



# 中州证券

## Central China Securities Co., Ltd.

(a joint stock company incorporated in 2002 in Henan Province, the People's Republic of China with limited liability under the Chinese corporate name “中原证券股份有限公司” and carrying on business in Hong Kong as “中州证券”)  
Stock Code: 01375

### Environmental, Social and Governance Report 2017



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## ABOUT ESG REPORT

### Introduction of Report

This is the Second Environmental, Social and Governance Report (the “ESG Report”) of Central China Securities Co., Ltd. (operates as “中原证券股份有限公司” in mainland China) (the “Company”) and its subsidiaries (the “Group”), which provides description of the Group’s commitment and various works to sustainable development and its fulfillment of corporate social responsibility in 2017. For information on corporate governance, please refer to “Corporate Governance” on Page 150 of the Group’s Annual Report 2017.

### Scope of Report

The ESG Report focuses on the core business of the Group in People’s Republic of China (the “PRC”) with its environmental and social performance from 1 January 2017 to 31 December 2017 (the “Year”). The Group reported the Environmental and Social Key Performance Indicators (KPIs) in the Year, covering the headquarters, all the subsidiaries and branches (including securities branches), and data are listed in Appendix I. Unless otherwise specified, the ESG report uses RMB as currency unit. This report is published in both Chinese and English. If there is any discrepancy between Chinese and English, the Chinese version shall prevail.

### Criteria of Report

The ESG Report is prepared in accordance with the “Environmental, Social and Governance Reporting Guide” set out in Appendix 27 to the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited.

### Stakeholder Engagement

The compilation of the ESG report represents the joint efforts of the employees from different departments and enables the Group to better understand the development of its social and environmental aspects. The data collected serves as not only the summary of the environmental and social initiatives of the Group in 2017, but also a basis for the formulation of its short and long-term strategies of sustainable development.

### Information and Feedback

For more details on the environmental and corporate governance of the Group, please refer to the official website of Central China Securities Co., Ltd. (<http://www.ccnew.com>) and the Annual Report. Your opinions will be highly valued by the Group. Should you have any comments or suggestions regarding this report, please email to the address: [investor@ccnew.com](mailto:investor@ccnew.com).

## PRESIDENT'S STATEMENT



2017 has been a year of leap forward for the Group to reach a new high. During the Year, the Group smoothly implemented its strategic layout and was successfully listed on the Shanghai Stock Exchange (the "SSE") after years of pursuit. It is not only the first new listed company on the SSE for the year, but is also now one of the ten securities companies whose shares are listed in both A-share and H-share markets among over 130 securities companies across China with active control over its strategic development. It has been classified into Grade "A" of securities companies by the China Securities Regulatory Commission (the "CSRC") for three consecutive years. During the Year, the Company took lead in the establishment of Central China Life Insurance Co., Ltd., which was approved by the China Insurance Regulatory Commission and the pre-disclosure was completed. During the Year, the Group's integrated operation advantages became more prominent with the overall performance of its subsidiaries improved significantly, especially Central China Equity Exchange Co., Ltd. ("Equity Exchange"), whose number of listed enterprises exceeded 2,000. During the Year, the Group pressed forward with its all-out efforts and innovative spirit amid the severe macroeconomic and market environment. It has accelerated the transformation towards the strategic direction of "strengthening fundamental businesses such as investment banking, investment and brokerage while striving for development of innovative business", thereby further enhancing the foundation for its quality development.

While accelerating its transformation and development, the Group always regards reward to investors as an important benchmark in developing into an elite listed company. During the Year, the Group honored its promise to deliver attractive rewards to its investors by distributing cash dividends twice. It has also made donations and provided support specifically to four nation-level counties in poverty including Gushi and Shangcai; and deployed the first secretary of village to Luochen Village, Guangshan County. The reputation of Henan Foundation for Poverty Alleviation, in which the Company served as the president unit, grew significantly, signifying Central China Securities' real actions in shouldering its responsibilities and commitment on a continuous basis.

In the coming year, the Group will continue to focus its objective on developing into a modern and international large-scale financial holding group and keeps stepping forward. Meanwhile, the Group will also contribute to the sustainable development of the economy and society by taking advantage of its professionalism and increasing the investment in providing services to areas like environmental protection.

**JIAN Mingjun**  
Chairman



## ABOUT THE GROUP

### The Group's Profile

Central China Securities Co., Ltd. is the only registered securities entity in Henan Province. Since its establishment 15 years ago, the Group has focused on serving the real economy, continuously transforming and innovating, and embracing the core concepts of kindness, integrity, persistence and pragmatism to develop from humble beginnings to a strong company. Since 2012 in particular, the group has experienced rapid growth by being its IPO and subsequent secondary offering in Hong Kong, and its successful IPO on the A-share market. On track for continual and stronger growth, the Group is widely recognized as a representative financial enterprise in Henan. As of the end of the current year, the Group has a total of 4 domestic subsidiaries and 1 overseas subsidiary, with 25 branch offices and 88 securities branches in Mainland China. The Company has been receiving a Grade-A Securities Firm rating by the CSRC for three consecutive years from 2015 to 2017, which was among the top group of the PRC securities firms.

### Main Businesses

The Company is principally engaged in the brokerage business, investment banking business, investment management business, proprietary trading business, and overseas business.

#### Brokerage Business

Refers to the Group's business of trading of stocks, funds, bonds, and futures on behalf of the customers, in return for customers' commission. In recent years, the Group proactively grasped opportunities and continued to promote the transformation from provision of channeling services to value-added wealth management services. The Group actively adjusted the structure of its securities brokerage business, accelerated the transformation of its brokerage branches towards becoming an integrated security and finance platform and continued to enhance its comprehensive ability in serving customers.

#### Investment Banking Business

Mainly includes the securities underwriting and sponsorship business, the underwriting business of fixed income products, the financial advisory business, and sponsor business for the New Third Board. In recent years, the Group continuously improved its investment banking business system. By virtue of the advantage of the resource of the Henan Province, the Group has focused on serving the Henan capital market and kept on improving the nationwide business layout in order to create with full strength the "Central China Investment Banking" brand. Through these efforts, the Group has achieved positive progress and outstanding results in areas such as IPO, refinancing, merger, acquisition and restructuring and New Third Board recommendation business.

