

# 恒投证券

HENGTOU SECURITIES

(a joint stock company incorporated in the People's Republic of China with limited liability under the Chinese corporate name “恒泰证券股份有限公司” and carrying on business in Hong Kong as “恒投證券” (in Chinese) and “HENGTOU SECURITIES” (in English))

Stock Code: 1476

**2018 Environmental, Social  
and Governance Report**

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## 1. About This Report

Hengtou Securities (“HENGTOU SECURITIES” in English), a joint stock company incorporated in the People’s Republic of China with limited liability under the Chinese corporate name “恒泰证券股份有限公司” (the “Company”) and its subsidiaries (the “Group” or “we”), are pleased to publish our third Environmental, Social and Governance Report (the “Report”). The purpose of the Report is to summarise the Group’s sustainability concepts and progress in fulfilling various aspects of corporate social responsibility.

### Reporting standard

The Report is in accordance with the reporting principles in Appendix 27 “Environmental, Social and Governance Reporting Guide” (the “Guide”) of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited (the “Listing Rules”) published by The Stock Exchange of Hong Kong Limited (the “SEHK”). Each of the Group’s stakeholders supported the preparation of the Report, which helps us understand the current state of the Group’s operations from an environmental and social standpoint as well as offering analysis and disclosure.

### Scope of the report

The Report focuses on the overall performance of the Group’s core businesses in the area of sustainable development from 1 January 2018 to 31 December 2018 (the “Year” or the “Reporting Period”). Unless otherwise stated, the content pertains to businesses directly controlled by the Group. For details on corporate governance, please refer to the “Corporate Governance” section of the Group’s 2018 Annual Report or visit the official website (<https://www.cnht.com.cn/htzq/>).

### Reporting language

The Report has traditional Chinese and English versions. In the event of inconsistency, the traditional Chinese version shall prevail.

### Feedback on the Report

We value your enquiries and suggestions about this Report and the Group’s sustainability strategy. Please feel free to contact us by email ([dongban@cnht.com.cn](mailto:dongban@cnht.com.cn)).

## 2. Group Profile

The Company is an integrated securities company with subsidiaries in Shenzhen and Changchun and headquarters registered in Hohhot, Inner Mongolia Autonomous Region, PRC. The Company has a total of 144 securities operation branches in China. Its various wholly-owned subsidiaries include Hengtai Changcai Securities Co., Ltd. (恒泰長財證券有限責任公司), Hengtai Futures Co., Ltd. (恒泰期貨股份有限公司), Hengtai Pioneer Investment Co., Ltd. (恒泰先鋒投資有限公司) and Hengtai Capital Investment Co., Ltd. (恒泰資本投資有限責任公司). The Company also holds the equity interest of New China Fund Management Co., Ltd (恒泰資本投資有限責任公司).

Since its incorporation, the Group has adhered to core values of “Innovative, Pragmatic, Honest and Cooperating”. It is mainly engaged in brokerage and wealth management, investment banking, investment management and proprietary trading, and is committed to providing wealth management that benefits all its stakeholders. Ultimately, the Group is striving to become a securities holding group with a strong market influence. We continue to explore the potential of traditional businesses as well as new areas of business. Emerging areas of activity such as the Group’s internet finance business have developed rapidly, realising the evolution from “Open Connection” to “Technological Empowerment”. As of 31 December 2018, the Group’s accumulated online accounts had reached 942,800, of which 40,800 were added during 2018, and online cumulative customer custody assets amounted to RMB 8.931 billion, of which RMB 382 million were added during 2018.

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During the Reporting Period, the Group received the awards and citations shown in the table below, which reflect the Group's contribution to and position in its industry.

Awardee	Award or honour	Awarding organisation
Hengtai Securities Co., Ltd (恒泰证券股份有限公司)	“Investor Appeals Handling Excellent Cases” Participation Award (「投資者訴求處理優秀案例」評選參與獎)	Shenzhen Stock Exchange
Hengtai Securities Co., Ltd (恒泰证券股份有限公司)	Model Broker of 2018 “Miles of Hong Kong Stock Investment Lessons” (2018 年度「港股投教萬里行」模範券商)	The Hong Kong Stock Exchange
Hengtai Securities Co., Ltd (恒泰证券股份有限公司)	Excellent Organisation Award (卓越組織獎)	New Fortune (新財富)
Hengtai Securities Co., Ltd (恒泰证券股份有限公司)	Prize of Excellence in Targeted Poverty Alleviation (優秀定點扶貧獎)	Securities Association of China and China Futures Association
Hengtai Securities Co., Ltd (新華基金管理股份有限公司)	Prize of Excellence in Medical Poverty Alleviation (優秀醫療扶貧獎)	Securities Association of China and China Futures Association
New China Fund Management Co., Ltd. (新華基金管理股份有限公司)	Poverty Alleviation Organisation of 2018 (2018 年度扶貧新銳機構)	International Finance News (國際金融報)
Hengtai Futures Co., Ltd. (恒泰证券股份有限公司)	Pudong New Area Guangcai Programme Charity Project Award of 2018 (2018 年度浦東新區光彩事業公益項目獎)	Federation of Industry and Commerce of Pudong New Area, Shanghai
Hengtai Securities Co., Ltd (恒泰证券股份有限公司)	Outstanding Securities and Futures Branch of Jilin District of 2018 (2018 年度吉林轄區優秀證券期貨分支機構)	Securities Association of Jilin
Hengtai Securities Co., Ltd (恒泰证券股份有限公司)	Top 10 Brand of Brokerage Awards of 2018 (2018 年度十大品牌券商獎)	New Third Board(新三板)

### 3. Sustainable Development Strategy

The Group takes the environmental and social effects of its operations seriously. Therefore, we regard environmental, social and governance matters as integral to all our business activities. The Group's Board bears all responsibility for strategy and reporting with regards to environmental, social and governance matters. It is furthermore responsible for assessing and determining environmental, social and governance risks, optimising risk management and internal control systems, and supervising management reviews of relevant risk management and the internal monitoring systems in order to improve their ability to identify compliance risks.

