京大報恩寺站在南京大報恩寺舉行。本次垂直馬拉松以感恩為主題。為更好的突出該主題，豐富國有企業員工活動，展現國有企業的精神風貌，控股集團組織員工參與本次江蘇垂直馬拉松系列賽。公司工會廣泛動員總部員工，共有30多名員工報名，隨機抽籤，最終10人報名成功並參加比賽。

VII. Foster Staff Growth 第七章、促進員工成長

(7) Organizing employees to participate in “World Walking Day” activity

In September 2017, the Labour Union organized employee participation in the 15th “World Walking Day” launching ceremony in Nanjing cum “Zhongshan Fragrance” walking activity. The activity was organized by the Nanjing Sports Bureau and Sun Yat-sen Management Bureau and held at the Zhongshan Scenic Area. Nearly 40 employees from the headquarters participated, enjoying the exercise, the fragrances, and a variety of cultural activities.

(8) Creating four major teams of Holdings Group sports teams

To further revitalize the spare time cultural life of the Holdings Group’s employees, improve the level of sports competition of employees and promote the exchange of foreign cultural and sports activities, demonstrate the good mental status and overall quality of employees, and establish a civilized and up-to-date image of Soho staff, Holdings Group men’s soccer team, men’s basketball team, table tennis team and badminton team were formally established by Holdings Group during the first half of 2017. After extensive mobilization by the Labour Union of the Company, a total of 12 staff applied for football team, 7 staff applied for basketball team, 5 staff applied for table tennis team and 4 staff applied for badminton team respectively. In addition, during the “Employee Fitness Instructor” selection led by the Holdings Group, two employees of the Company submitted their qualifications for selection as instructors for table tennis and badminton.

(9) Organizing teams to participate in the financial industry football competition in Jiangsu Province

In order to display the Company’s image and increase exchanges with companies of the same industry, under the unified organization of the Jiangsu Provincial Financial Office, the Company’s Labour Union composed a team of 20 employees to participate in the Jiangsu Provincial financial industry football league in June 2017. The event embraced the entire province’s financial system, with banks, securities companies, insurance companies and other financial companies all joining in. The tournament allowed the Company to further strengthen its communications and exchanges with other companies in the industry.

(7) 組織員工參加「世界步行日」活動

2017年9月，工會組織員工參加南京市第十五屆「世界步行日」啟動儀式暨「鐘山尋香」徒步大會。活動由南京市體育局、中山陵管理局聯合主辦，在美麗的鐘山風景區開展。總部近40名員工參加，通過活動，大家既健步賞球，又聞香識桂，體驗豐富多彩的文化活動。

(8) 投身控股集團四大球隊建設

為進一步活躍控股集團廣大職工業餘文化生活，提高職工體育競技水平和促進對外文化體育交流，展示職工良好的精神面貌和綜合素質，樹立蘇豪人文明向上的形象，控股集團於2017年上半年成立並完善控股集團男子足球隊、男子籃球隊、乒乓球隊、羽毛球隊。經工會廣泛動員，分別有12人報名足球隊、7人報名籃球隊、5人報名乒乓球隊、4人報名羽毛球隊。此外，在由控股集團牽頭組織的「職工健身指導員」遴選活動中，公司2名員工分別遞交了乒乓球、羽毛球的指導員資格申請。

(9) 組隊參加江蘇省金融業足球比賽

為展示公司形象，增加同行業交流，在江蘇省金融辦統一組織下，2017年6月，工會積極組織由20名員工組成的代表隊，參加江蘇省金融業足球聯賽。本次活動涵蓋全省金融系統，省內銀行、證券公司、保險公司等金融企業一同參賽。通過活動，公司進一步加強與金融同業間的溝通交流，對今後各項工作開展形成有力的促進作用。

VII. Foster Staff Growth 第七章、促進員工成長

(10) Organizing teams to participate in the first Nanjing financial cup football competition

In July 2017, the Holly Futures football team joined the competition for the first Nanjing Financial Cup despite of the hectic work life, facing up against teams from Huaxia Banking, CITIC Securities and CZBank. Efforts of Holly Futures male football team served as an inspiration for the whole Company, and team awareness and cohesion have further been enhanced.

(11) Organizing teams to participate in badminton competition organized by Jiangsu Financial Association

In December 2017, the “Hexi CBD Cup” 2017 Jiangsu Financial Association badminton competition was held at the Olympic Sports Center. The competition attracted more than 200 athletes from 27 teams from Jiangsu’s financial industry. After fierce competition, Holly Futures eventually emerged as the 2nd runner up.