## ABOUT THE GROUP

### Investment Management Business

Mainly includes asset management business, private fund management business, equity investment and financial asset investment business. For asset management business, the Group fully leveraged its extensive experience in the industry to strengthen team building works and enhance operation efficiency, with a view to providing customers with diversified and customized product offerings. In respect of private fund management business, the Group controlled risks strictly, strengthened management and deepened its cooperation with local governments and advanced investment institutions with a view to promote the establishment of funds, expediting the existing operation of ZYKC Venture Capital and supporting the development of the real economy. With a focus on both revenue in the current period and revenue in mid-to-long term for equity investment and financial assets investment, the Group pushed ahead with both equity investment and financial assets investment.

### Proprietary Trading Business

It includes publicly offered stocks, bonds, funds, derivatives and other financial products approved by the CSRC. During the development process, the securities proprietary business of the Company has adhered to the principles of value investing and “flexible allocation and stable operation”, resulting in the effective control of investment risks. In 2017, the proprietary business actively explored the new management model, while equity investment recorded revenue over operational phases. On the basis that all risks are under control for bond investment business, the Company adopted effective measures to better response to the market impact.

### Overseas Business

On the basis of the Type 1, Type 2, Type 4, Type 5, Type 6 and Type 9 licenses granted by the SFC, as well as the money lender’s license issued by the Court of Hong Kong, the business scope of the Group’s overseas business covers comprehensive capital market services, including securities brokerage, margin financing, futures brokerage, investment banking, asset management, securities research, stock-secured financing and proprietary investment, etc. In 2017, the market of securities and derivatives in Hong Kong was buoyant with active trading activities, which recorded a number of new highs, including the substantial increase of 35.99% of Hang Seng Indexes and increase in the number of listing by way of IPO. Amid this favourable environment of the capital market, the overseas business of the Group capitalized on various business opportunities to continuously enhance its capital strength by completing the establishment of a platform for companies seeking to be listed and the introduction of strategic investors, thereby establishing a comprehensive international business chain and achieving relatively rapid development in various business aspects. Within about two years since its official commencement of operation, the ranking in terms of securities trading raised from 353 as at the end of 2016 to 153 as at the end of the Reporting Period [Source: Hong Kong Stock Exchange]. It demonstrated the continuous enhancement of its profitability with an increase of 177.23% in the net profit for the year as compared to that of 2016.



## ABOUT THE GROUP

### Major Awards

Unit Awarded	Name of Award	Issuer
The Party Committee of the Company	"Outstanding Grassroots Party Organization" of the 2016-2017 Provincial Financial Enterprises	Financial Work Commission of Henan Provincial Committee
The Party Branch of the brokerage business headquarters of the Company	"2016-2017 Advanced Grassroots Party Organization"	Financial Work Commission of Henan Provincial Committee
The Company	Ranked the fifth on the Honor Roll for "County Twinning" Pair-up Assistance for provision of aid for 4 counties in poverty	Listed on the Honor Roll for Social Responsibility Performance by Securities Companies (《證券公司履行社會責任光榮榜》) of Securities Association of China
The Company	"Special Contribution Award (特殊貢獻獎)" in the Choir Tournament of Henan State-owned Enterprises for "Celebrating 19th CPC National Congress" ("喜迎十九大"河南國有企業群眾性合唱比賽)	State-owned Assets Supervision and Administration Commission of Henan Provincial People's Government
The Company	"The Most Valuable Listed company during the 13th Five-year Plan Period (十三五最具投資價值上市公司)"	2017 Hong Kong International Financial Forum
The Company	"2017 Innovative Securities Company (2017年度創新證券公司)"	Huaxia Organization Investment Forum and the 11th "Golden Cicada" Award Ceremony (華夏機構投資者年會暨第十一屆"金蟬獎"頒獎盛典)

## ABOUT THE GROUP

Unit Awarded	Name of Award	Issuer
Central China Futures Co., Ltd.	2017 "Advanced Organization"	Zhengdong New District Development and Reform and Statistics Office
Yuxin Investment, subsidiary of Central China Futures Co., Ltd.	"Outstanding Risk Management Subsidiary"	Zhengzhou Commodity Exchange
Central China Futures Co., Ltd.	"2016-2017 Advanced Grassroots Party Organization"	Financial Work Commission of Henan Provincial Committee
The Business Department of Changsha North Road Station	"2016 Co-construction Advanced Unit"	Changsha Municipal Xianghu Administration Committee of the Chinese Communist Party and the Xianghu Management Bureau of Changsha City
Luoyang Branch	"Financial Support for Advanced Economic Development in Luoyang in 2016"	
Xinyang Branch	"Red List Enterprise" in Xinyang City, the first batch of trustworthy buildings in 2017	



## ABOUT THE GROUP

Unit Awarded	Name of Award	Issuer
Anyang Branch	"2016 Tangyin County Advanced Unit for Supporting Financial Work"	People's Government of Tangyin County
Xin'an Cihe Road Business Department	"New Financial Institution Award"	Xinan County Financial Office
Shangqiu Branch	"Advanced Unit of Financial Work of the City in 2016"	People's Government of Shangqiu City
Shangqiu Branch	"Outstanding Securities Branch of Investor Survey"	China Securities Investor Protection Fund Corporation Limited
Dengfeng Business Department	"The Youth Civilization Unit" from 2017 to 2021	The Communist Youth League of Zhengzhou Municipal Committee



The Party Branch of the brokerage business headquarters of the Company received the Honor of "2016-2017 Advanced Grassroots Party Organization"



The Company was awarded the "Special Contribution Award (特殊贡献奖)" in the Choir Tournament of Henan State-owned Enterprises for "celebrating 19th CPC National Congress" ("喜迎十九大" 河南国有企业群众性合唱比赛)

# ENVIRONMENTAL COMMITMENT

## Emissions Management

The majority of the Group's operation is undertaken by branches and offices. Therefore, domestic sewage, vehicle exhaust, and solid waste are the main sources of its emissions. The domestic sewage generated by the Group is transferred to the property management of the branches and the offices for centralized treatment. To reduce petrol waste and air pollution, the Group's fleet staff performs regular maintenance to raise the efficiency of the vehicles, and to ensure that there is no idling of the vehicle engine. The solid waste is mainly office waste, mostly non-hazardous. To lessen adverse environmental impacts from non-hazardous solid waste, employees are encouraged to reuse office furniture, envelopes, document labels, and stationery in lieu of disposable and non-recyclable products. The Group also adopts measures to reduce hazardous solid waste by safely recycling obsolete computers, used ink cartridges, and batteries.. The branches and offices are also furnished with environmentally friendly materials.



Paper recycling bins



Printer toner cartridge recycling bin

## Use of Resources

It is the Group's belief that sustainable development should be the dominant concern in the daily operation of the Group. Therefore, continuous efforts in energy and resource management have been made to reduce environmental impacts.