#### 3.1. Stakeholder engagement

The Group is always receptive to stakeholders' opinions on environmental, social and governance matters, and communicates with them in an effort to fully understand their expectations and the issues that concern them. Such information contributes to the Group's formulation of its sustainable development strategy. For this purpose, during the Year, the Group communicated with stakeholders including customers, employees, shareholders/investors, business partners, suppliers, regulators, media, professional organizations (associations such as the Securities Association of China, Futures Association of China, Asset Management Association of China, etc.), and social/non-governmental groups.

Stakeholder	Major Concerns	Communication Channels
Customers	<ul style="list-style-type: none"> <li>• Customer Services</li> <li>• Customer Rights</li> <li>• Information Security</li> <li>• Complaint Handling</li> </ul>	<ul style="list-style-type: none"> <li>• Daily Operation/communication</li> <li>• Customer services center</li> <li>• Customer satisfaction survey and opinion form</li> <li>• Customer consultation groups</li> <li>• Customer relationship Manager visits</li> <li>• Online services platform</li> <li>• Phone</li> <li>• Email</li> </ul>
Employees	<ul style="list-style-type: none"> <li>• Remuneration and Welfare</li> <li>• Occupational Safety and Health</li> <li>• Economic Performance</li> <li>• Training and Development</li> <li>• Effective Communication</li> </ul>	<ul style="list-style-type: none"> <li>• Performance interview/evaluation</li> <li>• Group discussions/meetings</li> <li>• Employee opinion channels</li> <li>• Staff communication conferences</li> <li>• WeChat group for work</li> <li>• Seminars/workshops/talks</li> <li>• Publications/business Presentation</li> <li>• Employee intranet</li> </ul>

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Shareholders/Investors	<ul style="list-style-type: none"> <li>• Economic Performance</li> <li>• Compliant Operation</li> <li>• Information Transparency</li> <li>• Effective Communication</li> </ul>	<ul style="list-style-type: none"> <li>• Annual general meetings and other shareholders' meetings</li> <li>• Investors meetings</li> <li>• Interim reports and annual reports</li> <li>• Corporate communications</li> <li>• Announcement of results</li> <li>• Visiting activities for shareholders</li> <li>• Establishment of investor education base</li> </ul>
Business Partners	<ul style="list-style-type: none"> <li>• Compliant Operation</li> <li>• Harmony</li> <li>• Mutual Development</li> </ul>	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Meetings</li> <li>• Visits</li> <li>• Talks</li> </ul>
Suppliers	<ul style="list-style-type: none"> <li>• Fair competition</li> <li>• Transparent procurement</li> <li>• Sustainable supply chain</li> </ul>	<ul style="list-style-type: none"> <li>• Management process for suppliers</li> <li>• Assessment system for suppliers/subcontractors</li> <li>• Tendering system and tendering process</li> <li>• Meetings</li> <li>• Site inspection</li> </ul>
Regulators	<ul style="list-style-type: none"> <li>• Information transparency</li> <li>• Compliance operation</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance report</li> <li>• Daily reported regulatory document</li> <li>• Written response to the public consultation</li> <li>• Meetings</li> </ul>
Media	<ul style="list-style-type: none"> <li>• Information transparency</li> </ul>	<ul style="list-style-type: none"> <li>• Press release</li> <li>• Media gathering</li> <li>• Interview on senior management</li> <li>• Announcement of results</li> <li>• Official website</li> </ul>
Professional Organizations	<ul style="list-style-type: none"> <li>• Compliance operation</li> <li>• Information communication</li> <li>• Harmony</li> </ul>	<ul style="list-style-type: none"> <li>• Meetings</li> <li>• Regular visits</li> <li>• Memberships</li> </ul>
Social/Non-governmental Groups	<ul style="list-style-type: none"> <li>• Social Charity</li> </ul>	<ul style="list-style-type: none"> <li>• Seminars/workshops/talks</li> <li>• Meetings</li> <li>• Promotional activities for investment education</li> </ul>

Though communication with various stakeholders, we understand that they concern about the aspects of business operation, staff, the environment, and the community. We also formulated the Group 's sustainable development strategies. During the Year, the Group's sustainable development strategy had four outlines, namely "Standard Operation", "Professional Service Team", "Focus on Environmental Protection" and "Contribution to the Society".





## 4. Compliant Operations

The Group believes that compliance control and risk prevention are absolutely necessary for business development. Therefore, we ensure the compliance of our operations while working to enhance risk prevention awareness and improve our compliant risk control system. By doing so, we promote the mutual facilitation and coordinated development of compliant risk control and business operations.

### 4.1. Integrity and compliance management

The Group complies with all laws and regulations concerning the integrity of its operations, including the Supervision Law of the People's Republic of China, the Securities Law of the People's Republic of China, the Company Law of the People's Republic of China, the Securities Investment Fund Law of the People's Republic of China, the Criminal Law of the People's Republic of China, the Regulation on Administrative Supervision of Securities Company of the People's Republic of China, Regulation on the Administration of Futures Trading, Measures for the Compliance Management of Securities Companies and Securities Investment Fund Management Companies, Guidelines for the Compliance Management of Securities Companies, Anti-Money Laundering Law of the People's Republic of China, Guidelines for the Assessment of Money Laundering and Terrorism Financing Risks, and Categorised Management of Customers of Financial Institutions, to expressly prohibit acts of malpractice. We have formulated a Compliance Manual (《合規手冊》), Compliance Management Measures (《合規管理辦法》), Compliance Officer Management Regulations (《合規專員管理規定》), Compliance Officer Work Principles (《合規專員工作細則》), Anti-Money Laundering Work Management Measures (《反洗錢工作管理辦法》), Suspected Terrorist Financing Suspicious Transaction Report and Asset Freeze Management Regulations (《涉嫌恐怖融資可疑交易報告及資產凍結管理規定》), and New Business (Products) Management Measures (《新業務(產品)管理辦法》) to establish a compliance management organisational system and strengthen the business's compliance management.