(12) Participating in 2017 Jiangsu futures industry badminton friendship match

In October 2017, the 2017 Jiangsu Futures Association badminton competition was held at the Nanjing University of Traditional Chinese Medicine gymnasium. A total of 87 athletes from Jiangsu’s 16 member unit teams and the Jiangsu Securities Regulatory Bureau team participated. The well-honed technique and fighting spirit of the Holly Futures team saw it through to take the championship award. Through the competition, not only the spare time cultural life of the employees were enriched, it also enhanced the communication and exchange between the Company and the regulatory authorities and counterparts in the activity.

(13) Organizing film-watching activity

In August 2017, the Labour Union promoted patriotic education while providing comfort to summertime staff with a “Cool Up and Watch Wolf Warrior 2” film-watching activity. Under the organization of the Labour Union, the employees of the Labour Union watched the movie “Wolf Warrior 2”. Everyone was moved by the heroic spirit that the film expressed, and employees’ understanding on their mission and responsibility were deepened.

(10) 組隊參加第一屆南京市金融杯足球比賽

2017年7月，弘業期貨足球隊在緊張的工作之餘繼續參加第一屆南京市金融杯足球賽。活動中，先後對陣華夏銀行隊、中信證券隊、浙商銀行隊。弘業期貨男足的頑強拼搏精神得到了充分體現，團隊意識與凝聚力也得到了進一步提升。

(11) 組隊參加江蘇省金融業聯合會羽毛球大賽

2017年12月，「河西CBD杯」2017江蘇省金融業聯合會羽毛球大賽在奧體中心舉辦。本次比賽吸引了來自江蘇金融行業的27家代表隊的200餘名運動員同場角逐。經過激烈的角逐，弘業期貨歷經辛苦搏殺，最終斬獲本次羽毛球大賽團體季軍。

(12) 參加2017年江蘇期貨行業羽毛球友誼賽

2017年10月，2017年度江蘇省期貨業協會羽毛球比賽在南京中醫藥大學體育館舉辦，江蘇省16家會員單位代表隊及江蘇省證監局代表隊共87名運動員參加了比賽。弘業期貨憑藉頑強搏擊的期貨人精神、嫺熟的比賽技巧、豐富的比賽經驗和團隊協作精神，最終斬獲冠軍殊榮。通過比賽，不僅豐富了員工們的業餘文化生活，也增強了公司與轄區內監管機構及同行之間的溝通和交流。

(13) 組織開展觀影活動

2017年8月，為進一步推進愛國主義教育、關愛在高溫溽暑中堅守崗位的員工，工會開展了「送清涼·看戰狼」觀影活動。在工會的組織下，工會員工觀賞了電影《戰狼2》。大家都為電影所表達的為國家、為民族不惜犧牲的英雄主義精神所感動，深化了廣大員工對自身使命和責任擔當的認識。

VII. Foster Staff Growth 第七章、促進員工成長



(14) Participating in the “Greeting the 19th CPC National Congress” provincial show

In June 2017, in order to fully implement the spirit of the 18th CPC National Congress, the 18th Plenary Session, the important speech of General Secretary Xi Jinping, and the 13th Provincial Party Congress, vigorously nurture and implement the core values of socialism and fully demonstrate the results of the enterprise culture construction of provincial enterprises since the 18th CPC National Congress, bring together the positive energy of the employees, and pay tribute to the 19th Session of the National People's Congress, the Provincial State-owned Assets Supervision and Administration Commission organized a performance of outstanding works of provincial enterprises' corporate culture. In the 10-person recitation team organized by the Holdings Group, the Company's Labour Union selected two employees to participate in the show. The representatives of the Company were the leaders of the group recitation team with excellent performance.

(14) 參加省屬企業「向黨的十九大獻禮」匯演活動

2017年6月，為全面落實黨的十八大、十八屆歷次全會、習近平總書記系列重要講話和省第十三次黨代會精神，大力培育踐行社會主義核心價值觀，充分展示黨的十八大以來省屬企業企業文化建設的成果，彙聚廣大職工的正能量，向黨的十九大獻禮，省國資委組織舉辦省屬企業企業文化原創優秀作品匯演。在控股集團組織的10人朗誦隊中，公司工會選派2名員工參加，所派代表憑藉優異的表現，成為集團朗誦隊的領誦人員。

VII. Foster Staff Growth 第七章、促進員工成長

In addition, the Labour Union actively assigned personnel to participate in other types of activities organized by Holdings Group. For example, during the “8 March International Women’s Day” in 2017, the Labour Union sent female workers to participate in parent-child lectures and provincial women’s cadre outreach training organized by the Provincial Ministry of Industry and Commerce Women Workers Committee.