As part of the Group's water conservation initiatives, water-saving labels are displayed in washrooms, and employees are constantly reminded to turn the faucet off completely to avoid unnecessary waste. Other water saving measures taken include installation of infrared water tap and cistern flush, as well as promptly repairing any leaks and devices that may contribute to waste.

## ENVIRONMENTAL COMMITMENT

The Group endeavors to implement energy-efficient practices in its offices and business departments. Measures to enhance electricity efficiency are as follows:

- Selecting ENERGY STAR certified computers;
- Requiring employees to turn off electrical appliances during non-working hours;
- Implementing sectional lighting system with independent switches designated for different areas;
- Keeping the lighting fixtures clean; and
- Setting the temperature of air-conditioners at minimum 25.5 degrees Celsius.

In addition to the above, the Group's data centers have employed Type A computer lounges. Precision air conditioning is installed to maintain normal temperatures and humidity, and the server rack is equipped with cool/hot aisle with downward air supply and upward air return to ensure cooling efficiency to reduce energy consumption.

## Protection of Environment and Natural Resources



Green office environment

The Group's vision to become environmentally friendly is visible in its daily operation through creating a green office. In this year's production operations, the Group fully utilized the Office Automation (OA) System for managing administrative tasks such as purchasing materials, information dissemination, applications, and signatures to reduce the use of paper. Employees are also encouraged to set double-sided printing as default on their computers and use e-cards during festivals. Furthermore, investors of the Group are kept updated with information of rules and disclosure of risks via public media platform such as the Group's official website, WeChat, online transaction terminal and mobile transaction terminal to reduce paper communication. The Group also actively promotes big data operations to provide better online comprehensive securities services, including online securities account opening, securities quote, securities trading, securities finance and business self-service. In addition, the Group will explore applications of financial services on harnessing internet financial technology in various business areas. The Group also continues to advocate the use of public transport and car-sharing to protect environment and natural resources as well as reduce carbon emissions.

## COMMUNITY INVOLVEMENT

The Group upholds the core notions of “kindness, integrity, persistence and pragmatism” corporate culture. While pursuing business growth, the Group also fully supports and takes part in various charitable causes and accurate poverty alleviation to help those in need and to give back to society.

This Year, the Group continued to respond to the pairing poverty alleviation programme, “Company-County”, introduced by the Securities Association of China (the “SAC”). In 2016, Nanyang City’s Tongbai County and Zhumadian City’s Shangcai County were added to be assistance recipient counties alongside Lankao County and Gushi County. The Group made use of its professional advantage to provide poverty alleviation services for poor counties. The Group also actively advocated the “Company-County” pairing assistance policy, provided advisory services for the pre-IPO of two companies, and signed IPO cooperation intention with seven enterprises. The explicit poverty alleviation results include:

- Consumption Poverty Alleviation: A sum of RMB240,000 to purchase agricultural and sideline products for Lankao Zhangzhuang Village, Gushi Guanqiao Village, Xinxian County, benefitting 68 people registered as poverty condition.
- Education Poverty Alleviation: Through the Henan Provincial Poverty Alleviation Foundation, RMB500,000 was donated to Zhangzhuang Primary School in Dongbatou Township, Lankao County, for upgrading teaching equipment and improving teaching conditions. In conjunction with Sangonglihua, a basketball court worth of RMB150,000 was donated.
- Listing and exhibition of regional companies: During the Year, with the joint efforts of various branches, a total of 85 enterprises hailing from impoverished counties were listed at the Equity Exchange. The Equity Exchange also implements the green channel policy of “specialists’ services and special verification” for enterprises in poor counties, and charges half of the listed service and site fees to actively promote the standard development of local Small and Middle Enterprises (SMEs).
- Supporting construction of Party buildings in impoverished counties: RMB500,000 was donated to three poverty-stricken counties (Gushi County, Tongbai County, and Shangcai County) totalling RMB1.5 million, for the construction of basic-level party-masses service centers.
- Other donations: RMB1.3 million was donated to the Henan Sports Development Foundation to support the development of sports activities in Henan Province.



Establish assistance program with Tongbai County



Opening ceremony of donation to Lankao County

## COMMUNITY INVOLVEMENT

The Group also employed the Henan Province Foundation for Poverty Alleviation to help the poverty alleviation work in the province: as the chairman unit, the company actively supported the development of the Henan Foundation for Poverty Alleviation, specifically selected the company's party committee members and trade union chairperson to serve as chairman of the board of directors, and selected excellent cadres from trade unions to serve as the secretary general. The previously unconsolidated company donation funds were consolidated through that platform to ensure accurate accounting of funds to aid poverty alleviation.

### Support Henan Poverty Alleviation Foundations

In 2017, the Henan Foundation for Poverty Alleviation received donated funds of RMB470 million and materials worth RMB2.7 million from society. The Foundation cooperated with enterprises alleviation purposes such as Evergrande Group, County Garden, the Company, Henan Yichuan Rural Commercial Bank Co., Ltd., Henan Branch of the China Construction Bank and mobilized more than 50,000 caring people to participate in charity activities; these activities directly benefited about 1,670 disadvantaged households and encouraged nearly 10,000 impoverished families to seek employment, which benefited more than 20,000 students in need.



Enriching the lives of students and schools in poverty

In addition, the Group also selects qualified personnel to provide poverty alleviation assistance in Xinjiang. This Year, the Company selected one cadre to provide support to Xinjiang who served as the deputy general manager of the State-owned Assets Investment Management Co., Ltd. of Hami City. Centered around Xinjiang's development goals, the Group also helped Hami State-owned Assets Investment and Management Co., Ltd. by obtaining approval of financing of RMB22.102 billion, and realizing income from financing business of RMB14.84 million.



## COMMUNITY INVOLVEMENT

### Selecting the First Secretary of the Village

In November 2017, according to the arrangements of the Organization Department of the Henan Provincial Party Committee of the Chinese Communist Party, through open registration, selection, and other procedures, the Company carefully selected a first secretary. Possessing good political qualities, strong abilities, and with good health, the first secretary serves Luo Chen Village of Guangshan County, an old revolutionary base in Henan Province. To further speed up the progress of poverty reduction in Luo Chen Village, the Company's party committee has decided to donate RMB500,000 to the village for basic party infrastructure.



Visiting and providing assistance to needy families

The Group also greatly supports SMEs and through its cooperation with local enterprises, more employment opportunities have been created. The Group continuously commits to provide quality financing platform for environmental entities and the development of green financial services. During the Year, the Group provided pre-IPO advisory and project initialisation services to two enterprises engaged in the environmental protection business, actively supporting the development of green environment..