To further ensure the measurability, controllability and affordability of compliance risks, we have compiled the Internal Control Outline (《內部控制綱要》), Comprehensive Risk Management Measures (《全面風險管理辦法》) and New Business Risk Management Rules (《新業務風險管理細則》), which clearly demonstrate the Group's insistence on soundness, rationality, balance, compliance and independence as basic principles of its internal control and comprehensive management of risk. These documents clarify the rights and responsibilities of each unit in terms of risk management, in identifying, assessing, responding to and reporting risks in a timely manner, and in establishing a sound and comprehensive risk management system. During the Reporting Period, there were no lawsuits against the Group or its employees pertaining to corruption, bribery, extortion, fraud or money laundering.

The Group advocates the regulation of individual behaviour with high standards of professional ethics, and a fair and reasonable approach to protect the reputation and brand of the Company. To this end, we have compiled the Regulations on the Management of Employee Integrity Business Behaviours (《員工廉潔執業行為管理規定》) and the Administrative Measures on Supervision of Visits and Reporting for the Commission for Discipline Inspection (《紀律檢查委員會紀檢監察信訪舉報工作管理辦法》), which stipulate that employees must comply with all relevant laws and regulations, including those provisions of the China Securities Regulatory Commission, the rules relating to industrial self-discipline, social morality, business ethics, professional ethics and codes of conduct such as the Chinese Communist Party's Code of Integrity and Self-discipline, the Chinese Communist Party Disciplinary Regulations, the Code of Conduct for the Practitioners of Securities Industry and the Regulations on the Integrity of Securities and Futures Operation Institutions and Employees in the course of business operations, which reflects the Group's core corporate value of "Integrity".

#### **4.2. Customer service system**

The Group's business philosophy prioritises creating benefit and value for customers. To standardise the customer complaint mechanism, we have compiled "Management Regulations on Customer Complaints in Sales Departments" (《營業部客戶投訴管理規定》), which outlines procedures for handling complaints and requirements for filing complaints. These enable such issues to be solved in a timely manner, improve our level of service, and contribute to a positive image and reputation for the Group. Customers may express the complaints in person, by telephone, fax, letter or e-mail, or via our website. Once complaints are received, they will be categorised according to their nature, scope, frequency and severity, then submitted to the Sales Department, Brokerage Management Headquarters, Compliance Management Department and Corporate Complaint Handling Committee for follow-up. Within two days after completion of the complaint's processing, we will conduct return visits towards customers and obtain the customers' feedback towards complaint handling. During the Reporting Period, the Group received 15 complaints and all cases were properly handled.

#### 4.3. Security and confidentiality

As we rely on information systems to handle business transactions, we regard the protection of customer privacy as one of the Group's key tasks. We are fully in compliance with the Privacy Law of the People's Republic of China, the Implementation Measures of the Privacy Law of the People's Republic of China, and other national regulations and systems which extend privacy protections through all aspects of our marketing activities, customer services, customer management and back-office system support. To comprehensively safeguard the data and legal rights of the Group and its customers, we have compiled the Code of Practice for Confidentiality of Sales Departments (《營業部保密工作守則》), Administrative Measures for Office Automation Systems (《辦公自動化系統管理辦法》), Working Manual of Sales Department and Computer Department (《營業部電腦部工作手冊》), Management Authority of Counter Operation of Sales Department (《營業部櫃檯操作管理權限》), and Customs Archives Management Regulations for the Securities Business Department (《證券營業部客戶檔案管理規定》). Through various measures such as approval of information access applications, MAC addresses, dynamic verification codes, account passwords and minimum permissions, the data access rights of the securities business operators are allocated rationally to strengthen the management of the securities trading system. At the same time, standardisation and institutionalisation of customer file management ensure that the information system has sufficient and effective operational monitoring, with strict control of overall business risks.

#### Protection of intellectual property

The Group wholly abides by the Advertising Law of the People's Republic of China, Patent Law of the People's Republic of China, Implementation Rules for Patent Law of the People's Republic of China, Trademark Law of the People's Republic of China, the Intellectual Property Law of the People's Republic of China and other laws and regulations contributing to prudent monitoring of business information disclosure. We strictly manage matters relating to advertising and intellectual property, and safeguard all legal intellectual property rights, patent rights, trademark rights, copyrights, etc., of the Group and its business partners. We also ensure that we deliver complete, true and accurate information to the public, and eliminate all instances of false or misleading merchandise description.

#### 4.4. Supply chain management

The Group is concerned with the sustainability of its supply chain and has accordingly established long-term, mutually beneficial cooperation arrangements with suppliers. In accordance with laws and regulations such as the Tendering and Bidding Law of the People's Republic of China, we have emplaced systems such as Centralised Procurement Management Measures (《集中采购管理办法》) to clarify the organisational structure and responsibilities of centralised procurement, and standardise the centralised procurement system and its procedures. The Group's centralised procurement follows the principles of fairness, impartiality, openness, economy, efficiency and effectiveness to ensure that purchased products and services meet requirements. In terms of supplier selection and procurement policies, we choose suppliers which are in compliance with the law, under compliance operation, with tax payment in accordance to the law, with good business reputation, sound financial and accounting systems, with provision of products or services in compliance with national or industry standards and requirements, and with capabilities to perform contracts. We also consider the social responsibility performance of the suppliers. Regarding the supervision and management during the process of centralised procurement activities, we follow the concept of "separation of positions and mutual restraint" in each step. The Group's accounting and auditing department also conducts regular audit checks on centralised procurement to prevent moral and operational risks. During the Year, the Group's three major suppliers were from Hohhot and Beijing, China, which mainly provide electronic and office equipment, including stationery, desk and chairs.