During the Reporting Period, the Labour Union continued to give out a park annual card to each employee to provide convenience for them to participate in outdoor activities and appreciate the 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 have physical training after work. The new recruits could also integrate themselves into the Company’s atmosphere more rapidly through these relaxing and healthy activities.

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 to conduct a great variety of collective activities locally. During the Reporting Period, under the support of the Labour Union, each branch held distinctive collective activities, for example: Suqian branch held a swimming competition, Yancheng branch held an archery competition, Jiangyin branch and Suzhou branch held outdoor outreach activities. 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.

4. Establish a dedicated Labour Union

On the “International Women’s Day” in 2017, the chairman of the Labour Union, Jia Guorong, deputy secretary of the Party Committee, Yu Hong, and 14 female employees of the Company carried out condolence activities at the Nanjing Social Welfare Institute. The Group gave out food, books, diapers, toys and other daily necessities to the institute’s children. The condolences activities not only sent warmth to the children of the orphanages, but also gave hope to the children’s future. It also enhanced the sense of social responsibility of the employees and gave everyone an unforgettable and meaningful Women’s Day.

此外，工會還積極選派人員參加控股集團組織的其他各類活動。例如，在2017年「三八國際婦女節」期間，工會選派女工委員參加省部屬企事業工會女職工委員會組織舉辦的省部屬企業女職工親子講座、省部屬企業女工幹部拓展訓練等「三八」節系列活動。

於本報告期內，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，工會繼續支持每周羽毛球俱樂部、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。

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，以組織本部門員工在當地開展形式豐富的集體活動。於本報告期內，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，比如：宿遷營業部舉辦游泳比賽，鹽城營業部舉辦射箭比賽，江陰營業部、蘇州營業部舉辦戶外拓展活動。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。

4. 創建奉獻型工會

2017年「國際勞動婦女節」當天，工會主席賈國榮、黨委副書記虞虹携公司14名女員工一同到南京市社會兒童福利院開展送溫暖慰問活動，將食品、書籍、紙尿褲、玩具等生活用品送給孩子們。愛心慰問活動的開展，不僅給福利院小朋友送去了溫暖，給孩子前行的道路添加了曙光，也增強了員工的社會責任感，讓大家度過了一個難忘的、有意義的婦女節。

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 in the practice 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 did not have any environmental pollution incidents or non-compliance events or lawsuits related to environmental protection.

As a non-manufacturing enterprise, the main impact 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. The Company's business does not have direct damage to nor abuse the environment and natural resources. Through education, training and publicity for employees, the Company has established a strong culture of resource conservation and environmental protection in its daily activities.

In terms of paper reduction, the Company advocates employees to use e-mail instead of paper as much as possible. Paper is used 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, smaller fonts are used on all files to save paper. Recycled paper is used 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. The Company fully promotes a paperless office, introduces OA management system and 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.

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。公司業務並無直接對環境及天然資源的破壞和濫用的行為。但通過對於員工的教育、培訓和宣傳，使大家牢固樹立節能意識，通過日常行為來保護環境節約資源。

節約用紙方面。公司提倡員工儘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，所有文件儘量使用小號字體以節約用紙。公文用紙、名片、印刷物等儘量使用再生紙。公司鼓勵員工自帶水杯，節約一次性紙杯的使用。公司全面推廣無紙化項目，上線辦公自動化(OA)管理系統，使辦公流程的電子化，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。

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 has strengthened the inspection and monitoring of office areas, computer room lighting and air-conditioning facilities and equipment, and promotes the use of energy saving lighting in its offices. 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℃ should be proper) and the highest in winter (20℃ 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, slogans are posted in pantry area and restrooms to urge all staff to save water and electricity. Water fixtures in office are checked regularly to eliminate leakage.

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 use of the Company's vehicles for private purpose. The Company has strengthened the centralized management and deployment of business vehicles, significantly increased vehicle usage efficiency and reduced the frequency of daily use, and vehicle operating costs were significantly reduced. 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 its 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. Air-conditioners used by the Company are all environmentally friendly air-conditioners.

