



# 英皇證券集團有限公司 Emperor Capital Group Limited

Incorporated in Bermuda with limited liability (Stock Code: 717)  
於百慕達註冊成立之有限公司（股份代號：717）



## ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

環境、社會及管治報告

2017/2018

# CONTENTS 目錄

1	ABOUT THIS REPORT	關於本報告
3	ENVIRONMENTAL PROTECTION	環境保護
7	WORKPLACE QUALITY	工作環境質素
13	OPERATING PRACTICES	經營常規
18	COMMUNITY INVOLVEMENT	參與社區活動
25	APPENDIX: HKEX ESG REPORTING GUIDE CONTENT INDEX	附錄：聯交所環境、社會及 管治報告指引內容索引



# 1. ABOUT THIS REPORT

## 關於本報告

Emperor Capital Group Limited (the “Company”) and its subsidiaries (collectively referred to as the “Group”) acknowledge the significance of effective environmental, social and governance (“ESG”) initiatives at operational level. The direction of the Group’s ESG practices is governed by the board of directors of the Company (the “Board”), ensuring that the ESG strategy reflects the Company’s core values.

This report describes the ESG values and initiatives of the Group for the financial year ended 30 September 2018 (the “Year”). The contents of this report provide our stakeholders with an overview of the Group’s efforts regarding ESG impacts arising from its daily operations. This report complies with the provision of the ESG Reporting Guide as set out in Appendix 27 of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited (“HKEx”). It is recommended that this report is read in conjunction with the Company’s Annual Report 2017/18, in particular the Corporate Governance Report and Directors’ Report sections therein.

This report is available on the websites of the Company ([www.emperorcapi.com](http://www.emperorcapi.com)) and HKEx ([www.hkexnews.hk](http://www.hkexnews.hk)).

英皇證券集團有限公司(「本公司」)及其附屬公司(統稱「本集團」)深明有效的環境、社會及管治(「環境、社會及管治」)舉措在經營層面的重要性。本集團環境、社會及管治工作之方向由本公司董事會(「董事會」)監管，以確保環境、社會及管治策略反映本公司的核心價值。

本報告闡述本集團於截至2018年9月30日止財政年度(「本年度」)的環境、社會及管治價值及措施。本報告的內容為持份者概述本集團在環境、社會及管治方面的工作，以針對日常營運所產生的影響。本報告符合香港聯合交易所有限公司(「聯交所」)證券上市規則附錄二十七所載《環境、社會及管治報告指引》的條文。建議閣下將本報告與本公司2017/18年報一併閱讀，尤其是其中的企業管治報告及董事會報告部份。

本報告可於本公司的網站([www.emperorcapi.com](http://www.emperorcapi.com))及聯交所網站([www.hkexnews.hk](http://www.hkexnews.hk))查閱。

### 1.1 Stakeholder Engagement and Materiality Assessment

The Group is committed to making proactive efforts to continuously interact with key stakeholder groups, which comprise its customers, employees, investors, shareholders, service providers and the community. The Group maintains active engagement with its stakeholders, and collects their feedback through various communication channels to understand and address their concerns. The engagement channels with stakeholders include general meetings, corporate website, community activities, regular dialogue with employees, performance appraisal interviews and networking with service providers.

Based on the stakeholders’ feedback, the material issues in four core areas were identified as follows. The Group’s performance regarding these issues are discussed in this report.

### 1.1 持份者之參與及重要性評估

本集團致力與主要持份者群組包括客戶、僱員、投資者、股東、服務供應商及社會進行持續互動。本集團積極與其持份者保持聯繫，並透過各種溝通渠道收集其反饋意見，以了解與回應其訴求。與持份者的聯繫渠道包括股東大會、公司網站、社區活動、與僱員定期對話、績效評核面試及與服務供應商聯動。

根據持份者的意見，本集團已識別下列四項核心範圍的重要議題。本集團就該等議題的表現將於本報告內討論。

## 1. ABOUT THIS REPORT

### 關於本報告

ESG Aspects 環境、社會及管治層面	Material Issues 重大議題
Environment 環境	<ul style="list-style-type: none"><li>– Energy conservation 節能</li><li>– Natural resources utilisation 利用天然資源</li></ul>
Social – Labour practices 社會－勞工常規	<ul style="list-style-type: none"><li>– Workforce diversity 職場多元化</li><li>– Workplace safety 工作環境安全</li><li>– Training and professional development 培訓及專業發展</li></ul>
Social – Operating practices 社會－經營常規	<ul style="list-style-type: none"><li>– Quality services 優質服務</li><li>– Customer privacy protection 保障客戶私隱</li><li>– Compliance with laws and regulations 遵守法例及法規</li><li>– Anti-corruption/Anti-money laundering 防止貪污／防止洗黑錢</li></ul>
Social – Community 社會－社區	<ul style="list-style-type: none"><li>– Community involvement 參與社區活動</li></ul>

### 1.2 CSR Committee

The Group is committed to the principles of good corporate governance, and strives to integrate corporate social responsibility (“CSR”) into its business strategy and management approach. A CSR Committee has been set up to formulate policies and practices on CSR-related matters, focusing on community welfare, the environment and employees’ well-being. It encourages and supports employee engagement in various CSR initiatives, to ensure the Company’s CSR commitment is properly fulfilled. It has overall responsibility for implementing, reviewing and monitoring the Company’s CSR policy.

### 1.2 企業社會責任委員會

本集團奉行良好的企業管治準則，致力將企業社會責任（「企業社會責任」）融入業務策略及管理模式之中。企業社會責任委員會已獲成立，負責就企業社會責任相關事宜制定政策及常規，主要涵蓋社區福利、環境及員工福祉。該委員會鼓勵並支持員工參與各類企業社會責任活動，以確保本公司妥善履行其企業社會責任承諾。該委員會全面負責本公司企業社會責任政策的實施、檢討及監察。



## 2. Environmental Protection

### 環境保護

#### 2.1 Environmental policies and performance

During the Year, the Group has continued making its best endeavours to protect the environment in its business activities and workplace. The Group also educates its employees on their awareness of promoting a green environment. The Group seeks to identify and manage environmental impacts attributable to its operations, in order to minimise these impacts if possible. Various measures have been adopted to reduce energy and other resource use, minimise waste and increase recycling, and promote environmental protection in its supply chain and marketplace. These measures are discussed in the “Use of resources” section below.

In May 2018, the Group's head offices at 23/F and 24/F, Emperor Group Centre, 288 Hennessy Road, Wan Chai, along with many other rooms and floors of the building, were awarded an “Indoor Air Quality Certification - Good Class” by the Environmental Protection Department, under its voluntary Indoor Air Quality Certification Scheme for Offices and Public Places.

#### 2.2 Use of resources

##### 2.2.1 Energy saving

Global warming and climate change are among the major environmental concerns in every part of the world. The Group aims to maximise energy conservation in its branches and offices by promoting efficient use of resources and adopting green technologies. To enhance overall energy efficiency, the Group continually upgrades its lighting and air-conditioning systems. In the Group's flagship Mongkok branch, energy-efficient LED light tubes are adopted in the indoor area as well as the advertising panel.

In addition, LED advertising panels are switched off during non-business hours, to minimise light pollution and reduce energy consumption. To identify energy efficiency opportunities, the Group measures and records the energy consumption intensity from time to time.