## **5. Professional service team**

The Group's development philosophy is people-based and lays great emphasis on the introduction, promotion and steady development of talents. By providing a good working environment and training opportunities, we encourage our employees to upgrade their professional skills and realise their full potential. The Group's Employee Handbook (《員工手冊》) explains the various systems and regulations which constitute its standardised and efficient human resource management system. As of 31 December 2018, the Group had a total of 2,064 employees.

### **5.1. Employment practices**

The Group complies fully with laws and regulations of the PRC relating to labour and employment, including the Labour Law, Labour Contract Law, Law on the Protection of Minors and the Prohibition of Using Child Labour, to create a fair, non-discriminatory, harmonious and inclusive workplace. During the reporting period, the Group was not found to be in violation of any relevant laws and regulations relating to remuneration, dismissal, recruitment, promotion, working hours, equal opportunities, diversification, anti-discrimination, child or forced labour. No incidents of child or forced labour have been found within the Group.

The Group implements the principles of "careful organisation, comprehensive assessment, fair, just, and merit-based recruitment" to recruit employees. Candidates' qualifications, skills, work experience and conduct are the main considerations for recruitment. Candidates' gender, age, ethnicity and family background do not affect their employment prospects. We verify the identity of applicants to prevent hiring child labour. Candidates must ensure that all information provided during the employment process is accurate and true. If any false or forged information is found, the Group has the right to assume that the employee has behaved fraudulently and can terminate the labour relationship according to the terms of the labour contract.

### **5.2. Remuneration and welfare**

Remuneration and welfare is an important factor in attracting and retaining talents. The Group has established a comprehensive market-oriented employee compensation structure based on risk management and performance appraisal, and implemented a standardised multi-level review mechanism to support it. Employees' fixed salaries include a position salary, fixed subsidy, special allowance and other components, and may be adjusted according to the regional economic development, the price status of the labour market, and annual work performance assessment results. The employee's variable salary includes annual performance bonuses, special awards and other rewards.

The Group provides employees with welfare benefits that exceed statutory minimum requirements. In accordance with national regulations, we provide social security for eligible employees which includes basic medical insurance, basic endowment insurance, unemployment insurance, work injury insurance, maternity insurance and a housing provident fund. In addition to statutory holidays, sick leave, work injury leave, casual leave, annual leave, marriage leave, bereavement leave, prenatal leave, maternity leave and family planning leave are available. The Group offers special benefits such as cold-heating, heat-reducing and cooling, holiday fees and team activities, and maintains a support mechanism which provides subsidies to employees who are experiencing hardship due to illness or disaster. During the Year, the Group issued various types of hardship assistance totalling approximately RMB 120,000.

### **5.3. Health and safety**

The Group complies with all laws and regulations pertaining to health and safety, including the Law of the People's Republic of China on the Prevention and Control of Occupational Diseases, Regulations on the Reporting, Investigation and Disposition of Work Safety Accidents, Regulations on the Supervision and Administration of Occupational Health in the Workplace, and the Regulation on Work-Related Injury Insurance. During the Year, the Group was not found to be in violation of any law or regulation relating to the provision of a safe working environment and protection of employees from occupational hazards, and no working days were lost due to work-related injuries or serious work-related accidents causing the death of employees.

The Group provides basic health protection for eligible employees and purchases group insurance for employees based on actual conditions, providing accidental injury protection and accident and hospitalisation subsidies. Additionally, the Group invites external professional medical institutions to organise annual occupational health checks for employees, with expenses paid by the Group. The Human Resources Department maintains health records for all employees based on the results of the health checks, and reports health information to employees in a timely manner. During the reporting period, all employees of the Group received occupational health examinations.

In addition to their physical health, the Group also strives to ensure that employees enjoy good mental and emotional health. To this end, the Group frequently organises activities such as festivals, table tennis competitions, sports days and youth associations to give employees an opportunity to relax, pursue leisure interests and socialise.



#### **Fun Sports Day**

On 20 October 2018, the Finance, Trade Textile, Agriculture, Forestry and Water Union of the Autonomous Region held a sports day to mark the 17th National Congress of the Chinese Trade Union and cultivate team spirit.

### **5.4. Training and development**

As part of its mission to create opportunities for employees, the Group has established a talent selection management mechanism with active channels for professional training and promotion. During the Year, the Group issued a “2018 Training Questionnaire” (《2018 年度培訓調查問卷》) to collect data on such crucial matters as employees’ educational status, training content and form requirements, and the feasibility of constructing internal instructor teams. Subsequently, the Hengtai Securities Co., Ltd. 2018 Training Plan (《恒泰证券股份有限公司 2018 年度培訓計劃》) was created to organise targeted internal training, internal online training, and arrange for employee participation in external training.

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Type of training	Description
Internal face-to-face training	Investor Education Business Training (《投資者教育業務培訓》) and Information Technology Special Training (《信息技術專項培訓》) were implemented to improve the legal awareness of the sales department head and personnel commissioner during the employee management process, including understanding and preventing risk within the processes of recruitment, assessment, correction, salary management, transference, resignation and attendance leave. Labour Employment Risk Prevention Training (《勞動用工風險防範培訓》) was also offered to reducing the potential for labour disputes and possible losses.
Internal online training	The Human Resources Department used the Financial Street Investment Group Network Academy's learning platform to collaborate with Shanghai Times Guanghua Education Development Co., Ltd. (which has professional curriculum development and online training experience) to develop a new series of online training courses that are designed for new employees, namely, Stepping Into Hengtai (《走進恒泰》), Compliance Management and Compliance Practice Requirements (《合規管理與合規執業要求》), Risk Management Special Training (《風險管理專題培訓》) and Hengtai Securities Employee Handbook (《恒泰證券員工手冊》). Online courses for Brokerage Business Back-up Personnel Training and Information Technology Special Training are also offered.
External training	According to the requirements of the Securities Association of China, all employees with securities practice qualifications must attend follow-up training. Those holding fund qualifications will be enrolled into follow-up training for fund practitioners; those holding futures qualifications will be enrolled into the follow-up training of futures practitioners; senior management and staff members in various departments will be registered to participate in training organised by external institutions such as the Securities Association of China, Shanghai Stock Exchange.