In addition to the above, the Group also launches campaigns against illegal securities activities. Keynote talks on capital markets and investor education activities are regularly held to practice social responsibilities and to serve the general public.



# PRODUCT RESPONSIBILITY

## Compliance Regulation

The Group strictly conforms to laws and regulations such as the Listing Rules, the Securities and Futures Ordinance of Hong Kong, the Company Law of the PRC, the Securities Law of the PRC, the Regulation on the Supervision and Administration of Securities Companies and the Provisions for Compliance Management of Securities Companies and Securities Investment Fund Management Companies. With compliance systems serving as a foundation, the Group practices unified and centralized compliance governance.

Under the corporate governance structure of listed securities companies in Shanghai and Hong Kong, the Group has set up the four-tier vertical management structure consisting of: the Board of Directors, compliance director, compliance headquarters, and compliance officers of each department and branch organizations. All levels have well-defined duties and effective reporting channels. On the basis of the articles of association of the Company and rules and regulations, a compliance management mechanism that includes auditing and consultancy, supervision and examination, information isolation, anti-money laundering activities, and assessment was implemented. The Group also supervises each department to establish comprehensive mechanisms for risk control and embed compliance management requirements into each area of business.

During the Year, in order to implement the new regulatory requirements of compliance management, appropriateness, and anti-money laundering, the Group prepared, revised, and officially issued: the Compliance Management Measures, Administrative Measures for Compliance and Accountability (Provisional), Compliance Supervision and Inspection Management Measures (Provisional), Anti-Money Laundering and Anti-Terrorist Financing Internal Control System (Revised in 2017), etc. and reviewed the appropriateness of related business systems. During the Year, the Group completed the appointment of full-time and part-time compliance managers of various departments, branches, and subsidiaries. Newly appointed compliance management personnel have conducted induction training and system empowerment. Trainings including special training for compliance administrators were organized to promote the Group's spirit of new regulation and institutional requirements.

On the basis of performing well in daily consultation and reviewing works, and front-end business risk control, the Group monitors the dynamics of all business lines real-time, ensures information isolation and prevention of conflicts of interest, and implements various anti-money laundering requirements. Compliance inspections are carried out with the key points of periodical compliance management, major risk events in the market, and prominent risk issues reflected in daily management. The Group has successfully completed various compliance duties, fulfilling reporting obligations in accordance with regulatory requirements.



## PRODUCT RESPONSIBILITY

### Comprehensive Mechanism for Risk Control

Fully committed to the compliance principle of “Utmost Prudence”, the Group continues to strike a balance between business development and risk management. Establishing an internal system based on compliance and effectiveness to protect clients’ personal private information promotes sustainable development of the Group. All areas of business and departments of the Group must conform to the requirement set out in the Norms for Overall Risk Management of Securities Companies and the Measures for the Risk Control Indexes of Securities Companies. To prevent significant issues and make business decisions more scientifically, a tracking mechanism is introduced to monitor every area of its business.

To prevent market risk, it is important for the Group to exercise quality management and monitoring of products. The Group implements strict investment authorization systems, establishes multi-index risk monitoring and evaluation systems, and conducts metering assessment through the combination of centralized investment restrictions, scenario analyses, stress tests, sensitivity analyses, and other methods.

To prevent credit risk, the Group assesses the credit risk of different credit-grade investments from three aspects: investment variety, issuer, and counterparty by means of credit rating. The financing business is controlled through credit investigation, credit extension, market to market, liquidation, and other steps. The accounts receivables are fully accrued for the provision of bad debts.

To prevent liquidity risk, the Group strengthens the real-time monitoring and management of large amounts of funds to centralize funds and coordinate liquidity risk management. By entering the inter-bank market and capital market, obtaining bank credit, and developing other sources of liquidity, the Group reaches the requirements of liquidity in time. The Group also conducts real-time monitoring of the risk control index system with net capital and liquidity being the core, and uses the stress test to assess the impact of business activities on net capital.

To prevent operation risk, a comprehensive risk control system is established with relevant departments in order to monitor the Group’s business operations real-time. The Group has positions to control and report on the risks of the business under its jurisdiction. For risks that are difficult to be quantified, the Group establishes strict operation control procedures to reduce the risks caused by technical and human errors and improve risk management effectiveness.

Regarding brand promotion, the Group delivers complete, true, and accurate product information to the public through advertisements. All advertisements and other promotional activities carried out by the Group are in compliance with the Advertising Law of the PRC and other applicable laws, which ensure the authenticity of all advertisements and strictly prevent the use of false and misleading product descriptions.

## PRODUCT RESPONSIBILITY

### Management of Client Relationship

As a customer-oriented enterprise, the Group is committed to the tenet of “Value from Professional Service” with focuses on the continuous enhancement of standardized and personalized service of its branch organizations.

Under the principle of “Proactive Service, Efficient Research, Pragmatic Research”, the Group seeks to strengthen the practicality of research and promote the application of results towards efficient and effective resource and service management. The Group offers diverse research services to help clients make rational investment decisions. Under the leadership of the board secretary, the board office is mainly responsible for managing relations with investors. Apart from information dissemination via legal means, the Group interacts with investors via telephone, email, online platforms, visitors’ reception, and investors meeting for stakeholders, ensuring all investors are able to fully exercise their rights.

During the Year, the Group organized various interactive activities for investors and analysts, which included four shareholders’ meetings, one H share class meetings and one domestic share class meetings. The Group held investor meetings in Shanghai and other locations to share with the investors the development achievements of the company in recent years, earnestly answering investors’ questions and promoting investors’ in-depth understanding of the Group’s operations and performance.



General meeting of shareholders



Meeting with investors

## PRODUCT RESPONSIBILITY

### Transaction Safety for Client

The Group works to continuously improve the information security management system and strengthen the implementation of the safety and maintenance management systems. With “One Centre and Two Focal Points” continuously being the underlying principle, the Group’s information safety structure utilizes a 3-in-1 framework of safety management, safety protection and safety operation. The Group continues to implement the ITIL standard to form a cycle of formulation, utilization, examination and refinement in management of information system, incidents, changes, devices, and tasks.

The Group also further enhances its monitoring capabilities and implements “comprehensive, accurate, and timely monitoring” for the overall monitoring of the basic environment, network, hardware, and application systems. The Group continues to strengthen the weaknesses of the information system, evaluate and expand the Wealth Management App, online account openings, online transactions, and computer room infrastructure in accordance with business development conditions to ensure that information systems are safe and reliable.