#### 2.1 環境政策及表現

於本年度，本集團繼續致力在業務活動及工作場所實踐環保工作。本集團亦教育其員工提升彼等對綠色環境的意識。本集團努力辨識及管控其業務營運帶來的環境影響，務求將該等影響減至最低。本集團已採取多項降低能源及其他資源消耗、推行減廢及循環再用的措施，並在其供應鏈及市場中推行環保。該等措施載於下文「資源利用」一節。

於2018年5月，環境保護署根據其自願參與的辦公室及公眾場所室內空氣質素檢定計劃向本集團位於灣仔軒尼詩道288號英皇集團中心23樓及24樓的總辦公室連同大廈內其他眾多房間及樓層頒發「室內空氣質素檢定證書－良好級」。



#### 2.2 資源利用

##### 2.2.1 節約能源

全球暖化及氣候變化已成為全球各地關注的主要環境議題。本集團藉著促進善用資源及採納綠色科技，旨在使旗下分行及辦公室積極實踐節約能源。為提高整體能源效益，本集團不斷為其照明及空調系統進行升級。於本集團旗下的旺角旗艦分行，室內空間以及廣告牌內已採用節能LED燈條。

此外，LED廣告牌在非營業時間內關掉，以盡量減少光污染及降低能源消耗。為發掘提升能源效益的方法，本集團不時量度及記錄耗能情況。

## 2. Environmental Protection

### 環境保護

#### 2.2.2 Recycling

Creating a paperless working environment not only reduces environmental damage but also fits commercial goals, as it can save physical space, facilitate information sharing via IT networks, and reduce complicated documentation procedures. In recent years, the Group has implemented paperless internal human resources processing – such as employee time sheets, payrolls and leave application. Moreover, duplex printing and copying has become the norm within the Group, greatly reducing paper consumption and saving costs. Usage data of office printing machines is regularly collected and assessed, to monitor the efficiency of the paperless environment.

Partnering with its printing solutions provider, the Group has adopted “Follow You” print solution in the headquarters, helping the Group becoming more cost efficient through smarter printing. The print solution enables the Group to achieve environmental objectives by reducing unclaimed printing, as printing is released only upon presentation of a staff card from that particular staff who gives the printing instruction.

THINK  
BEFORE YOU  
PRINT

The Group aims to promote environmental awareness, not only within the organisation, but also through engaging customers, encouraging a co-operative approach to minimising its environmental impact. The formalities for opening a securities account involve a considerable amount of paperwork. In view of this, the account opening form has been modified to minimise paper usage. To encourage the migration of customers' account statements from a print format to electronic version, a surcharge is applied if clients opt to receive paper statements. As at 30 September 2018, the adoption of electronic statements by customers had increased to 87% (30 September 2017: 80%). In addition, the Group distributes the latest promotion information and notices via email and SMS instead of printed mails.

#### 2.2.2 回收

營造無紙化的工作環境不僅可減少對環境的破壞，亦具有多重商業裨益，包括可節省空間、促進資訊科技網絡信息共享及減省繁複的文書程序等。近年來，本集團已於內部人力資源管理流程（包括僱員工時表、糧單及申請假期等）實行無紙化。另外，雙面列印及複印已成為本集團內部慣例，大大減少紙張消耗及節省成本。本集團定期收集及評估打印機使用數據，以監控無紙化環境之成效。



本集團與其列印方案供應商合作，在總部採用「Follow You」列印方案，透過智能列印有助本集團達致更佳的成本效益。由於作出列印指示的指定員工於列印時需要出示員工證方能進行打印，因此可減少無人認領列印的情況，從而有助本集團達到環保的目的。

本集團旨在提升環保意識，不僅於公司內部，同時亦讓客戶參與其中，鼓勵共同協作減少對環境的影響。辦理開立證券賬戶涉及大量文書工作。有鑑於此，已改良開戶表格以減少紙張使用量。為鼓勵客戶將賬單由印刷本轉為電子版本，倘客戶選擇收印刷賬單，將需繳付額外費用。於2018年9月30日，採用電子賬單之客戶已增加至87%（2017年9月30日：80%）。此外，本集團透過電子郵件及短信（而非印刷郵件）發佈最新推廣資料及通知。

## 2. Environmental Protection

### 環境保護

The Company strongly recommends shareholders to access its corporate communications, including financial reports, through the websites of the HKEx and the Company, instead of in printed form. By introducing electronic means of corporate communications to shareholders, the quantity of printed materials has been considerably reduced. This paperless practice thus helps to protect the environment, as well as save costs for stationery, printing and administrative charges etc. A majority of individual shareholders access financial reports and other Company documents via electronic means.

本公司極力推薦股東利用聯交所及本公司網站獲取公司通訊（包括財務報告）而非收取印刷文件。通過向股東推出電子版公司通訊，印刷量已大幅減少。此無紙化措施既可保護環境，亦可節約文儀用品、印刷及行政等費用。大部份個人股東以電子方式收取本公司之財務報告及其他文件。

## 2.3 Environmental Performance Summary

To demonstrate a commitment to greater transparency in reporting, and illustrate the Group's sustainability performance, quantitative data has been collected from offices in Hong Kong. These offices are within Rooms 603, 606 and 1605, 23/F and 24/F, Emperor Group Centre, 288 Hennessy Road, Wan Chai (collectively known as the "Head Office"), and occupy a total gross floor area of 2,246 square metres.

## 2.3 環境表現概要

為展現對提高報告透明度的承諾，及呈列本集團之可持續表現，本集團一直於香港辦公室收集量化數據。該等辦公室位於灣仔軒尼詩道288號英皇集團中心23樓及24樓、603室、606室以及1605室（統稱「總辦公室」），所佔建築面積為2,246平方米。

### 2.3.1 Emissions

In view of its business nature, the Group does not directly create emissions with pollutants such as Sulphur Oxide (SO<sub>x</sub>) and Nitrogen Oxide (NO<sub>x</sub>). The carbon emissions at the Head Office have been calculated and measured as follows:

### 2.3.1 排放物

基於其業務性質，本集團並無直接產生硫氧化物(SO<sub>x</sub>)及氮氧化物(NO<sub>x</sub>)等污染物排放。總辦公室的碳排放量的計算及計量如下：

Indicators 指標	For the year ended 30 September 2018 截至2018年9月30日止年度
Indirect emissions (Scope 2) CO <sub>2</sub> emissions from electricity generation <sup>1</sup> (kgs) 間接排放（範疇2）發電產生的二氧化碳排放 <sup>1</sup> （千克）	271,687
Indirect emissions (Scope 3) CO <sub>2</sub> emissions from paper waste disposal (kgs) 間接排放（範疇3）處理廢棄紙張產生的二氧化碳排放（千克）	23,376
Total CO <sub>2</sub> emissions 二氧化碳排放總量	295,063
Total CO <sub>2</sub> emissions per gross floor area (kg/m <sup>2</sup> ) <sup>1</sup> 每平方米建築面積的二氧化碳排放總量（千克／平方米） <sup>1</sup>	131.4

<sup>1</sup> The calculation of the Group's carbon emission intensity is based on a carbon emission factor of 0.79 kg CO<sub>2</sub>/kWh, which was cited in the 2017 sustainability report of HK Electric.

<sup>1</sup> 本集團碳排放密度乃基於港燈電力2017年可持續發展報告所列的碳排放因子每千瓦時0.79公斤的二氧化碳排放計算。

## 2. Environmental Protection

### 環境保護

#### 2.3.2 Energy consumption

Energy consumption data is based on the amount of electricity consumed in the Head Office, as follows:

Indicators 指標	For the year ended 30 September 2018 截至2018年9月30日止年度
Indirect energy consumption (kWh) 間接能源消耗(千瓦時)	343,908
Total energy consumption per gross floor area (kWh/m <sup>2</sup> ) 每平方米建築面積的能源消耗總量(千瓦時/平方米)	153.1

#### 2.3.3 Waste management

Disposal of general waste generated at the Group's Head Office – such as daily consumables is managed by a licensed operator. Collection of other recyclable waste items – including papers, plastic bottles, aluminium and glass, fluorescent tubes and computer equipment – is centralised through the building's property management, and these items are subsequently handled by authorised operators.