All employees in the Group received various types of training during the reporting period, with an average of 19.3 training hours per employee.



## **6. Environmental protection**

The Group wishes to be regarded as a green financial enterprise. We advocate a low-carbon lifestyle, and through various means, work consistently to raise our employees' awareness of environmental matters. The Group has also implemented measures such as recycling, energy conservation and emissions reduction to reduce its operations' impact on the environment. During the reporting period, the Group had not violated any environmental protection laws, nor experienced any major accidents affecting the environment and natural resources, and was not subject to any penalties and litigation notices regarding environmental issues.

### **6.1. Low-carbon operation**

Recent years we have seen China assume a leading role globally to mitigate climate change through its participation in the non-legally binding Copenhagen Accord in 2009, the Paris Agreement in 2016, and the UN Climate Change Conference in 2017. In the Outline of the Thirteenth Five-Year Plan for Economic and Social Development of the People's Republic of China (2016-2020), China confirmed the urgency of promoting an energy revolution and proposed the dual regulation of total energy consumption and energy intensity. The National Energy Commission also passed the Revolutionary Strategy for Energy Production and Consumption (2016-2030) in 2016, which stipulated overall goals and strategies for an energy revolution. The Group actively promotes green production and a low-carbon corporate culture to meet China's climate change strategy.

### 6.1.1. Managing greenhouse gas emissions

In accordance with the Greenhouse Gas Inventory Protocol developed by the World Resources Institute and the World Business Council for Sustainable Development and ISO 14064-1 standards from the International Organisation for Standardisation, the Group conducted a greenhouse gas emissions inspection for its headquarters at Hohhot. The greenhouse gas emissions for the reporting period follow below.

GHG emission	Unit	2018
Direct GHG emissions (Scope 1)	tonnes CO <sub>2</sub> e	14.2
Indirect GHG emissions (Scope 2)	tonnes CO <sub>2</sub> e	247.6
Other indirect GHG emissions (Scope 3)	tonnes CO <sub>2</sub> e	9.7
Total GHG emissions (Scope 1, 2 & 3)	tonnes CO <sub>2</sub> e	271.6
GHG intensity	Unit	2018
Per square meter (Scope 1, 2 & 3)	tonnes CO <sub>2</sub> e /m <sup>2</sup>	0.02
Per employee (Scope 1, 2 & 3)	tonnes CO <sub>2</sub> e /capita	0.82

Scope 1: The direct GHG emissions generated from sources owned and controlled by the Group.

Scope 2: GHG emissions indirectly generated by electricity generation, heating and cooling or steam purchased by the Group.

Scope 3: Emissions include GHG emissions indirectly generated by sources that are not owned or directly controlled by the Group but related to the Group's business activities.

Based on the results of the greenhouse gas emissions inspection, the Group's greenhouse gas emissions can be categorised as direct (Scope 1) and indirect (Scopes 2 and 3). Emissions in each scope derive from the fuel consumption of fixed equipment and vehicles (Scope 1), electricity usage (Scope 2), and water consumption, flight emissions from business trips, waste landfill and paper use during business operations (Scope 3).

During the reporting period, the Group's headquarters office in Hohhot emitted a total of 271.6 tonnes of carbon dioxide equivalent, while greenhouse gas emission intensity was 0.02 tonnes of carbon dioxide equivalent per square meter and 0.82 tonnes of carbon dioxide equivalent per employee. We hope to gradually expand the coverage of greenhouse gas emissions inspection. In the coming year, we will continue to monitor and strengthen our management of these emissions.

In addition to conducting greenhouse gas emissions inspections, we encourage employees to reduce greenhouse gas emissions via emails, posters, internal networks and other media. The Group strongly advocates green travel, and strives to optimise its transportation and cargo delivery while encouraging employees to use public transport and videoconferencing instead of unnecessary business travel if possible. When business travel is unavoidable, direct flights are selected over more-polluting indirect routes.

## 6.2. Green Civilization

The Group actively promotes green-civilized office and practices the concept of environmental conservation in its daily business operations to reduce the impact of business operations on resource consumption and the environment. In order to regulate and improve the environment and conditions of our offices and premises, the Group has formulated the “Regulations on the Management of Office Environment” (《辦公環境管理規定》) to stipulate measures for saving energy, cherishing resources, reducing the generation and emission of pollutants, and create a green-civilized office environment.

### 6.2.1. Energy Management

The Group imposed energy management in various aspects and implemented a number of measures to save energy and reduce consumption in offices, Sales Department and other departments. We use energy-efficient luminaires, install dynamic sensor lights in non-frequently used office areas, and regularly measure the brightness of different locations in the office to reduce the number of luminaires in areas where excessive illumination is identified. We also remind our employees to turn off unnecessary electronic equipment to reduce the energy consumption of electronic device in standby mode. In addition, the Group uses a centrally monitored water-cooled air conditioning system with a variable speed drive and variable refrigerant flow system to allow users to flexibly adjust the air conditioning temperature. We stipulate that the air conditioning temperature in the office area should not be lower than 26 degrees Celsius in summer and should not be higher than 22 degrees Celsius in winter to ensure rational use of the air conditioning system. The Group allows employees to wear causal clothing to work on a basis of not affecting the corporate image to reduce the demand for air conditioning system. We also install curtains for windows, and regularly check and replace the pressure gauges, pressure hoses and air compressor connectors, and regularly clean the lighting fixtures and air filter screens of air conditioning systems to improve energy efficiency. During the Year, the total electricity consumption of the Group's headquarters in Hohhot during operation was 318,696.1 kWh, while the power consumption intensity was 22.8 kWh per square meter and 965.7 kWh per employee. In the future, we will continue to monitor the Group's electricity use in a timely manner so as to arrange appropriate energy conservation measures promptly.