#### **Business Continuity Management System**

During the Year, the Group’s information technology continuity system construction achieved the first ISO22301 Business Continuity Management System Certification in the securities industry. The availability of centralized trading systems, market systems, bank tripartite depository systems, national stock transfer brokerage and market-making systems, options business systems and fund agency systems reached the targeted 99.99% in 2017.

During the Year, the Group conducted an internal self-inspection of the information system and implemented rectification within the year as planned. Three information system emergency drills were organized to test the automated operation and response of disaster recovery equipment within a city. Furthermore, the Group also expanded the establishment of the centralized trading system for the third center, optimized the multi-node deployment of online transactions and online market, and improved the backup capacity of the information system.

During the Year, the Group conducted two verifications on the user authority of the centralized trading system. Based on the principle of minimization of authority, the Group updated and cleaned information regarding changes in positions and authority of retired staff. The trading system server is regularly upgraded and audited with security logs as part of the implementation of data backup systems for local, city, and off-site data. In addition, monthly check-ups of transaction system data ensure the availability of backup data.

The Group also continues to improve information security through the development of a national information system protection assessment, an e-mail security gateway, network access and desktop security management system, network supervision project, database audit, and user verification of various systems. Through the China Securities Information Technology Service Limited Company, the Group conducts security vulnerability scanning on various Internet systems. It cooperates with third-party security service providers to conduct special security penetration services for information systems, and issues penetration test reports and rectification opinions. Through professional security services, the Group’s internal information system security level has been greatly improved.

## PRODUCT RESPONSIBILITY

### Effective Communication Channel with Client

The Group continues to strengthen the construction of a centralized service system and actively responds to customer inquiries through various channels like 24/7 national unified customer service hotline 95377, QQ customer service (800181375), and WeChat customer service (CCSCCFZY), ensuring that all types of customer feedback issues are responded to and solved in a timely manner. During the Year, the Company's customer service centre accepted and received transferred complaints from the CSRC's 12386 transfer complaints totaling 15. The content mainly involves business processing, commission collection, service skills and credit business. All complaints have been dealt with in a timely manner, and no incidents of prolonged petitions occurred.

During the Year, communication via Palm Network, Wealth Management App, online transaction terminals, text message and WeChat were utilized more than 1655 times, accumulating 88,600,000 posts. A total of 48 issues of Weibo magazines and 255 posts were published with over 1 million views. The Company's official Weibo's fans exceeded 193,000, and the number of binding customers exceeded 94,000. In the 2017 Securities Firms Gold List of the top 100 brokers announced by China Brokers, the Company ranked 8th in the "Top Ten List" of the most influential corporate account in 2017. A total of 13,924 questionnaires were collected to meet customer demands and conduct satisfaction surveys regarding trading tools, financial products, consulting products, and service channels. The special hotline 95377 served over 114,000 customers via telephone, website, mail, WeChat and QQ, etc. The Group has concentrated to implement 177 return visits with 27 themes and 5 special service plans, serving approximately 401,000 customers. Approximately 270,000 clients in total received repeated service during the Year.



### Investor Education

With the goal of promoting "Being a Rational Investor", the Group is committed to promoting well-informed choices of investment products, investing prudently, and effectively preventing risks. Through continuous investor education interactions, the Group helps investors to acquire the necessary information on new businesses, products, and markets, striving to provide them with the best deals, best commissions, and best financial services.

The Group actively promotes the securities market business rules and risk disclosures closely related to investors through public platforms such as the official website, WeChat, and online and mobile trading terminals. The branches of the organization carried out investor education activities including visiting colleges and universities, interacting with the community, informing listed companies, and on-site investment college lectures to guide investors in rational investment and established excellent evaluation mechanisms.

## PRODUCT RESPONSIBILITY

During the Year, the Group continued to carry out various activities such as: the “Appropriate Investment”, an 3.15 investor education and publicity month campaign; “Know More About Rules and Risks”, an investor protection special campaign; and “Being A Rational Investor” a thematic campaign. Activities on preventing illegal fundraising and illegal securities were held throughout the Year. During the Year, the branches coupled with institutions organized 3,369 on-campus seminars at investment colleges, reaching a total of 100,000 attendees. Lectures on investor education were held in colleges through the joint efforts of 19 universities and colleges, involving 3,440 teachers and students. The Company organized a number of “rational investors” – listed companies' visits during the Year, not only enabled investors to understand the operating conditions of listed companies, gain insight into the thoughts of executives, but also allowed listed company executives to better appreciate the concern and voice of investors.



“Being A Rational Investor” listed company visit



“Know More About Rules and Risks” investor protection special campaign



Investor education in colleges and universities



“Appropriate Investment” 3•15 investor education and publicity month campaign



## PRODUCT RESPONSIBILITY

### Central China Investor Education Centre

The Central China Investor Education Centre was established by the Company in collaboration with Central China Futures and Henan University of Finance and Economics in March 2016. It was recognized as the first and only provincial investor education base by the Henan Provincial Securities Regulatory Bureau on June 28, 2017. During the Year with the support of the Centre, the Group published 7 original investor education videos, 2 printed works, and 5 graphics. 214 articles were uploaded to the Group website under the section of "Investor Education Centre". The Group also organized the "Understanding two conferences, grasping the opportunities", "Appropriate Investment" on-site exchange activities, "Young Investors Together" investor education in colleges and universities, and "Investing in Capital Markets as Rational Youth" open-class investor education activities, drawing participation from 200 investors.



Central China Investor Education Centre



Investor Education Open-class

In order to protect the legitimate interests of investors and maintains the market order, the Group actively provides education on the distinguish between "IPO" and "Listing" of companies, examples of illegal activities (such as the illegal absorption of public deposits or dispelling public deposits, illegal provision of basic features and forms of expression of stocks, companies, and corporate bonds) as well as risk warnings to investors through website, pull-up banner, training, and etc.

## SUPPLY CHAIN MANAGEMENT

The Group's supply chain mainly comprises of office suppliers and work uniform distributors. These suppliers are organized to bid together by the Group's headquarters. The bidding process is governed strictly by the policy stated in "Procurement System on Bidding Process of Central China Securities Co., Ltd. (revised in 2016)". Based on the internal requirement, the Group confirms the model and price of the office supplies needed before submitting relevant application to the business departments for effective use of resources. The headquarters are responsible for the procurement of working uniforms and ensuring the quality of the sample is up to the Group's standard before placing bulk order.