The waste management data regarding the Head Office is as follows:

#### 2.3.2 能源消耗

能源消耗數據乃基於總辦公室的用電量，如下：

#### 2.3.3 廢物處理

本集團經持牌營運商處置旗下總辦公室產生的一般廢物，如日常消耗品。其他可回收廢物包括紙張、塑膠瓶、鋁及玻璃、光管以及電腦設備，乃透過大廈的物業管理處進行收集，而該等物品隨後由授權營運商處理。

有關總辦公室的廢物管理數據如下：

Indicators 指標	For the year ended 30 September 2018 截至2018年9月30日止年度
General office waste disposed to landfills (kg) 棄置於堆填區的一般辦公室廢物(千克)	2,284
General office waste disposed to landfills, per gross floor area (kg per m <sup>2</sup> ) 每平方米建築面積的棄置於堆填區的一般辦公室廢物(千克/平方米)	1.0
Paper collected for recycling (kg) 收集進行回收的紙張(千克)	1,890
Paper collected for recycling per gross floor area (kg per m <sup>2</sup> ) 每平方米建築面積的收集進行回收的紙張(千克/平方米)	0.8



### 3. Workplace Quality

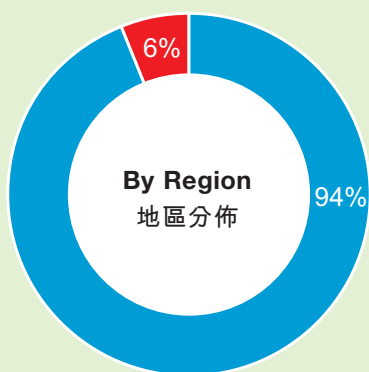
#### 工作環境質素

#### 3.1 Workforce & diversity

The Group believes that a motivated and balanced workforce is crucial for building a sustainable business model and delivering long-term returns.

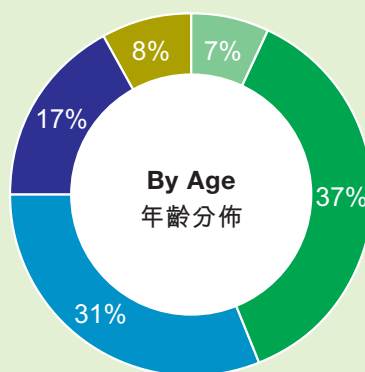
As at 30 September 2018, the employees of the Group totalled 191, working in the Head Office and branches in Hong Kong, and in representative offices in mainland China.

The demographics of the Group's workforce (as at 30 September 2018) are summarised below:



● Hong Kong  
香港

● Mainland China  
中國內地



● ≤25      ● 26 – 35  
● 36 – 45      ● 46 – 55  
● ≥56

The Group has a diverse workforce in terms of gender and age, providing a variety of ideas and levels of competency that contribute to the Group's success. The Group is firmly committed to gender equality, and therefore particularly encourages female participation in the Board, and at managerial and operational levels.

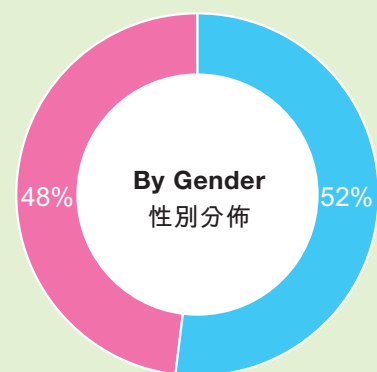
The management believes that people are important assets for the Group, and remains committed to attracting and retaining talent with diverse backgrounds for achieving sustainable growth. As at 30 September 2018, approximately 40% of the staff had worked for the Group for five years or more. Service awards were presented at the Group's annual dinner, as tributes to staff who had contributed for 10, 15, 20 and 25 years. Staff turnover rate among managerial positions is relatively low, reflecting a high level of employee satisfaction and engagement with the Group.

#### 3.1 員工及職場多元化

本集團深信，積極主動且具均衡比例之員工團隊，是建立可持續經營模式及帶來長遠回報的關鍵元素。

於2018年9月30日，本集團擁有合共191名僱員，於香港總辦公室及分行以及中國內地區域辦事處工作。

於2018年9月30日，本集團員工的分佈資料概述如下：



● Female  
女

● Male  
男

本集團的員工團隊來自不同年齡層及性別，提供多元化的意念及各種程度的技能，為本集團的成功作出貢獻。本集團一直堅守兩性平等原則，尤其支持女性在董事會、管理及營運層面之參與。

管理層相信，員工乃本集團之重要資產，並致力吸引及挽留不同背景的人才，以達致可持續增長。於2018年9月30日，約40%員工於本集團任職達5年或以上。本集團於週年晚宴上頒發長期服務獎項，以表揚任職達10年、15年、20年及25年之員工。管理職位的員工流失率相對較低，反映員工對本集團之滿意度及歸屬感甚高。

### 3. Workplace Quality

#### 工作環境質素

The Group encourages continued breastfeeding in workplace and provides a designated private space to support lactation of breastfeeding women in flexible schedule during working hours. These “Breastfeeding Friendly Workplace” measures demonstrate the Group’s commitment to the well-being of its employees and their families.



本集團支持員工於工作間持續授乳，並設立特定具私穩的空間，以支援女性員工在工作時間內彈性地進行擠母乳。該等「母乳餵哺友善工作間」措施兌現本集團維護僱員及其家庭福祉的承諾。

### 3.2 Labour Standard

The Group is committed to establishing an inclusive culture and embracing the diverse backgrounds of employees. The Group’s employee handbook covers policies and guidelines related to employment practices, including compensation and dismissal, recruitment, working hours, rest periods, equal opportunity, anti-discrimination and other benefits and welfare, etc.

The Group strictly complies with relevant laws and regulations in related regions concerning the prevention of forced or child labour. In the recruitment process, the Group implements appropriate procedures to ensure that employment adheres to minimum age provisions of applicable laws. The Group also prohibits any form of forced labour.

### 3.2 勞工標準

本集團致力於建立包容性文化並歡迎不同背景的員工加入。本集團的員工手冊涵蓋僱員慣例相關政策及指引，包括薪酬及解僱、招聘、工作時間、休息時間、平等機會、反歧視以及其他利益及福利等。

本集團嚴格遵守在相關地區有關防止強迫勞動或童工的法律法規。在招聘過程中，本集團實施適當程序以確保受僱員工符合適用法律的最低年齡規定。本集團亦禁止任何形式的強迫勞動。

### 3. Workplace Quality

#### 工作環境質素

### 3.3 Health and safety

The Group values the health and well-being of staff. In order to provide employees with health coverage, staff are entitled to benefits including medical and life insurance as well as other competitive fringe benefits.

The Group prides itself on providing a safe, effective and congenial work environment for its staff. Adequate arrangements and training courses are provided to ensure a healthy and safe working environment. Health and safety training is provided to all employees on induction. Office memos and guidelines on occupational health and safety are issued, and keep all employees informed. Workshops and seminars on different topics are regularly held, to present the latest information and raise awareness of occupational health and safety issues for employees.

On 17 May 2018, staff were invited to attend a talk given by an occupational health nurse on preventing muscle strain in the workplace. On 25 April 2018, the Group organised a wellness day, to offer health advisory services for employees, including blood screening, nutrition consultation and spinal checks.