In addition to the power consumption during business operations, the Group also regularly monitors the fuel consumption of fixed equipment and its car fleet. We strictly control the vehicle allocation and scale, and timely eliminate vehicles that do not meet environmental protection standards or with high fuel consumption according to the reasonable lifespan of the vehicles, and speed up the replacement of vehicles that do not meet the requirements of environmental protection and energy conservation. We also manage the use of our car fleet and regularly arrange inspections for the fleet and inflating the tyres to improve fuel efficiency. During the Year, the Group's fixed equipment at the headquarters in Hohhot consumed a total of 1,400.0 kg of diesel and 3,000.0 m<sup>3</sup> of natural gas; and its fleet of motor vehicles consumed a total of 1,430.0 litres of petrol.

### **6.2.2. Water resources management**

The Group encourages the rational use of water resources. We posted a poster about cherishing the water in the washroom to remind employees to make good use of the dual-button flush toilet. Whenever condition permits, the Group installs and uses the sensor-type faucet, and lowers the water pressure to facilitate the use of water according to actual needs. We also instruct our employees to use water reasonably from time to time, such as using high-pressure atomizing faucets when washing cars and encouraging the use of containers to contain water for washing instead of washing under running water for prolonged period. At the same time, the Group strengthened the management of routine maintenance work, such as regularly checking the readings on the water meters and conducting leakage tests on concealed water pipes to arrange timely maintenance work and reduce wastage.

During the Year, the total water consumption during operation for the Group's headquarters in Hohhot was 3,639.0 cubic meters, while the water consumption intensity was 0.3 cubic meters per square meter and 0.3 cubic meters per employee. In the coming year, we will continue to monitor the water consumption of the Group in the course of business operations and nurture the habit of saving water among employees.

### **6.2.3. Paperless office**

The Group makes good use of innovative technology to encourage employees to use electronic communication technologies such as WeChat and e-mail to transmit message whenever possible. We use the "Hengtai Integrated Office Secretary" system, teleconferencing system and video conferencing system in our daily operation to replace the traditional paper-based office administration system to advocate a paperless low-carbon office. Our e-office system allows users to view and use computers to store data on the office network based on their access authorisation, which reduces the need for documentation delivery and storage facilities. At the same time, we encourage reasonable use of paper and remind employees to print and photocopy on both sides whenever possible, and collect paper that has been used on one side for reuse.

The Group counts the paper consumption regularly and makes appropriate adjustment. During the reporting period, the total paper consumption of the Group's headquarter in Hohhot was 1,421.9 kg, while the intensity of paper use was 4.3 kg per employee. In the coming year, the Group will continue to monitor the paper consumption of the Group, continuously improve the multimedia telecommuting system such as network, electronic office environment and teleconferencing system, and promote the progress of paperless office at the counters to strive for the realization of green paperless office.

#### **6.2.4. Waste management**

The Group implements waste disposal in strict accordance with the Law of the People's Republic of China on Solid Waste Pollution Environmental Protection. Based on our principle of “reduction, harmlessness and utilization of resources”, we advocate reducing waste at the source and procuring environmental-friendly products in the first priority to make good use of natural resources. We use recyclable toner cartridges and ink cartridges, cherish the use of office supplies, and use them in a responsible way to maximize their lifespan and reduce the generation of waste. We strictly control the use of office supplies in each department. Applications for office supplies are subject to multiple levels of approval and are centrally procured and delivered by the administrative center to avoid wasting resources. The Group also reviews the inventory of various types of materials from time to time and assesses the consumption to avoid excessive purchases. In addition, the Group has continued to implement internal recycling measures for office consumables and centralized the treatment in accordance with environmental protection methods. We also cooperate with electronics companies to recycle used computers and other electronic waste for recycling and preventing pollution.

During the Year, the total amount of non-hazardous waste generated by the Group's headquarters in Hohhot was 48,800.0 kg, and the intensity of non-hazardous waste was 3.5 kg per square meter and 147.9 kg per employee. The total amount of hazardous waste generated includes 260 batteries and 19 used ink cartridges/used toner cartridges. In the coming year, we will continue to monitor the amount of non-hazardous waste and hazardous waste generated by the Group to further strengthen the preventive measures for pollution.

## 7. Contribution to the society

The Group actively responded to the call of the central government of the People's Republic of China and the specific industry to “take targeted measures in poverty alleviation (精准扶贫)”, namely, to collect resources and powers from all aspects to carry out poverty alleviation work and other public welfare activities, and fulfill corporate social responsibility. During the Reporting Period, the Group invested a total of approximately RMB 1 million for community investment and organization of public welfare activities.

### 7.1. Realizing poverty alleviation through industrial development

By realizing poverty alleviation among the industry, the Group promotes the development of various industries and contributes to the society. Meanwhile, we were awarded the "Prize of Excellence in Targeted Poverty Alleviation" (「優秀定點扶貧獎」) and the "Prize of Excellence in Medical Poverty Alleviation" (「優秀醫療扶貧獎」) by the Securities Association of China (中國證券業協會) and the Futures Association of China (中國期貨業協會), and the "Poverty Alleviation Organization of 2018" (「2018 年度扶貧新銳機構」) by the International Finance News (國際金融報).