Supplier selection for engineering infrastructure and other major projects must undergo bidding process, during which, bidders are required to compile relevant information including bidding documents. Other information such as their operation license and after-sales service are carefully examined to ensure the quality of suppliers and manage any environmental and social risks that may arise in supply chain. To enhance the transparency of the bidding process and encourage effective and fair competition, documents on procurement information and cooperation agreements are disclosed.

Most of the Group's suppliers are leading brands in their industries, such as Daikin air conditioners, HP computers and printers, Emerson motors, Cisco switches, IBM servers, etc. Products in possession have certificates including ISO 9001, ISO 14001 and so on. The Group also encourages suppliers to use and provide environmentally friendly and reusable products.



## ANTI-CORRUPTION

In strict compliance with the Criminal Law of the PRC, the Group strives to maintain fair competition in the market and resist corruption and other illegal activities. During the Year, the office for discipline inspection engaged in the formulation of rules and administrative discipline. Such rules include the “Rules for Implementation of ‘Three Vitals and One Major Policy’ of Central China Securities Co., Ltd.” and the “Prevention and Control System of Corruption and Risk of Central China Securities Co., Ltd.”. It is also clearly stated in the contract and staff manual that any form of corruption, bribery, or commission rebate is strictly prohibited. Special training offered by anti-corruption educators is also available to ensure full compliance with relevant rules and regulations.



Integrity education campaign

The Group has formulated the “Measures for the Administration of Internal Reporting of Central China Securities Co., Ltd.”, and encourages employees to participate actively in the Group management. Employees may report violations within the Group to the leading team of violation report management. The team shall arrange for the investigation of the team office or other processing departments, and the relevant informed personnel shall keep the reporters confidential.

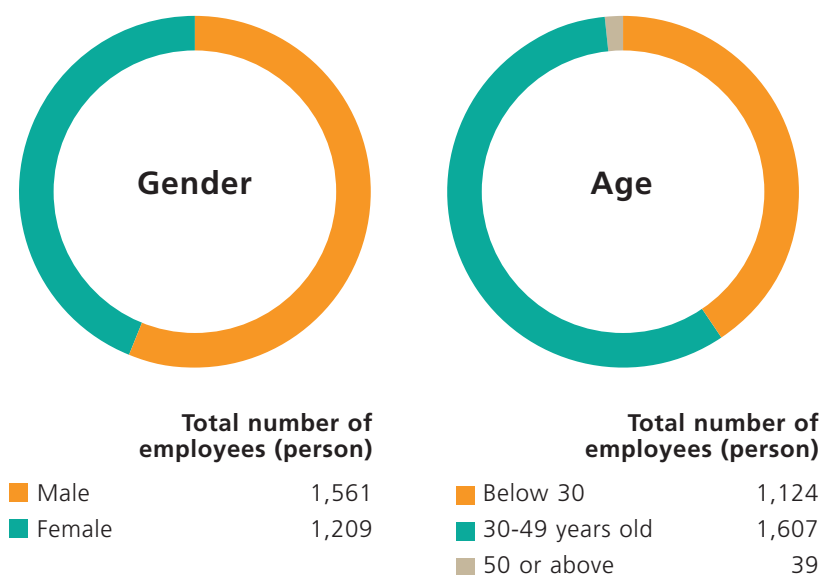
# CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

## Employee Rights

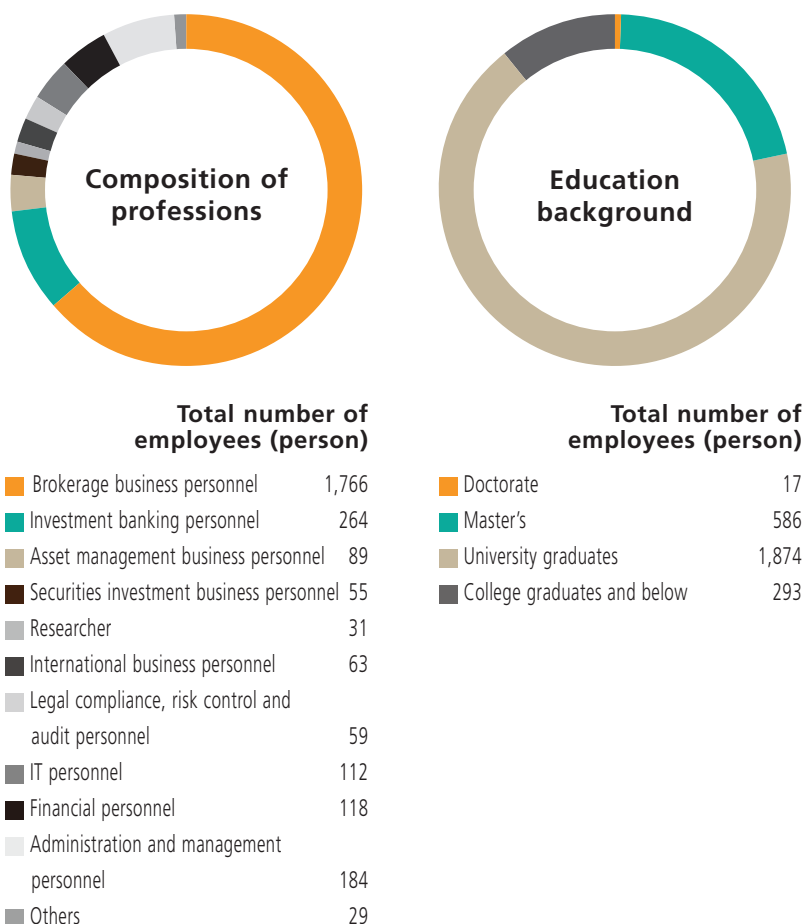
Through the Group's rigorous adherence to relevant laws and regulations such as the Labour Law of the PRC and the Labour Contract Law of the PRC, every employee receives equal and fair treatment and is protected from discrimination on the basis of sex, region and race. The Company regulates employment and pays social insurance in full and on time. In March 2017, it was rated as the Outstanding Employer of Harmonious Labor Relations in 2016 by Henan Labor Security Supervision Association. The Company has been receiving this honorable title by the Henan Provincial Labor Security Supervision Association for four consecutive years.

The Group firmly upholds the principle of "Recruitment by Needs". Preliminary recruitment is conducted by branch organizations of the Group, while employment decision will be made by the head office of the Human Resources department. The Group's recruitment process comprises of careful examination, written test, interviews, health check, and approvals to prevent child and forced labour.