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。加強對辦公區、機房照明及空調設施設備巡檢和監控，增強員工的節能理念。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。除此之外還定期檢查供水裝置，排除龍頭漏水的情況。

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。加強經營用車的集中管理、統一調配，大幅提高了車輛使用效率，日常出車頻次明顯降低，車輛運行成本大幅下降。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。公司使用空調均為環保空調。

VIII. Green Environmental Protection and Energy Conservation and Emission Reduction

第八章、綠色環保，節能減排

Environmental Data Performance Summary ²

環境類績效表現概述 ²

	Indicator 指標	Unit 單位	2017 2017年
A. Environment 環境			
A1. Emissions 排放物			
A1.1	types of emissions, related emission data and density 排放物種類、相關排放數據及密度		
	total emission of sulfur oxide 硫氧化物總排放量	Kg 千克	3.0 3.0
	emissions of sulfur oxide, per capita 硫氧化物人均排放量	kg 千克	0.01 0.01
A1.2	emission and density of greenhouse gas 溫室氣體排放量及密度		
	total greenhouse gas emissions 溫室氣體總排放量	ton 噸	99.25 99.25
	per capita emissions of greenhouse gases 溫室氣體人均排放量	ton 噸	0.32 0.32
A1.3	total amount and density of harmful waste produced 所產生有害廢棄物總量及密度		
	total amount of ink cartridge 墨盒總量	piece 支	5 5
	per capita amount of ink cartridge 墨盒人均量	piece 支	0.016 0.016
	toner cartridge 硒鼓	item 個	195 195
	per capita amount of toner cartridges 硒鼓人均量	item 個	0.63 0.63
	lamp 燈管	Piece 支	355 355
	per capita amount of the lamp 燈管人均量	piece 支	1.14 1.14
A1.4	total amount and density of harmless waste produced 所產生無害廢棄物總量及密度		
	electronic equipment 電子設備	Set 台	0 0
	per capita amount of electronic equipment 電子設備人均量	set 台	0 0

² The statistical standards are Holly Futures Headquarters.

² 統計口徑均為弘業期貨總部

VIII. Green Environmental Protection and Energy Conservation and Emission Reduction

第八章、綠色環保，節能減排

	Indicator 指標	Unit 單位	2017 2017年
A2. Use of resources 資源使用			
A2.1	energy consumption and density 能源消耗量及密度		
	power consumption 耗電量	kwh 千瓦時	1,388,236
	per capita electricity consumption 人均耗電量	kwh 千瓦時	4,463.78
	gasoline consumption 汽油消耗量	kl 千升	37.7
	total amount of gasoline per capita 人均汽油總用量	kl 千升	0.12
	diesel consumption 柴油消耗量	kl 千升	0
	per capita consumption of diesel 人均柴油消耗量	kl 千升	0
	water resources consumption and density 水資源消耗量及密度		
	water consumption in the office 辦公室耗水量	ton 噸	4,019.00
	per capita consumption of diesel 人均辦公室耗水量	ton 噸	12.92
A2.2			

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, 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 summed up 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 theme, Holly Futures has insisted on carrying out a series of social welfare activities including poverty alleviation and helping the poor. For years, Holly Futures has persisted in helping the children in poverty to 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 is 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

The Company also devotes attention and care to disabled children. On 8 March 2017, Holly Futures organized employees to participate in a Nanjing Social Welfare Institute activity named “Walk with Love and Let Love Grow”, giving out food, books, diapers, toys and other daily necessities to the institute’s children, so that the children can feel the warmth and care from the society.

公司不僅情牽貧困兒童，同時也不忘關愛特殊兒童群體。2017年3月8日，弘業期貨一改以往的傳統做法，組織公司員工前往南京市社會兒童福利院開展「與愛同行、讓愛成長」愛心慰問活動，將書籍、食品、紙尿褲、玩具等生活用品送到孩子們，讓孩子們感受到來自社會的溫暖和關愛。



(II) 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 not uncommon 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 give professional support and assistance, establish a long-term and effective mechanism for poverty alleviation and set up a positive image in the industry.

(二) 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。

IX. Public Welfare Undertakings and Social Service

第九章、公益事業與社會服務

In February 2017, Holly Futures entered into a Memorandum of Poverty Alleviation Services with Zhenlai County, Baicheng Town, Jilin Province, a key poverty county. Under its terms, the Company will use futures knowledge to provide professional poverty alleviation and special poverty alleviation to help Zhenlai County to strengthen its production mechanisms. Holly Futures put up five measures to help achieve this aim: firstly, as Zhenlai County produces a high yield of corn, it introduced corn “futures + insurance” to help local farmers reduce risks and protect their benefits; secondly, the Company promoted this information to the countryside and held promotional events; thirdly, it solved the farmers’ difficulties in selling grain by harnessing the advantages of the prosperous economy in eastern China where Holly Futures’ headquarters are located, as well as various branches of the Company and the risk management subsidiary, and using Holly Capital’s rich experience in spot markets; fourthly, Holly Futures’ northeast sub-branch provided free training for farmers and student internships; fifthly, the Company directly provided money and items for families living below the poverty line and provided educational funds for students from the underprivileged families. Through these measures, the Company is helping Zhenlai County to establish mechanism of sustainable wealth growth.