The Group is committed to making good use of financial specialty to realize poverty alleviation and promote industrial development. During the Year, the Company assisted Jiangxi Boyang Shengtai Food Industrial Co., Ltd. (江西鄱陽縣盛態糧食實業有限公司) and Xilin Gol League Yangyang Husbandry Co., Ltd. (錫林郭勒盟羊羊牧業股份有限公司) to realize fund-raising via additional issuance of shares, raising RMB20.16 million and RMB10.02 million, respectively. We have also completed the issuance of corporate bonds of RMB500 million in the corporate bond program (Phase II) of Nanchong Jialing Development Investment Co., Ltd. (南充嘉陵發展投資有限公司), the sponsored listing of Gansu Kaikai Agricultural Science And Technology Development Co., Ltd. (甘肅凱凱農業科技發展股份有限公司) and Xilin Gol League Yangyang Husbandry Co., Ltd. (錫林郭勒盟羊羊牧業股份有限公司) on the NEEQ, and advanced the sponsored listing of Hebei Wuhuatou Ecological Agriculture Development Co., Ltd. (河北五花頭生態農業開發有限公司) and obtained the reply to its listing on the NEEQ within the year.

In addition, we also entered into a framework agreement with the local government of Chahar Right Middle Banner, Ulanqab City, Inner Mongolia in respect of cooperation in relation to poverty alleviation to provide support on local industry services. We cooperate with the Yinshan Oatmeal Food Co., Ltd. (陰山燕麥食品有限公司) to purchase featured agricultural products worth RMB100,000 by means of “buying instead of donating” to assist its marketing and promote the development of the local featured agricultural products and thus assist the poverty alleviation of the farmers.

## 7.2. Donating to education

The Group cares about the rights of students and actively implemented donating campaigns for education in various places. We cooperated with Municipal Party Committee of Youth League in Chongqing and Youth Fund in Chongqing to establish the “Xinhua Education Assisting Special Fund” with RMB0.6 million, which targeted to commence student supporting projects in townships with severe poverty in Wulong District and Fengdu County to help teenagers and especially the left-behind children in poverty areas.



Donating to Fengdu County Caisenba Primary School

The Group also entered into a comprehensive strategic assistance agreement with the Eryuan County Government of Dali, Yunnan, China, and donated RMB 0.1 million to the Niujie Junior Secondary School in the county for purchasing infrastructure such as lockers for student hostel and the construction of campus culture so as to improve the educational conditions in poor areas.



Entered into a comprehensive strategic assistance agreement with the Eryuan County Government of Dali, Yunnan, China



Donated RMB 0.1 million to the Niujie Junior Secondary School in Eryuan County Government of Dali, Yunnan, China

## Appendix 1: Sustainability Data Statements

The following is a summary of the sustainability data in the subject area of environment of the Group's headquarters office in Hohhot this year:

Environmental	Unit	2018
<b>GHG emission</b>		
Direct GHG emissions (Scope 1)	tonnes CO <sub>2</sub> e	14.2
Indirect GHG emissions (Scope 2)	tonnes CO <sub>2</sub> e	247.6
Other indirect GHG emissions (Scope 3)	tonnes CO <sub>2</sub> e	9.7
Total GHG emissions (Scope 1, 2 & 3)	tonnes CO <sub>2</sub> e	271.6
<b>GHG intensity</b>		
Per square meter (Scope 1, 2 & 3)	tonnes CO <sub>2</sub> e /m <sup>2</sup>	0.02
Per employee (Scope 1, 2 & 3)	tonnes CO <sub>2</sub> e /capita	0.82
<b>Fuel consumption</b>		
Diesel consumption	kg	1,400.0
Natural gas consumption	m <sup>3</sup>	3,000.0
Fuel consumption of motorcade (petrol)	litre	1,430.0
<b>Energy consumption</b>		
Total electricity consumption	kWh	318,696.1
Total electricity consumption intensity (per square meter )	kWh/m <sup>2</sup>	22.8
Total electricity consumption intensity (per employee)	kWh/capita	965.7
<b>Water consumption</b>		
Total water consumption	m <sup>3</sup>	3,639.0
Total water consumption intensity (per square meter)	m <sup>3</sup> /m <sup>2</sup>	0.3
Total water consumption intensity (per employee)	m <sup>3</sup> /capita	0.3
<b>Paper consumption</b>		
Total paper consumption	kg	1,421.9
Paper consumption intensity	kg/capita	4.3
<b>Waste generation</b>		
Generation of non-hazardous waste	kg	48,800.0
Non-hazardous waste generation intensity (per square meter)	kg/m <sup>2</sup>	3.5
Non-hazardous waste generation intensity (per employee)	kg/capita	147.9
Generation of hazardous waste (battery)	piece	260
Generation of hazardous waste (ink cartridge and toner box)	piece	19



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The following is a summary of the Group's sustainability data in the subject area of society for the year:

<b>Social</b>		<b>2018</b>
<b>Total workforce</b>	no. of people	2,064
<b>Workforce by gender</b>		
Female	no. of people	1,018
Male	no. of people	1,046
<b>Workforce by employment type</b>		
Short-term or part-time staff	no. of people	3
Junior staff	no. of people	1,634
Intermediate management	no. of people	412
Senior management	no. of people	15
<b>Workforce by age group</b>		
Aged below 30	no. of people	605
Aged 30 to 40	no. of people	877
Aged above 40	no. of people	582
<b>Workforce by geographical region</b>		
Inner Mongolia	no. of people	632
Beijing	no. of people	503
Shanghai	no. of people	287
Jilin	no. of people	248
Guangdong	no. of people	153
Zhejiang	no. of people	58
Chongqing	no. of people	40
Shandong	no. of people	36
Liaoning	no. of people	28
Sichuan	no. of people	22
Jiangsu	no. of people	19
Guangxi	no. of people	6
Fujian	no. of people	6
Hubei	no. of people	6
Hebei	no. of people	4
Tianjin	no. of people	4
Shanxi	no. of people	3
Shaanxi	no. of people	3
Hunan	no. of people	3
Henan	no. of people	3