The Group promotes emergency preparedness and arranges well-stocked first-aid kits in offices and branches to protect the health and safety of workers in the event that they are injured at work. An automated external defibrillator in the Group's office, is aimed at saving the life of anyone who might suffer from sudden cardiac arrest.



Every case of injury (if any) is required to be reported to the Group Human Resources Department and be individually assessed under the internal guideline procedures. During the Year, the Group reported zero work-related fatalities, 2 work-related injuries and 15 lost days due to work injury.

### 3.3 健康及安全

本集團重視員工之健康及福祉。為向員工提供健康保障，我們提供多種員工福利，包括醫療及人壽保險以及其他具競爭力之額外福利。

本集團致力為員工提供安全、高效及舒適之工作環境，並以此自豪。本集團落實充足的安排及培訓課程，以確保健康及安全的工作環境。於入職時，所有員工均須接受健康及安全培訓。所有員工均獲發及知悉有關職業健康與安全的辦公室備忘錄及指引。本集團定期舉辦不同主題的研習會及研討會，以呈列最新資訊，及加強僱員對職業健康及安全方面的意識。

2018年5月17日，員工應邀參加一場由職業健康護士主講有關如何於工作場所預防肌肉拉傷的講座。2018年4月25日，本集團舉辦健康日，為僱員提供健康諮詢服務，包括血液篩查、營養諮詢及脊椎檢查。



本集團提倡應急準備及在辦公室及分行安排齊備急救箱，以於發生工傷時保障工人的健康及安全。本集團辦公室亦備有救心機，旨在拯救潛在心臟病發的人士。

每宗工傷事故（如有）需向本集團人力資源部門報告，並根據內部指引程序進行獨立評估。於本年度，本集團並無因工作關係而死亡的個案，另外錄得2宗工傷及因工傷損失工作日數為15天。

### 3. Workplace Quality

工作環境質素

#### 3.4 Work-life balance

The Group supports work-life balance activities and encourages its employees to attain a healthy work-life balance with their co-workers and family. The Group actively provides a range of activities and initiatives to enhance the health and well-being of its employees, as well as to strengthen the connections and teamwork among staff.

##### Exclusive Tour to Taipei, November 2017

Over 30 employees together with their families participated in a three-day tour to Taipei, spending a fun and relaxing holiday together.

#### 3.4 生活與工作的平衡

本集團支持可維持工作與生活平衡的活動，並鼓勵其員工與同事及家人達致健康的工作與生活平衡。本集團積極提供一系列活動及舉措，以提升員工的健康及福祉，並加強員工之間的聯繫與團隊合作。

##### 台北之旅 – 2017年11月

超過30名僱員與家人一同參與為期三日之台北之旅，寫意歡聚假期的美好時光。



##### Annual Dinner, April 2018

On 20 April 2018, an annual dinner themed “Starry Night” was held at Harbour Grand Hong Kong, to express the Group’s gratitude to its employees for their support and service as well as to foster team spirit within the Group. The employees and guests enjoyed a magnificent dinner, wonderful entertainment and unrivalled networking opportunities.

##### 週年晚宴 – 2018年4月

本集團於2018年4月20日假港島海逸君綽酒店舉行「星光閃耀夜」週年晚宴，以答謝員工的支持及服務，以及促進本集團員工之間的團隊精神。僱員及嘉賓同享佳釀美饌和精彩娛樂，觥籌交錯，誠為難得的交流機會。





### 3. Workplace Quality

#### 工作環境質素



#### Live World Cup Match, July 2018

On 15 July 2018, employees spent a fun night watching the final of the FIFA World Cup, an event adored by fans worldwide, on a giant screen in The Emperor Hotel.

#### Sports Day, September 2018

On 14 September 2018, the Group hosted a Sports Day in an indoor sports centre. This was thoroughly enjoyed by more than 60 staff and their family members, who showed enthusiasm in building team spirit and bonding.

#### Adventure at Ocean Park, September 2018

On 23 September 2018, staff and their family members were invited to Ocean Park for a day of adventure featuring thrilling rides, marine mammals and endangered animals, together with Halloween Fest 2018 and Sanrio Party.

#### Green Monday

In the “Green Monday Fruit Day” campaign, an item of fresh fruit is given to each staff member on the first working day of every week, helping staff to raise awareness about eco-friendly diets and maintaining a healthy lifestyle.

The Group also organises interest classes for the staff and their families, such as cookery classes and fitness workshops. These activities help to strengthen relationships between employees and promote a harmonious working environment.



#### 世界盃決賽夜 – 2018年7月

於2018年7月15日國際足總世界盃決賽當晚，員工們一同觀看這場風靡全球的盛事，在英皇駿景酒店的巨型屏幕前共度愉快一晚。

#### 運動日 – 2018年9月

於2018年9月14日，本集團在室內運動中心舉辦運動日。超過60名僱員與家人踴躍參與，積極建立團隊精神及連繫。

#### 探索海洋公園 – 2018年9月

於2018年9月23日，員工與其家人獲邀到海洋公園展開探索旅程，體驗驚險刺激的機動遊戲以及觀看海洋哺乳類動物及瀕危動物，以及哈囉喂全日祭2018及Sanrio派對。

#### 綠色星期一

在「生果星期一」活動中，每名員工在每週第一個工作日獲發一個新鮮水果，幫助員工提升對於環保飲食及維持健康生活習慣的意識。

本集團亦為員工及其家屬舉辦興趣班，如烹飪班及健體工作坊等。該等活動有助鞏固員工之間的關係，並締造和諧的工作環境。



### 3. Workplace Quality

#### 工作環境質素

#### 3.5 Development and training

The Group recognises the importance of skilled and professionally trained employees to its business growth and future success. Given the growing complexity and sophistication of the marketplace, the Group supports its staff to develop and enhance their knowledge, skills and work capability. The Group encourages and provides subsidies to employees at all levels to pursue educational or training opportunities that achieve personal growth and professional development.

As the Group retains its position at the forefront of the vibrant market, the staff actively pursue professional trainings to enhance their technical knowledge and keep abreast of the latest developments. During the Year, the Group conducted in-house seminars and training covering anti-money laundering, updates to laws, codes, rules and regulations, and other topics related to licensed regulated activities, in order to maintain the highest standard of professional conduct and ethics by employees. The seminars and training were recognised by the Securities and Futures Commission ("SFC"), enabling licensed staff to fulfil the requirements for Continuous Professional Training. During the Year, the Group's staff devoted around 956 hours onto self-learning and training, representing approximately 5 hours per employee.

#### 3.5 發展及培訓

本集團認為，具備熟練技能及經專業受訓之員工為帶領業務增長及未來成功的關鍵。鑑於市場環境日益複雜，本集團支持員工發展及提升其知識、技能及工作能力。本集團鼓勵並資助各級別員工參與進修或培訓機會，讓員工在個人成長及專業發展方面得到裨益。

本集團站於充滿活力的市場最前線，其員工不斷積極尋求專業培訓以提升技術知識，及時了解最新發展動向。於本年度，本集團舉辦內部研討會及培訓，內容涵蓋防止洗黑錢、法律、守則、規則及法規之最新資訊以及有關持牌受規管活動之其他主題，讓員工保持最高標準之職業操守及道德。研討會及培訓乃獲證券及期貨事務監察委員會（「證監會」）認可，以確保持牌員工符合持續專業培訓之要求。於本年度，本集團員工共投入約956小時用於自學及培訓，相當於每名員工投入約5小時。

## 4. Operating Practices

### 經營常規

#### 4.1 Supply chain management

The Group values mutually beneficial and longstanding relationships with its suppliers. The Group works closely with a number of services providers offering trading platform systems and financial information solutions in Hong Kong and mainland China. The selection of suppliers is based on criteria such as price, stability of the trading platform, customer service team responsiveness, capability and experience, with preference given to potential suppliers that demonstrate their commitment to the environment.