2017年2月，弘業期貨與國家重點貧困縣吉林省白城市鎮賚縣簽訂了扶貧服務備忘錄，利用期貨知識進行專業扶貧、特色扶貧，幫助鎮賚縣增強造血機制。弘業期貨結合當地實情和期貨市場新政策、新方針，確立了五大舉措。一是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，舉行推介會；三是利用弘業期貨總部所屬東部地區經濟發達、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，幫助農民解決賣糧難的問題；四是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；五是為特困戶提供物資支持，為特困學子提供教育基金。通過這五大舉措，幫助鎮賚縣打造長效致富機制。



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

Supported and promoted by the Dalian Commodity Exchange and the government of Zhenlai County, Jilin Province, Holly Futures and PICC Jilin Branch cooperated in the launch of a corn “insurance + futures” pilot project. On 10 November 2017, the corn “insurance + futures” pilot project was completed, providing price risk protection for 22,000 tons of corn in Zhenlai County, Jilin province. The insured farmers received claimed compensation amounting to RMB1.05 million, and the project helped to prevent farmers from the misfortune of “good produce but poor harvest”. The project also laid a solid foundation for Holly Futures’ targeted poverty alleviation work in the region. On 23 November 2017, supported by Dalian Commodity Exchange, Holly Futures organized the “Compensation Ceremony for “corn insurance + futures project” held in Zhenlai County, Jilin Province, a national poverty county.

在大連商品交易所和吉林省鎮賚縣政府的支持推動下，弘業期貨與吉林人保合作推出了玉米「保險+期貨」試點項目。2017年11月10日，玉米「保險+期貨」試點項目結束，為吉林省鎮賚縣22,000噸玉米提供了價格風險保障，參保農戶共計獲得理賠金額人民幣105萬元，幫助農民免遭「豐產不豐收」的厄運，為弘業期貨在該地的精準扶貧工作打下堅實基礎。2017年11月23日，由大連商品交易所支持，弘業期貨主辦「玉米‘保險+期貨’項目理賠儀式」在國家級貧困縣吉林省鎮賚縣舉辦。



IX. Public Welfare Undertakings and Social Service

第九章、公益事業與社會服務

In March 2017, led by the China Futures Association, Holly Futures entered into a Memorandum of Poverty Alleviation Services with the government of Yanchang County, Shaanxi Province to carry out work under “One Company with One Industry, Hand in Hand for a Long Term”. Afterwards, Zhao Dong, deputy general manager of Holly Futures, personally visited Xiayi Village of Leichi Town, Yanchang County, meeting with cadres of the village committee to conduct field research. He determined to assist the village to speed up implementation of the one village, one product project, and to prepare for a targeted poverty alleviation program for grain fields together.

2017年3月，在中國期貨業協會的牽頭下，弘業期貨與陝西省延長縣人民政府簽署了扶貧服務備忘錄，啟動「一司一產、‘長’‘期’攜手」精準幫扶工作。隨後，弘業期貨副總經理趙東親赴延長縣雷赤鎮下驛村，和村委會全體村幹部深入田間，實地調研，確定了協助該村加快實施一村一品工程，共同打好千畝雜糧田扶貧攻堅戰的精準扶貧方案。



Providing services for the real economy and exploring new models for agricultural products price risk management has always been a major aim for Holly Futures. The Company combines its risk management expertise with poverty alleviation to provide broader room for development of the futures market to serve “agriculture, rural areas and farmers”. Promotion of integrated innovation of “futures + insurance” contributes to enhancing the strength of the financial market’s services to “agriculture, rural areas and farmers”, achieving point-to-point connection between financial market and farmers, thus it is of positive significance in safeguarding revenue of farmers and promoting agricultural and rural development.

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

(III) Enthusiastic about charitable events 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 charitable events in other forms, including participating in the “pair-up urban areas with villages for civilized construction” activity throughout the province, helping the economically disadvantaged villages and towns in the province to 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”. Cumulative donation in recent years reached some RMB2 million.

(三) 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。

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 up 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. 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 utilizing the strengths 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 has taken an active role in the poverty alleviation work organized by the China Futures Association. In March 2017, led 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 approximately 37.55% of the total poor villages across the county; and expecting to assist 828 poor families with a total of 1,900 people, accounting for approximately 8.63% of the total poor families across the county and approximately 9.48% of the total number of the poor people.