As of the end of the Year, the total number of employees of the Group is 2,770, including 2,456 employees of the Company and 314 employees of subsidiaries. The breakdowns of employee's number by gender, the composition of professions, and etc. of the Group are shown in the table below (statistical deadline: December 31, 2017).



## CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS



The Group has established and continuously improved the remuneration and welfare system in accordance with the objectives of “inner fairness and external competition”, the Group adopts a salary structure that is market-oriented and performance-based and implements a multi-level, all-around assessment system with the performance and management objective as the core. Following the principle of “Equal Pay for Equal Work”, salary is composed of base salary, allowance, performance bonus, and welfare. As a supplement to base salary, there are also allowances for specific positions and employees with professional skills.

## CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

Meanwhile, the Group endeavors to refine the welfare package. Employees are not only provided with statutory welfare such as pension insurance, basic medical insurance, work injury insurance, unemployment insurance and maternity insurance, but also accessible to additional welfare such as annual bonus according to the Social Insurance Law of the PRC and relevant laws and regulations. In addition, the Group actively explores the opportunities of staff incentives scheme and will use stock incentive compensation where appropriate if relevant laws and regulations allow.

Much attention is also put to the basic rights of employees. This includes rest period such as casual leave, sick leave, annual leave, wedding leave, maternity leave, work injury leave, and funeral leave. Normal working hours shall not exceed 8 hours per day. To maintain a well-organized operation and deter forced labor, the Group practices attendance management to document the time the employees on and off duty.

### Training System and Development Path

The Group strives to fully utilize the knowledge, skills, talent and passion of employees and seeks to help employees grow through comprehensive management, workplace refinement, and emphasis on humanity. Thorough consideration of employment renewal and promotion is given based on the yearly assessment result. Intensive learning, position exchange, job rotation, temporary position in branches and temporary position exchange in the provincial government and enterprises are also available for employees to grow professionally. Internal recruitment offers a chance for employees to apply for another position.

As to match with the Group's strategic development and enhance the skills and quality for the workers, in-person or mobile network trainings are continuously adopted with the aim of expanding level-by-level classification, comprehensive planning with multiple and innovative.. In order create an efficient training system for the career development path of employees, the Group continues to provide training for management personnel and reserves cadres to help new managers develop a managerial mindset to drive business growth. To improve the skills of the professional staff, the Group organizes professional job trainings in subjects such as finance, information, risk management, and compliance management. For the purpose of improving the business capabilities of employees in business lines, the Group organizes wealth management, investment consulting, customer service, marketing team management, institutional business, and other business training. In addition to the above, the Group also actively sends its employees to participate in training programs organized by the CSRC, the SAC, the Exchange and higher-level regulatory authorities, and encourages employees to participate in external training institutions to organize more professional training programs.

## CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

During the Year, a total of RMB2,588,900 was used as Group's training fund, delivering a total of 15 internal sessions with 260 hours of internal trainings and 2,560 hours of external training. The average time of follow-up vocational network training and the learning courses per student was 15 hours.



Special training for institutional business capability improvement



Special training for promotion of excellent services



Transformation and development training for wealth management



Special training for supervisors of marketing team

# CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

## Care for Employee Well-being

### Occupational health and safety

Employees are the cornerstone for the Group's development, with high priority to care the physical and mental health of employees as well as protecting their rights and interests. The Group abides by relevant laws and regulations, such as the Law of the PRC on Prevention and Control of Occupational Diseases, to safeguard employees' health and safety according to law. During the Year, based on existing medical examination organizations, the Group signed a medical inspection agency, with addition of two important physical examination items, ECG (Electrocardiograph) and NMR (nuclear magnetic resonance), with the employee physical examination coverage rate of close to 100%. After the physical examination, the Group arranged a lecture provided by a hospital with the theme of "Understanding Illnesses through the Medical Examination Report". From the lecture, lecturer explained the medical examination reports for the employees in detail. In addition to standard medical insurance, the Group has also insured more than 700 headquarters employees for mutual assistance insurance for significant illnesses.

In terms of working conditions, green plants are placed in the office area as part of the Group's measures to create a comfortable and healthy workplace. Meanwhile, the Group adjusts office lighting, temperature of air-conditioner and internal air quality to protect employees from work injury.

### Assistance and Condolence to Employees in Difficulties

The Group earnestly cares for front-line employees and actively assists the employees in difficulties. The Group offers a variety of assistance and compiles a file of employees in need. During the Year, the Labor Union of the Group timely revised the "Opinions on Condolence to Employees of Central China Securities Co., Ltd." which was formulated in 2009 according to the actual situation, expanded the scope of condolences, raised the amount of condolences, and expressed condolences to the employees who died, hospitalized and passed away. The Group also selected 12 representative securities branches to carry out research on the transformation of brokerage business, business synergy, the advantages of dual-listed status, the difficulties encountered by employees in life and the opinions and suggestions on the work of Labor Union, as well as to discuss, listen to, give feedback to the opinions of employees and create a harmonious working atmosphere.



## CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

During the Year, the Group assisted 260 employees with difficulties, and funds used for the assistance reached approximately RMB1.33 million. The Labor Union paid over 80 visits to employees who were sick, gave birth to child or whose immediate family members passed away. During the seven major Chinese festivals, the Group distributed grain and oil, moon cakes, fruits and other welfare items to each employee at a cost of RMB900. Collective benefits such as movie cards, birthday cake cards, heatstroke prevention drugs, tea and haze-proof masks were also issued in strict accordance with relevant requirements, further enhancing the sense of belonging and happiness of employees.



Expressing sympathy and offering support to employees



Disclosure of assistance provided for employees in difficulties



# CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

## Employees' activities

In order to enrich employees' spare time, relieve employees' work pressure, strengthen employees' physical fitness and enhance corporate cohesion, the Group launched a variety of cultural and sports activities during the Year.