#### 4.2 Product responsibility and customer services

The Group has earned trusted relationships with its broad customer base through providing dedicated customer services.

The Group makes every effort to promptly and fairly investigate and resolve all disputes and complaints lodged by customers, according to clearly written internal procedures. During the Year, one customer complaint concerning dealing in securities was reported.

The Group has set up designated channels – including hotline, facsimile and email – for clients to lodge complaints. All complaints received through these channels are diverted to and handled by the Complaint Officer. The hotline numbers and email address are shown on the daily and monthly client statements, to ensure clients are aware of the communication channels for lodging complaints. Upon receipt of a complaint, the Complaint Officer will investigate in a timely manner and report the findings to senior management. Senior management shall review the complaint and determine whether internal controls and procedures need to be enhanced or other appropriate action is required to be taken.

As a comprehensive financial services provider, the Group comprises teams of professionals specialising in a wide array of services including brokerage, asset management, financing, and corporate finance advisory. As at 30 September 2018, 68 employees and 98 account executives of the Group were licensed with the SFC in various regulated activities: dealing in securities (RA 1), dealing in futures contracts (RA 2), advising on securities (RA 4), advising on futures contracts (RA 5), advising on corporate finance (RA 6), and asset management (RA 9) or registered with Professional Insurance Brokers Association.

#### 4.1 供應鏈管理

本集團重視與其供應商建立互惠互利及長久的合作關係。本集團與多名在香港及中國內地提供交易平台系統及金融資訊解決方案的服務供應商保持緊密合作。甄選供應商乃根據價格、交易平台的穩定性、客戶服務團隊的回應速度、實力及經驗等準則而進行，潛在供應商若能履行環保者，會獲優先考慮。

#### 4.2 產品責任及客戶服務

本集團透過提供貼身的客戶服務獲得廣大客戶群之信任。

本集團力求根據清楚列明之內部程序，及時公平地調查並解決客戶提出之所有糾紛及投訴。於本年度，已報呈的客戶投訴有一宗，有關投訴涉及證券交易。

本集團已設立指定渠道（包括熱線電話、傳真及電郵）供客戶提出投訴。通過該等渠道收到之所有投訴將轉達投訴主任並由其處理。該等熱線電話及電郵地址均顯示於每日及每月之客戶賬單上，以確保客戶知悉提出投訴之溝通渠道。於收到投訴後，投訴主任將及時作出調查，並將結果報告予高級管理層。高級管理層將審查投訴，並決定須否加強內部監控及程序或採取其他適當行動。

作為一家綜合金融服務供應商，本集團擁有由各種服務之專業人士組成的團隊，包括經紀、資產管理、貸款及企業融資顧問。於2018年9月30日，本集團68名僱員及98名客戶經理獲證監會許可從事各種受規管活動：證券交易（第1類受規管活動）、期貨合約交易（第2類受規管活動）、就證券提供意見（第4類受規管活動）、就期貨合約提供意見（第5類受規管活動）、就機構融資提供意見（第6類受規管活動）以及提供資產管理（第9類受規管活動），或已於香港專業保險經紀協會登記。



## 4. Operating Practices

### 經營常規

During the Year, as a result of its dedicated services and professionalism, the Group received the following awards:

本集團憑藉其熱誠服務及專業水平，於本年度獲得以下獎項：

#### Capital Merits of Achievements in Banking and Finance Awards 2017

資本卓越銀行及金融大獎2017

Capital Magazine, October 2017

《資本雜誌》，2017年10月



#### Hong Kong Outstanding Enterprises 2017

香港傑出企業2017

Economic Digest, November 2017

《經濟一週》，2017年11月



#### Hong Kong Leaders' Choice 2018 - Excellent Brand of Financial Instituting Services

香港企業領袖品牌2018—卓越財務機構品牌

Metro Finance, February 2018

新城財經台，2018年2月





## 4. Operating Practices

### 經營常規

In November 2017, Ms. Daisy Yeung, Chief Executive Officer of the Group, was honoured with the Golden Bauhinia Woman Entrepreneur Award, in recognition of her outstanding entrepreneurial achievements and success across the finance sector.

#### Golden Bauhinia Woman Entrepreneur Award 2017

Golden Bauhinia Women Entrepreneur Association, November 2017

於2017年11月，本集團行政總裁楊琨詩女士榮獲金紫荊女企業家卓越非凡大獎，表揚其在金融業的傑出企業家成就及佳績。

#### 金紫荊女企業家卓越非凡大獎2017

《金紫荊女企業家協會》，2017年11月



## 4. Operating Practices

### 經營常規

#### 4.3 Protection of data

The Group places the utmost importance on protecting the privacy of its customers, partners and staff in the collection, processing and use of their personal data. The Group adheres to the applicable data protection regulations and ensures appropriate technical measures are in place to protect personal data against unauthorised use or access. The Group also ensures that customers' personal data is securely stored, and processed only for the purpose for which it has been collected. Relevant staff are provided with adequate training in compliance with applicable laws on data privacy protection, to strengthen their awareness and to protect personal data against loss, unauthorised access, use, modification or disclosure.

#### 4.4 Protection of intellectual property

The Group builds up and protects its intellectual property rights by prolonged use under the registration of domain names and various trademarks within the Emperor Group such as “**Emperor**” to be used in the relevant jurisdictions.

#### 4.5 Anti-corruption/Anti-money laundering

In order to build up an ethical corporate culture and practices, the Group has established policies for anti-corruption and anti-money laundering. To ensure and mitigate the associated risks, adequate procedures on customer screening and monitoring, “know your customer” practices, record keeping, and reporting suspicious circumstances are established in accordance with the relevant laws, codes and guidelines issued by the regulatory authorities.

It is essential for the Group's employees to acquire a better understanding of corruption and related acts. In addressing and mitigating corruption risks, a set of guidelines was established to outline acceptable and unacceptable conduct in employees' daily business activities. It reaffirms that every employee adheres to applicable legal requirements and makes ethical business decisions. Employees are given briefings organised by the Group or seminars on anti-corruption organised by the Independent Commission Against Corruption of Hong Kong. The Group has also adopted a whistleblowing system and procedures for all levels and operations under the Group, so staff can raise concerns, in confidence, about possible improprieties such as misconduct and malpractice in any matter related to the Group. These policies and procedures can be found in the employee handbook on the Company's intranet.