弘業期貨將一如既往響應國家和中國證監會的號召，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，約佔全縣貧困村總數的37.55%；擬幫扶貧困戶828戶、共計1,900人，約佔全縣貧困戶總數的8.63%，約貧困人口總數的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 parties 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, by combining new policies and new targets of futures market with creative approach. 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 professional futures support, industrial support, talent support and education support, and carry out poverty alleviation work with dedication, responsibility and effort.

In the future, the Company will continue to work hard on poverty alleviation and use the characteristics of the futures industry to carry out more professional and efficient poverty alleviation activities in impoverished regions.

弘業期貨還與吉林省鎮賚縣簽訂了扶貧服務備忘錄。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，打贏脫貧攻堅戰。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。

未來，公司將繼續致力於推進扶貧工作，利用期貨行業的特點，在貧困地區開展更多專業、高效的扶貧活動。

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

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

In 2017, the Company continued to accelerate the construction of Internet finance, improve business efficiency and system performance oriented by customer experience. In respect of wealth management, the Company adhered 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 meeting closer 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

In March 2017, the Company participated in the “3.15” investor protection square publicity campaign organized by the Jiangsu Futures Association (the “Provincial Futures Association”) with the theme of “Youth Investment, Go along with me” at the Xianlin Dongchenghui Plaza, a concentrated campus in Nanjing. The deputy secretary of the Party Committee of the Company, Yu Hong, attended the activity. She also visited the booths of various Nanjing-based securities and futures operating agencies and exchanged ideas with leaders of the CSRC Jiangsu branch, the Provincial Futures Association, and the provincial delegation. Nearly 30 futures practitioners from Holly Futures participated in the event and used it as an opportunity to issue protection manuals and typical cases to investors, promote the Company and knowledge of the futures market, answer questions from investors, and help investors establish the right investment philosophy.

2017年3月，公司參加了江蘇省期貨業協會（以下簡稱「省期協」）在南京高校集中地仙林東城匯廣場開展主題為「青春投資•伴我同行」的「3.15」投資者保護廣場宣傳活動。公司黨委副書記虞虹出席宣傳活動，和中國證監會江蘇局領導、省期協領導及團省委領導等共同走訪各個在寧證券期貨經營機構的展位，並互動交流。弘業期貨近30名期貨從業者參加這次投資者保護活動，以廣場宣傳活動為契機，向投資者發放投資者保護手冊、典型案例等，宣傳公司及期貨市場知識，解答投資者諮詢的問題，幫助投資者樹立正確的投資理念。



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) Shoulder more social responsibilities along with its own development

In 2017, while contributing economic value to the society, the Company continued to adhere to the idea of harmonious development between the Company and the society and integrate corporate social responsibility construction into its development strategy, operation management and various business lines. The Company will vigorously develop green finance to reward shareholders and stakeholders, better serve 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 development together with the society.

(IV) Awards of the Company

The Company was granted the following awards during 2017:

(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，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。

(四) 公司所獲獎項

於2017年，公司獲得的獎項如下：

Award-winning organization 獲獎單位	Award 獲得獎項	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	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	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	Best Brand Establishment and Promotion Prize 最佳品牌建設推廣獎	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	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Excellent Futures Asset Management Product Prize 優秀期貨資產管理產品獎	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Gold Futures Institute in China 中國金牌期貨研究所	Futures Daily, Securities Times 期貨日報、證券時報
Nantong Branch and Fuzhou Branch 南通營業部、福州營業部	The Excellent Branch of Futures in China 中國優秀期貨營業部	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Excellent Member 優秀會員	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	Zhengzhou Commodity Exchange 鄭州商品交易所
The Company 公司	2017 China Futures Leader Junjing Award 2017中國期貨領軍人物君鼎獎	Securities Times 證券時報

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

Award-winning organization 獲獎單位	Award 獲得獎項	Awarding or granting organization 頒獎單位
The Company 公司	The fifth session of "CFFEX Cup" Financial Knowledge Contest for National Collegers-Excellent award second prize 第五屆「中金所杯」全國大學生金融知識大賽 優秀組織獎二等獎	China Financial Futures Exchange, 中國金融期貨交易所
The Company 公司	The National Civilization Unit 全國文明單位	Central Civilization Committee 中央文明委
The Company 公司	The Excellent Innovation Service Award 優秀創新服務獎	Futures Daily, Securities Times 期貨日報、證券時報
The Company 公司	The Excellent Investor Service Award 優秀投資者服務獎	Futures Daily, Securities Times 期貨日報、證券時報