- On June 1, Children's Day, more than 180 employees and their children participated in the "I Love My Family" theme event organized by the Group. The Labor Union received nearly 200 photos and micro videos from the children. The activity cultivated children's ethics of filial piety and morality by making children do housework at home and wash the elders' feet, so as to make children share housework with parents, learn to be grateful and grow up happily.
- In September, to launch a series of reading activities on "Reading Helps Business Development", the Group purchased and distributed more than 800 books such as "Artisan Spirit", "Value Investment", "Talmud", "Wang Yangming's Life Wisdom", which actively created an atmosphere of "learning everywhere, learning everything, and learning everyone" with the intention to help the Group to improve its operations and performance.
- The Group also encouraged employees to learn the spirit of the 19th National Congress by immediately purchasing and distributing the books on the 19th National Congress, such as "The 19th Party Constitution Amendment Study Q&A", "The Party's 19th National Congress Report Counseling Reader", and "The Party's 19th National Congress Report – Study and Counseling Questions", which assisted the Party Affairs Department in organizing normalized institutionalized learning and education of the "Two Studies and One Action".
- Before the Spring Festival, the Group sent a total of about 400 Spring Festival couplets with the theme of promoting corporate culture, encouraging employees to be friendly and united and promoting the Company's successful A share IPO. Spring and autumn outings were organized by various Labor Union groups, including climbing mountain, picking fruits, suburban hiking and other favorite activities of the members.
- In terms of sports activities, the Group organized 485 employees to participate in the 5 km race of the business inner ring of the 2017 Zhengkai International Marathon in March. At the end of July, nearly 100 people from 9 teams, including headquarters team, investment bank team, branch united team, Jiaozuo, Xuchang, Anyang and other teams of the Group participated in the five-a-side football competition of the "A+H Listing Cup" sports series of Central China Securities. The headquarters team won the championship, the investment bank team won the runner-up, and the Zhengzhou branch team won the third prize.
- In late August, the "A+H Listing Cup" sports series, "Navigation Cup", 3-on-3 men's basketball game of Central China Securities was held in Zhengzhou. The Group had 16 teams participating in the competition, with nearly 100 players. All the departments and branches performed active responses and organized offense and defense. After a total of 30 fierce battles in two days, the Xinyang-Investment Banking Team 6 won the championship, Puyang Branch won the runner-up, Central China Futures and the Labor Union team won the third prize, and other branches also achieved excellent results. The activity fully demonstrated employees' competitive and cooperative spirits.

## CONSTRUCTION OF HARMONIOUS LABOUR RELATIONS

In order to enhance employees' cohesiveness and strengthen communications between headquarters and branches, the Labor Union and the Youth League Committee jointly launched the "new era, new ideas and new journeys - sprinting for 30 days and spelling out new achievements" walking competition of thousand-people, one of the Central China Securities Listed Cup series activities. A total of 2,100 employees participated in the activity, which broke the record of participants' number in the Group's activities.



5-on-5 football competition



Thousand-People-Walk Tournament



3-on-3 men's basketball game



Zhengkai International Marathon



Winter Fun Games of Xinxiang Branch



Elite development training camp

## APPENDIX I: ENVIRONMENTAL KEY PERFORMANCE INDICATORS

Key Performance Indicators	2017
<b>Air Emissions<sup>1</sup></b>	
Nitrogen Oxides (NOx) Emissions (kg)	138
Sulphur Dioxides (SO <sub>2</sub> ) Emissions (kg)	3
Particulates (kg)	10
<b>GHG Emissions</b>	
Total GHG Emissions (Scope 1,2 and 3) (tonne CO <sub>2</sub> equivalent)	5,479
GHG Emissions Intensity (tonne CO <sub>2</sub> equivalent/person)	1.98
Scope 1 Total Direct GHG Emissions (tonne CO <sub>2</sub> equivalent)	525
Scope 2 Total Indirect GHG Emissions (tonne CO <sub>2</sub> equivalent)	4,655
Scope 3 Total Other Indirect GHG Emissions (tonne CO <sub>2</sub> equivalent)	298
<b>Waste</b>	
<i>Non-hazardous Waste</i>	
Total Production of Non-hazardous waste (tonne)	21
Non-hazardous Waste Intensity (kg/person)	7.68
<i>Hazardous Waste</i>	
Total Production of Hazardous waste <sup>2</sup> (tonne)	Unable to disclose
Hazardous Waste Intensity (kg/person)	Unable to disclose
<b>Use of Resources</b>	
<i>Energy</i>	
Total Energy Consumption (MWh)	10,496
Energy Consumption Intensity (MWh/person)	3.79
Total Direct Energy Consumption (MWh)	2,124
Total Indirect Energy Consumption (MWh)	8,372
<i>Water Consumption</i>	
Total Water Consumption (m <sup>3</sup> )	151,992
Water Consumption (m <sup>3</sup> /person)	54.87
<i>Packaging Materials</i>	
Total Packaging Materials of Final Products <sup>3</sup> (tonne)	Not applicable
Packaging Materials per Unit of Product (tonne)	Not applicable

<sup>1</sup> This data only includes air emissions from official vehicles.

<sup>2</sup> The amount of hazardous waste generated by the Group is insignificant during the Year; the amount cannot be accurately quantified.

<sup>3</sup> The Group's business didn't involve the product packaging, so this data was not applicable.

## APPENDIX II: CONTENT INDEX OF ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORTING GUIDE

ESG Indicators	Description	Chapter	Page
<b>A1 Emissions</b>			
General disclosure	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.	Environmental Commitment – Emissions management	9
<b>A2 Use of resources</b>			
General disclosure	Policies on the efficient use of resources, including energy, water and other raw materials.	Environmental Commitment – Use of resources	9-10
<b>A3 The environment and natural resources</b>			
General disclosure	Policies on minimizing the issuer's significant impact on the environment and natural resources.	Environmental Commitment – Protection of environment and natural resource	10
<b>B1 Employment</b>			
General disclosure	Information on: (a) The policies; and (b) Compliance with relevant laws and regulations that have a significant impacts 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.	Construction of Harmonious Labour Relations – Employee Rights	23-25

## APPENDIX II: CONTENT INDEX OF ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORTING GUIDE

ESG Indicators	Description	Chapter	Page
<b>B2 Health and safety</b>			
General disclosure	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 environmental and protecting employee from occupational hazards.	Construction of Harmonious Labour Relations – Caring for Employee Well-being	27-30
<b>B3 Development and training</b>			
General disclosure	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities.	Construction of Harmonious Labour Relations – Training System and Development Path	25-26
<b>B4 Labour standards</b>			
General disclosure	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	Construction of Harmonious Labour Relations – Employee Rights	23-25
<b>B5 Supply chain management</b>			
General disclosure	Policies on managing environmental and social risks of the supply chain.	Supply Chain Management	21



## APPENDIX II: CONTENT INDEX OF ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORTING GUIDE

ESG Indicators	Description	Chapter	Page
<b>B6 Product Responsibility</b>			
General disclosure	Information on: (a) The policies (b) Compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labeling and privacy matters relating to products and services provided and methods of redress.	Product Responsibility	14-20
<b>B7 Anti-corruption</b>			
General disclosure	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	Anti-corruption	22
<b>B8 Community Investment</b>			
General disclosure	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.	Community Involvement	11-14