#### 4.3 資料保護

本集團在收集、處理及使用客戶、合作夥伴及員工的個人資料過程中，對保障彼等的私隱給予最高度的重視。本集團嚴格依循適用的資料保護法例並確保設立適當之技術措施，保障個人資料免被未經授權挪用或存取。本集團亦確保客戶個人資料獲安全妥善地保存，並只會按收集時指定的用途使用。本集團根據保護私隱資料的適用法例向相關員工提供充足培訓，以加強彼等的意識及保障個人資料免受遺失、未經授權獲取、使用、修改或披露。

#### 4.4 保障知識產權

本集團透過持續使用英皇集團旗下於相關司法權區使用登記的域名與各類商標（例如「**英皇**」），建立及保障其知識產權。

#### 4.5 防止貪污/防止洗黑錢

為樹立一套企業道德文化及常規做法，本集團已訂立防止貪污及防止洗黑錢政策。為確保及減低相關風險，本集團已按照監管機構頒佈之相關法律、法規及指引制定有關客戶篩選及監控、「了解你的客戶」常規、保存記錄以及舉報可疑情況的適當程序。

本集團之員工必須對貪污及相關行為加深了解。為了針對及減低貪污之風險，一套指引已獲制訂，列明員工日常業務活動中可接受及不可接受的行為。這可確保每個員工遵從適用的法律規定及作出合乎道德之商業決定。員工會參與本集團舉辦之簡介會或香港廉政公署舉辦之防止貪污研討會。本集團亦採納一套舉報制度及程序，讓本集團所有層面及業務之員工可機密地就任何可能影響本集團之不當事宜（如不當及不法行為）提出檢舉。該等政策及程序可於本公司內聯網上的員工手冊內查閱。

## 4. Operating Practices

### 經營常規

During the Year, no legal case regarding corrupt practices was brought against the Group or its employees. Also, no whistleblowing concerning a criminal offence or misconduct was reported.

The Group sets out a comprehensive framework of measures to prevent money laundering activities. At the time of account opening, the Group will perform a name search in an anti-money laundering database system provided by a third party vendor, in order to screen each new client against current terrorist and sanction designations, and check whether the client is a Politically Exposed Person (PEP). New account applications lodged by terrorists or sanctioned entities would be rejected. Regular name checks of existing clients against the latest terrorist and sanction list issued by US Treasury Department, as recommended by the regulators, are also conducted. The Group performs regular reviews on transactions by high-risk clients, in order to identify suspicious transactions. In the event any suspicious transactions are noted, the Group will report them to the Joint Financial Intelligence Unit in due course.

於本年度，概無對本集團或其員工就貪污行為提出起訴之法律案件。同時，亦無接獲刑事罪行或不當行為之舉報。

本集團制訂一套綜合框架措施以防止洗黑錢活動。於開立戶口時，本集團將在由第三方供應商提供之防止洗黑錢數據庫系統內進行名稱搜索，以識別每名新客戶是否牽涉當前恐怖分子及於制裁名單內，並檢查客戶是否為政治公眾人物(PEP)。恐怖分子或受制裁實體提出的新開戶申請會被拒絕。按監管機構建議，本集團亦根據美國財政部最新頒佈之恐怖分子及受制裁清單對現有客戶進行定期名稱檢查。本集團會對高風險客戶進行之交易進行定期審查，以識別可疑交易。倘知悉任何可疑交易，本集團將適時向聯合財富情報組舉報。

### 4.6 Compliance with laws and regulations

The Corporate Governance Committee is delegated by the Board to review and monitor the policies and practices on compliance with legal and regulatory requirements which have significant impact on the Group.

The Legal and Compliance Department is designed to provide an in-house legal and compliance service that effectively supports various operation units in their duties and day-to-day operation to comply with all applicable laws, rules and regulations (such as Securities and Futures Ordinance and subsidiary legislations, Prevention of Bribery Ordinance and Codes and Guidelines issued by Securities and Futures Commission).

Updates on the applicable laws, rules and regulations are brought to the attention of relevant employees and relevant operation units from time to time. The Group holds relevant required licences for provision of services, such as dealing in securities and futures contracts; advising on securities and futures contracts; advising on corporate finance and asset management; and money lenders and insurance broker licenses, etc. The management must ensure that business is conducted in accordance with the applicable laws and regulations.

### 4.6 遵守法例及法規

企業管治委員會獲董事會委派檢討及監察本集團遵守對本集團有重大影響之法例及監管規定方面的政策及常規的情況。

法律及合規部門旨在提供內部法律及合規服務，有效支援多個營運部門於其職責及日常營運方面遵守所有適用法律、法規及規則（如證券及期貨條例及附屬法例、防止賄賂條例以及證券及期貨事務監察委員會頒佈的守則及指引）。

相關員工及相關經營單位不時獲悉所適用法律、規則及法規之最新資訊。本集團持有提供服務所需之相關牌照，例如買賣證券及期貨合約；就證券及期貨合約提供意見；就企業融資及資產管理提供意見；以及放債人及保險經紀牌照。管理層須確保所從事業務乃符合適用之法律及法規。



## 5. Community Involvement

### 參與社區活動

Embracing the mission “From the Community, To the Community”, the Group actively promotes diverse community campaigns spanning elderly welfare, underprivileged communities and environmental conservation initiatives. The Group’s management team also plays an important role in mobilising staff to join all these activities, which are held in tandem with its commitment to sustainable development.

#### 5.1 Volunteering services

The Group endeavours to support a wide array of voluntary programs in order to promote social harmony. Major volunteering initiatives during the Year included:

##### Empathy for the Mental Challenged, October 2017

About 20 staff volunteers from the Group paid a visit to Lei Tung Lutheran Day Activity Centre, a training centre for the intellectually challenged in Ap Lei Chau. They were first briefed about the general situation of this disadvantaged group in Hong Kong. Then, they interacted with students of the centre, playing games and preparing simple refreshments together. After spending a half day at the centre, the volunteers realised that, given their seemingly uncomplicated approach to life, it could actually be easier for the intellectually challenged to experience happiness.



#### 5.1 志願服務

本集團全力支持多項義工項目促進社會和諧。於本年度內，主要的志願服務包括：

##### 英皇送愛到利東 – 2017年10月

本集團員工一行約20人到訪位於鴨脷洲、為智障人士而設的路德會利東展能中心。他們首先了解香港這群弱勢人士的概況；然後，他們與中心的學生進行互動，一起玩遊戲及製作簡單茶點。暢聚半天後，義工們領略到智障人士生活簡單、純真率直，反而更易快樂。



##### Ethnic Minorities x Cultural Diversity, November 2017

The Group and Oxfam jointly organised a workshop titled “Ethnic Minorities x Cultural Diversity”. Participating staff members along with relatives and friends learn the basic Nepalese and Urdu, visited exotic shops and took part in a mock ceremony, thereby learning how people of this disadvantaged group in Hong Kong live, and reflecting on how to get along with them and promote racial harmony in the community.



##### 少數族裔x文化觸覺 – 2017年11月

本集團與樂施會合辦「少數族裔x文化觸覺」工作坊，供員工及親友參加。在活動主持帶領下，參加者學習簡單尼泊爾及烏爾都語、遊走特色小店、參與模擬民族儀式等，全方位認識香港此弱勢社群，反思如何相處共融，以促進社區內不同種族和諧共處。





## 5. Community Involvement

### 參與社區活動

#### Autumn Outing with Elderly Persons in Sai Kung, November 2017

Staff volunteers invited the elderly residents from Salvation Army Bradbury Home for Loving Kindness for a pleasant afternoon at Jockey Club Sai Kung Outdoor Training Camp. Besides autumn scenery and delicious food, they also enjoyed some special workshops on DIY potted plants, soap crafts and role-playing photoshoots, etc.



#### 秋風送爽長者遊 – 2017年11月

志願員工邀請久居救世軍白普理慈愛長者之家院舍的長者到賽馬會西貢戶外訓練營遊玩半天。除觀賞秋日風光和品嚐豐富美食外，更特別安排趣味工作坊如製作小盆栽、手工肥皂、角色扮演拍照留念等，樂也融融。



#### Hair Cutting Services for the Mentally Challenged, December 2017

A five-week haircut course was offered to staff volunteers to be prepared to give a hair-cut service to the mentally challenged at a caring centre in Sheung Shui. Accompanied by the volunteers from Hong Kong Lutheran Social Service under "We Cycle 2", a programme to train reformed drug addicts to be eco-tour guides on two wheels, this expedition allowed participants to serve the needy, and work with those deserving a second chance.