XI. Appendix: Index 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: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
一般披露 A1	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。	八、綠色環保、節能減排
Key Performance Indicator A1.1	The types of emissions and respective emissions data.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A1.1	排放物種類及相關排放數據。	八、綠色環保、節能減排
Key Performance Indicator A1.2	Greenhouse gas emissions in total (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A1.2	溫室氣體總排放量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)。	八、綠色環保、節能減排
Key Performance Indicator A1.3	Total hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A1.3	所產生有害廢棄物總量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)。	八、綠色環保、節能減排
Key Performance Indicator A1.4	Total non-hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A1.4	所產生無害廢棄物總量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)。	八、綠色環保、節能減排
Key Performance Indicator A1.5	Description of measures to mitigate emissions and results achieved.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A1.5	描述減低排放量的措施及所得成果。	八、綠色環保、節能減排

XI. Appendix: Index 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
Key Performance Indicator A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A1.6	描述處理有害及無害廢棄物的方法、減低產生量的措施及所得成果。	八、綠色環保、節能減排
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. Green Environmental Protection and Energy Conservation and Emission Reduction
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、綠色環保、節能減排
Key Performance Indicator A2.1	Direct and/or indirect energy consumption by type (e.g. electricity, gas or oil) in total (kWh in '000s) and intensity (e.g. per unit of production volume, per facility).	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A2.1	按類型劃分的直接及／或間接能源(如電、氣或油)總耗量(以千個千瓦時計算)及密度(如以每產量單位、每項設施計算)。	八、綠色環保、節能減排
Key Performance Indicator A2.2	Water consumption in total and intensity (e.g. per unit of production volume, per facility).	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A2.2	總耗水量及密度(如以每產量單位、每項設施計算)。	八、綠色環保、節能減排
Key Performance Indicator A2.3	Description of energy use efficiency initiatives and results achieved.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A2.3	描述能源使用效益計劃及所得成果。	八、綠色環保、節能減排
Key Performance Indicator A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A2.4	描述求取適用水源上可有任何問題，以及提升用水效益計劃及所得成果。	八、綠色環保、節能減排
Key Performance Indicator A2.5	Total packaging material used for finished products (in tonnes) and, if applicable, with reference to per unit produced.	Not available (principal business does not use a lot of packaging materials)
關鍵績效指標 A2.5	製成品所用包裝材料的總量(以噸計)及(如適用)每生產單位佔量。	不適用(主營業務並未大量使用包裝材料)
Aspect A3. The Environment and Natural Resources		

XI. Appendix: Index 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
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. Green Environmental Protection and Energy Conservation and Emission Reduction
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、綠色環保、節能減排
Key Performance Indicator A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them.	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A3.1	描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	八、綠色環保、節能減排
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: (a) the policies; and (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.	VII.(I) Safeguard employees' rights and interests effectively VII.(II) Establish a sound employees' labour welfare system
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： (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) 切實保障員工權益 七、(二) 健全員工勞動福利制度
Key Performance Indicator B1.1	Total workforce by gender, employment type, age group and geographical region.	VII.(I) Safeguard employees' rights and interests effectively
關鍵績效指標 B1.1	按性別、僱傭類型、年齡組別及地區劃分的僱員總數。	七、(一) 切實保障員工權益
Key Performance Indicator B1.2	Employee turnover rate by gender, age group and geographical region.	VII.(I) Safeguard employees' rights and interests effectively
關鍵績效指標 B1.2	按性別、年齡組別及地區劃分。	七、(一) 切實保障員工權益
Aspect B2. Health and Safety		
層面 B2. 健康與安全		

XI. Appendix: Index 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
General Disclosure B2	Information on: (a) the policies; and (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.	VII.(II) Establish a sound employees' labour welfare system VII.(IV) Give full play to the Labour Union
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： (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、(二) 健全員工勞動福利制度 七、(四) 充分發揮工會的積極作用
Key Performance Indicator B2.1	Number and rate of work-related fatalities.	VII.(II) Establish a sound employees' labour welfare system
關鍵績效指標 B2.1	因工作關係而死亡的人數及比率。	七、(二) 健全員工勞動福利制度
Key Performance Indicator B2.2	Lost days due to work injury.	VII.(II) Establish a sound employees' labour welfare system
關鍵績效指標 B2.2	因工傷損失工作日數。	七、(二) 健全員工勞動福利制度
Key Performance Indicator B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored.	VII.(II) Establish a sound employees' labour welfare system
關鍵績效指標 B2.3	描述所採納的職業健康與安全措施，以及相關執行及監察方法。	七、(二) 健全員工勞動福利制度
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. Note: Training refers to vocational training. It may include internal and external courses paid by the employer.	VII.(III) Focus on employees' training and promotion
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。 註：培訓指職業培訓，可包括由僱主付費的內外部課程。	七、(三) 注重員工培訓與提升
Key Performance Indicator B3.1	The percentage of employees trained by gender and employee category (e.g. senior management, middle management).	VII.(III) Focus on employees' training and promotion
關鍵績效指標 B3.1	按性別及僱員類別（如高級管理層、中級管理層等）劃分的受訓僱員百分比。	七、(三) 注重員工培訓與提升
Key Performance Indicator B3.2	The average training hours completed per employee by gender and employee category.	VII.(III) Focus on employees' training and promotion
關鍵績效指標 B3.2	按性別及僱員類別劃分，每名僱員完成受訓的平均時數。	七、(三) 注重員工培訓與提升
Aspect B4. Labour Standards		
層面 B4. 勞工準則		