#### 為智障人士提供理髮服務 – 2017年12月

本集團向志願員工提供為期五星期的理髮課程，旨在為上水一間機構的智障人士提供理髮服務。在香港路德會社會服務處「改變輪舍單車導賞員及義工訓練計劃2」（為將更新吸毒人士培訓為單車生態導遊的計劃）之義工帶領下，該活動讓參加者為有需要人士服務及與重投社會的更生人士合作。



## 5. Community Involvement

### 參與社區活動

#### Full Moon Fun Tram Ride, September 2018

Joining hands with Hong Kong Lutheran Social Service, LC-HKS, the “Full Moon Fun Tram Ride” event was held in September, to celebrate the Mid-Autumn Festival with 30 underprivileged senior citizens from Tuen Mun district. Emperor Motion Pictures artiste Kathy Yuen, along with the staff volunteers, joined the senior citizens to enjoy a traditional feast, and take a nostalgic tram tour to appreciate the superb scenery and moonlight along the way.

#### 賞月同樂電車遊 – 2018年9月

與香港路德會社會服務處攜手合辦的「賞月同樂電車遊」活動於9月舉行，為30位來自屯門區的弱勢長者提早慶祝中秋佳節。英皇電影藝人湯怡在志願員工陪同下與一眾長者歡聚一堂，不但共晉傳統佳餚，而且乘搭懷舊電車，細賞沿途美景和皎潔月色。



### 5.2 Charitable sponsorship and donations

The Group mobilises its staff to participate in charity sale events and fundraising campaigns to help underprivileged people in the community. Major charity sponsorship and donation campaigns during the Year included:

### 5.2 慈善贊助及捐贈

本集團動員一眾員工參與慈善義賣及籌款活動，幫助社區弱勢群體。於本年度，主要慈善贊助及捐款活動包括：

#### Qile Cake Charity Sale, November 2017

The Group supported the Haven of Hope Christian Service by co-hosting a cake selling in Fitfort Arcade, North Point. Some volunteers invited their kids to join hands in supporting the event, setting a good role model of “more blesses to giving than to receive”. The donations received from this charity sale and staff internal cake orders were made to Haven of Hope Christian to support the elderly.

#### 耆樂餅義賣大行動 – 2017年11月

本集團透過與基督教靈實協會合辦於北角健威坊商場舉行的義賣蛋糕活動。部分義工更攜同子女參與，為善之餘，亦樹立「施比受更有福」的好榜樣。活動所籌集之善款，連同本集團員工訂購耆樂餅之款項，已撥捐基督教靈實協會以讓更多長者受惠。





## 5. Community Involvement

### 參與社區活動

#### Dress Casual Day, October 2017

Staff who made donations dressed casually to speak their personal identity on the annual Dress Casual Day, organised by the Community Chest on 12 October 2017.



#### 便服日 – 2017年10月

捐款支持活動的員工於2017年10月12日穿上便服參加香港公益金之年度活動便服日，展現個人色彩。

#### Charity Bazaar, November – December 2017

In late 2017, a 10-day “Emperor Capital Charity Bazaar” was hosted in the pulse, a leisure complex in Repulse Bay. The event, organised for the third year in a row, raised HK\$930,000 and HK\$200,000 for Little Life Warriors Society and Hong Kong Seeing Eye Dog Services, respectively. The opening ceremony was held on 26 November 2017, and graced by honourable guests including Dr. Albert Yeung, Chairman of Emperor Group as well as Emperor Entertainment Group artistes Joey Yung and Hins Cheung. At the Bazaar, visitors were able to find pre-loved items ranging from apparel, accessories and shoes to books and many others, which had been donated by celebrities, artistes and the Group’s employees.

#### 義賣會 – 2017年12月

於2017年底，本集團特假淺水灣the pulse商場，舉行為期10日的《英皇證券慈善義賣會》。活動已是連續第三年舉辦，分別為「生命小戰士會」及「香港導盲犬服務中心」籌得930,000港元及200,000港元善款。啟動儀式於2017年11月26日舉行，邀得各界貴賓現身支持善舉，包括英皇集團主席楊受成博士、英皇娛樂藝人容祖兒小姐及張敬軒先生。義賣會提供由名流、藝人及本集團員工慷慨捐出的珍品，由服飾鞋履以至書籍等各樣物品，供訪客尋覓心頭好。



## 5. Community Involvement

### 參與社區活動

#### Blood Donation Day, May 2018

Staff members participated in a regular Blood Drive in partnership with the Hong Kong Red Cross, aiming to support those in need and spread awareness regarding saving lives.

#### 捐血日 – 2018年5月

員工參加與香港紅十字會合辦之定期捐血活動，旨在幫助有需要的人士，並發揚拯救生命的訊息。



#### New Born Seeing-eye Dogs Naming, July 2018

On 25 July 2018, the Group supported the “New Born Seeing-eye Dogs Naming Ceremony” organised by Hong Kong Seeing Eye Dog Services. After making a donation to the organisation, the Group gave names starting with “E” to each of the three newly born puppies: Eskimo, Eian and Einstein.

#### E胎導盲犬命名活動 – 2018年7月

於2018年7月25日，本集團支持香港導盲犬服務中心舉辦的E胎導盲犬命名活動。本集團向有關機構捐款後，將三隻初生小狗命名為以「E」字母起首的Eskimo、Eian及Einstein。





## 5. Community Involvement

### 參與社區活動

#### Maggie's Centre Mid-Autumn Festival Celebration, September 2018

In Mid-Autumn Festival, 300 mooncakes were donated to cancer patients in Maggie's Centre and their families, hoping to share festive joy and support. The Foundation also aimed to create precious moments for the cancer fighters and their family members on this occasion for family reunions.



#### 銘琪癌症關顧中心中秋慶祝活動 – 2018年9月

今年中秋，本集團向銘琪癌症關顧中心的癌症患者及家屬送上300個月餅，在佳節送上歡樂與關懷。同時希望在這共聚天倫的日子，為一眾癌症戰士及家屬留下珍貴回憶。

#### Mooncake Transfer Campaign, September 2018

The staff donated mooncakes to Pok Oi Hospital Wai Yin Association Youth City via the "Mooncake Donation Campaign", for redistribution to underprivileged families in Tin Shui Wai.



#### 月餅轉贈活動 – 2018年9月

本集團員工在「月餅捐贈活動」中向博愛醫院慧妍雅集新Teen地捐贈月餅，以轉贈天水圍的弱勢家庭。

## 5.3 Environmental conservation

The Group is dedicated to promoting environmental awareness through green education. Major environmental conservation initiatives during the Year include:

### 5.3 環境保護

本集團致力通過綠色教育宣揚環保意識。於本年度內，主要環保活動包括：

#### Earth Hour, March 2018

On 24 March 2018, the Group joined the millions of people around the globe and turned off its office lights in support of WWF's Earth Hour, an annual event to raise awareness of climate change.



#### 地球一小時 – 2018年3月

於2018年3月24日，本集團響應世界自然基金會一年一度的「地球一小時」活動，與全球數百萬人攜手參與節能行動並關閉辦公室照明燈。該活動旨在提高人們對氣候變化的意識。

## 5. Community Involvement

### 參與社區活動

#### Book Bazaar, July 2018

A book collection campaign was organised in July 2018. The books collected were donated for a book bazaar held on 27 July 2018, with proceeds dedicated to supporting Emperor Foundation.



#### 舊書義賣 - 2018年7月

本集團於2018年7月舉辦舊書收集活動，並於2018年7月27日舉行的舊書義賣活動中義賣所收集的書籍，所得善款已撥捐英皇慈善基金。

The Group has been awarded the 10 Years Plus Caring Company Logo by the Hong Kong Council of Social Service, recognising its ongoing commitment to fulfilling its corporate social responsibilities.

本集團榮獲香港社會服務聯會頒發的10年Plus「商界展關懷」標誌，表揚其履行企業社會責任的持久承諾。



## 6. Appendix: HKEx ESG Reporting Guide Content Index

### 附錄：聯交所環境、社會及管治報告指引內容索引

The following content index is prepared in accordance with the ESG Reporting Guide as set out in Appendix 27 of the Listing Rules of the HKEx.

下列內容索引乃根據聯交所上市規則附錄27《環境、社會及管治報告指引》而制訂。

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
<b>A. Environmental 環境</b>		
<b>Aspect A1: Emissions 層面A1：排放物</b>		
General Disclosure 一般披露	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. 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。	2.1
KPI A1.1 指標A1.1	The types of emissions and respective emissions data. 排放物種類及相關排放數據。	2.3.1
KPI A1.2 指標A1.2	Greenhouse gas emissions in total and intensity. 溫室氣體總排放量及密度。	2.3.1
KPI A1.3 指標A1.3	Total hazardous waste produced and intensity. 所產生有害廢棄物總量及密度。	Not applicable <i>In view of its business nature, the Group does not directly generate any hazardous waste.</i> 不適用 基於其業務性質，本集團並無直接產生大量有害廢棄物。
KPI A1.4 指標A1.4	Total non-hazardous waste produced and intensity. 所產生無害廢棄物總量及密度。	2.3.3
KPI A1.5 指標A1.5	Description of measures to mitigate emissions and results achieved. 描述減低排放量的措施及所得成果。	2.2.1
KPI A1.6 指標A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved. 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。	2.3.3
<b>Aspect A2: Use of Resources 層面A2：資源使用</b>		
General Disclosure 一般披露	Policies on the efficient use of resources, including energy, water and other raw materials. 有效使用資源（包括能源、水及其他原材料）的政策。	2.2
KPI A2.1 指標A2.1	Direct and/or indirect energy consumption by type in total and intensity. 按類型劃分的直接及／或間接能源總消耗量及密度。	2.3.2
KPI A2.2 指標A2.2	Water consumption in total and intensity. 總耗水量及密度。	Not applicable <i>The Group operates in leased premises. The water consumption data for individual occupants is not available.</i> 不適用 本集團於租用物業中營運。並無獲提供個別租戶的耗水數據。

## 6. Appendix: HKEx ESG Reporting Guide Content Index

附錄：聯交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
KPI A2.3 指標A2.3	Description of energy use efficiency initiatives and results achieved. 描述能源使用效益計劃及所得成果。	2.2.1
KPI A2.4 指標A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved. 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。	Not applicable <i>The Group did not encounter any problems in sourcing water for its daily operations.</i> 不適用 本集團日常營運中在求取水 源方面並無遇到任何問題。
KPI A2.5 指標A2.5	Total packaging material used for finished products and, if applicable, with reference to per unit produced. 製成品所用包裝材料的總量及（如適用）每生產單位佔量。	Not applicable 不適用
<b>Aspect A3: The Environment and Natural Resources</b> <b>層面A3：環境及天然資源</b>		
General Disclosure 一般披露	Policies on minimising the issuer's significant impact on the environment and natural resources. 減低發行人對環境及天然資源造成重大影響的政策。	2.2.2
KPI A3.1 指標A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them. 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。	2.2.2
<b>B. Social 社會</b>		
<b>Employment and Labour Practices</b> <b>僱傭及勞工常規</b>		
<b>Aspect B1: Employment</b> <b>層面B1：僱傭</b>		
General Disclosure 一般披露	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. 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。	3.2
KPI B1.1 指標B1.1	Total workforce by gender, employment type, age group and geographical region. 按性別、僱傭類型、年齡組別及地區劃分的僱員總數。	3.1
KPI B1.2 指標B1.2	Employee turnover rate by gender, age group and geographical region. 按性別、年齡組別及地區劃分的僱員流失比率。	3.1 briefing discussed 已概括說明
<b>Aspect B2: Health and Safety</b> <b>層面B2：健康與安全</b>		
General Disclosure 一般披露	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. 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。	3.3



## 6. Appendix: HKEx ESG Reporting Guide Content Index

### 附錄：聯交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
KPI B2.1 指標B2.1	Number and rate of work-related fatalities. 因工作關係而死亡的人數及比率。	3.3
KPI B2.2 指標B2.2	Lost days due to work injury. 因工傷損失工作日數。	3.3
KPI B2.3 指標B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored. 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。	3.3
<b>Aspect B3: Development and Training</b> <b>層面B3：發展及培訓</b>		
General Disclosure 一般披露	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. 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。	3.5
KPI B3.1 指標B3.1	The percentage of employees trained by gender and employee category (e.g. senior management, middle management). 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。	3.5 briefing discussed 已概括說明
KPI B3.2 指標B3.2	The average training hours completed per employee by gender and employee category. 按性別及僱員類別劃分，每名僱員完成受訓的平均時數。	3.5 briefing discussed 已概括說明
<b>Aspect B4: Labour Standards</b> <b>層面B4：勞工準則</b>		
General Disclosure 一般披露	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。	3.2
KPI B4.1 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。	3.2
KPI B4.2 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。	3.2
<b>Operating Practices 營運慣例</b>		
<b>Aspect B5: Supply Chain Management</b> <b>層面B5：供應鏈管理</b>		
General Disclosure 一般披露	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。	4.1
KPI B5.1 指標B5.1	Number of suppliers by geographical region. 按地區劃分的供應商數目。	4.1 briefing discussed 已概括說明
KPI B5.2 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. 描述有關聘用供應商的慣例，向其執行有關慣例的供應商數目、以及有關慣例的執行及監察方法。	4.1

## 6. Appendix: HKEx ESG Reporting Guide Content Index

附錄：聯交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
<b>Aspect B6: Product Responsibility</b> <b>層面B6：產品責任</b>		
General Disclosure 一般披露	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。	4.2
KPI B6.1 指標B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons. 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。	Not applicable 不適用
KPI B6.2 指標B6.2	Number of products and service related complaints received and how they are dealt with. 接獲關於產品及服務的投訴數目以及應對方法。	4.2
KPI B6.3 指標B6.3	Description of practices relating to observing and protecting intellectual property rights. 描述與維護及保障知識產權有關的慣例。	4.4
KPI B6.4 指標B6.4	Description of quality assurance process and recall procedures. 描述質量檢定過程及產品回收程序。	4.2
KPI B6.5 指標B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored. 描述消費者資料保障及私隱政策，以及相關執行及監察方法。	4.3
<b>Aspect B7: Anti-Corruption</b> <b>層面B7：反貪污</b>		
General Disclosure 一般披露	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. 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。	4.5
KPI B7.1 指標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. 於匯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。	4.5
KPI B7.2 指標B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored. 描述防範措施及舉報程序，以及相關執行及監察方法。	4.5
<b>Community 社區</b>		
<b>Aspect B8: Community Investment</b> <b>層面B8：社區投資</b>		
General Disclosure 一般披露	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. 有關以社區參與來了解發行人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。	5
KPI B8.1 指標B8.1	Focus areas of contribution. 專注貢獻範疇。	5
KPI B8.2 指標B8.2	Resources contributed to the focus area. 在專注範疇所動用資源。	5



英皇證券集團有限公司  
Emperor Capital Group Limited