XI. Appendix: Index 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
General Disclosure B4 一般披露 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. 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。	VII.(I) Safeguard employees' rights and interests effectively 七、(一) 切實保障員工權益
Key Performance Indicator B4.1 關鍵績效指標 B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	VII.(I) Safeguard employees' rights and interests effectively 七、(一) 切實保障員工權益
Key Performance Indicator B4.2 關鍵績效指標 B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	Not available 不適用
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 一般披露 B5	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	V.(VII) Supplier management 五、(七) 供應商管理
Key Performance Indicator B5.1 關鍵績效指標 B5.1	Number of suppliers by geographical region. 按地區劃分的供貨商數目。	Not available 不適用
Key Performance Indicator B5.2 關鍵績效指標 B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored. 描述有關聘用供貨商的慣例，向其執行有關慣例的供貨商數目、以及有關慣例的執行及監察方法。	Not available 不適用
Aspect B6. Product Responsibility 層面 B6. 產品責任		
General Disclosure B6 一般披露 B6	Information on: (a) the policies; and (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. 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： (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。	V.(IV) Pay attention to customer information security and transaction network security V.(VI) Protection of intellectual property rights 五、(四) 重視客戶信息安全及交易網絡安全保障 五、(六) 知識產權保護
Key Performance Indicator B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons.	Not available

XI. Appendix: Index 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
關鍵績效指標 B6.1	已售或已運送產品總數中因安全與健康理由而須回收的百分比。	不適用
Key Performance Indicator B6.2	Number of products and service related complaints received and how they are dealt with.	V.(V) Strengthen customer complaint management and improve complaint handling mechanism
關鍵績效指標 B6.2	接獲關於產品及服務的投訴數目以及應對方法。	五、(五) 加強客戶投訴管理，完善投訴處理機制
Key Performance Indicator B6.3	Description of practices relating to observing and protecting intellectual property rights.	V.(VI) Protection of intellectual property rights
關鍵績效指標 B6.3	描述與維護及保障知識產權有關的慣例。	五、(六) 知識產權保護
Key Performance Indicator B6.4	Description of quality assurance process and recall procedures.	Not available
關鍵績效指標 B6.4	描述質量檢定過程及產品回收程序。	不適用
Key Performance Indicator B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored.	V.(IV) Pay attention to customer information security and transaction network security
關鍵績效指標 B6.5	描述消費者數據保障及私隱政策，以及相關執行及監察方法。	五、(四) 重視客戶信息安全及交易網絡安全保障
Aspect B7. Anti-corruption		
層面 B7. 反貪污		
General Disclosure B7	Information on: (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.	IV. Compliance and Risk Prevention
一般披露 B7	有關防止賄賂、勒索、欺詐及洗黑錢的： (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。	四、合規與風險防範
Key Performance Indicator B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting period and the outcomes of the cases.	Not available
關鍵績效指標 B7.1	於彙報期內對發行人或其僱員提出並已審結的貪污訴訟案件的數目及訴訟結果。	不適用
Key Performance Indicator B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored.	IV. (III) Establish and improve anti-corruption mechanism
關鍵績效指標 B7.2	描述防範措施及舉報程序，以及相關執行及監察方法。	四、(三) 建立健全反貪污機制
Key Performance Indicator B8.1	Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport).	IX. Public Welfare Undertakings and Social Service
關鍵績效指標 B8.1	專注貢獻範疇(如教育、環境事宜、勞工需求、健康、文化、體育)。	九、公益事業與社會服務
Key Performance Indicator B8.2	Resources contributed (e.g. money or time) to the focus area.	IX. Public Welfare Undertakings and Social Service

XI. Appendix: Index 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
關鍵績效指標 B8.2	在專注範疇所動用資源（如金錢或時間）。	九、公益事業與社會服務
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. Public Welfare Undertakings and Social Service
一般披露 B8	有關以社區參與來瞭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、公益事業與社會服務



HOLLY FUTURES