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<b>Employee turnover rate*</b>	13.0%
<b>Employee turnover rate by gender*</b>	
Female employee turnover rate	10.0%
Male employee turnover rate	15.9%
<b>Employee turnover rate by employment type*</b>	
Short-term or part-time staff	0.0%
Junior staff	15.2%
Intermediate management	4.9%
Senior management	0.0%
<b>Employee turnover rate by age group*</b>	
Aged below 30	21.3%
Aged 30 to 40	12.7%
Aged above 40	4.8%
<b>Employee turnover rate by geographical region*</b>	
Inner Mongolia	2.1%
Beijing	23.5%
Shanghai	21.6%
Jilin	2.0%
Guangdong	26.8%
Zhejiang	27.6%
Chongqing	2.5%
Shandong	8.3%
Liaoning	3.6%
Sichuan	9.1%
Jiangsu	0.0%
Guangxi	16.7%
Fujian	16.7%
Hubei	50.0%
Hebei	0.0%
Tianjin	0.0%
Shanxi	33.3%
Shaanxi	0.0%
Hunan	0.0%
Henan	0.0%

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<b>Percentage of employees trained</b>		100%
<b>Average training hours completed per employee by gender</b>		
Female	hour	19.3
Male	hour	19.3
<b>Average training hours completed per employee by employee category</b>		
Short-term or part-time staff	hour	2.2
Junior staff	hour	23.0
Intermediate management	hour	21.0
Senior management	hour	90.2

\*The employee turnover rate is calculated by dividing the number of employees lost by the number of employees at the end of the year

## Appendix 2: Content Index of Hong Kong Stock Exchange ESG Reporting Guide

			Disclosure	Page(s)
<b>A. Environmental</b>				
<b>Aspect 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.	●	P.17 – P.21
	KPI A1.1	The types of emissions and respective emissions data.	●	P.17 – P.18; P.24 – P.27
	KPI A1.2	Greenhouse gas emissions in total and, where appropriate, intensity.	●	P.17 – P.18; P.24 – P.27
	KPI A1.3	Total hazardous waste produced and, where appropriate, intensity.	●	P.21; P.24 – P.27
	KPI A1.4	Total non-hazardous waste produced and, where appropriate, intensity.	●	P.21; P.24 – P.27
	KPI A1.5	Description of measures to mitigate emissions and results achieved.	●	P.17 – P.18
	KPI A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved.	●	P.21
<b>Aspect A2: Use of Resources</b>	General Disclosure	Policies on the efficient use of resources, including energy, water and other raw materials.	●	P.19 – P.20
	KPI A2.1	Direct and/or indirect energy consumption by type in total and intensity.	●	P.19; P.24 – P.27
	KPI A2.2	Water consumption in total and intensity.	●	P.20; P.24 – P.27
	KPI A2.3	Description of energy use efficiency initiatives and results achieved.	●	P.19
	KPI A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved.	●	P.20
	KPI A2.5	Total packaging material used for finished products and, if applicable, with reference to per unit produced.	Not applicable	

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			Disclosure	Page(s)
<b>Aspect A3: The Environment and Natural Resources</b>	General Disclosure	Policies on minimising the issuer's significant impact on the environment and natural resources.	●	P.17 – P.21
	KPI A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them.	●	P.17 – P.21
<b>B. Social</b>				
<b>Employment and Labour Practices</b>				
<b>Aspect B1: Employment</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 compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare.	●	P.13 – P.14
	KPI B1.1	Total workforce by gender, employment type, age group and geographical region.	●	P.24 – P.27
	KPI B1.2	Employee turnover rate by gender, age group and geographical region.	●	P.24 – P.27
<b>Aspect 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 environment and protecting employees from occupational hazards.	●	P.14 – P.15
	KPI B2.1	Number and rate of work-related fatalities.	●	P.14 – P.15
	KPI B2.2	Lost days due to work injury.	●	P.14 – P.15
	KPI B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored.	●	P.14 – P.15
<b>Aspect B3: Development and Training</b>	General Disclosure	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities.	●	P.15 – P.16
	KPI B3.1	The percentage of employees trained by gender and employee category.	●	P.15 – P.16; P.24 – P.27
	KPI B3.2	The average training hours completed per employee by gender and employee category.	●	P.24 – P.27

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			Disclosure	Page(s)
<b>Aspect 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.	●	P.13
	KPI B4.1	Description of measures to review employment practices to avoid child and forced labour.	●	P.13
	KPI B4.2	Description of steps taken to eliminate such practices when discovered.	●	P.13
<b>Operating Practices</b>				
<b>Aspect B5: Supply Chain Management</b>	General Disclosure	Policies on managing environmental and social risks of the supply chain.	●	P.12
	KPI B5.1	Number of suppliers by geographical region.	●	P.12
	KPI B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored.	●	P.12
<b>Aspect B6: Product Responsibility</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 health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress.	●	P.10 – P.11
	KPI B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons.	Not applicable	
	KPI B6.2	Number of products and service related complaints received and how they are dealt with.	●	P.10
	KPI B6.3	Description of practices relating to observing and protecting intellectual property rights.	●	P.10
	KPI B6.4	Description of quality assurance process and recall procedures.	Not applicable	
	KPI B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored.	●	P.11

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			Disclosure	Page(s)
<b>Aspect B7: Anticorruption</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.	●	P.9 – P.10
	KPI 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.	●	P.9 – P.10
	KPI B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored.	●	P.9 – P.10
<b>Community</b>				
<b>Aspect 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.	●	P.22 – P.23
	KPI B8.1	Focus areas of contribution.	●	P.22 – P.23
	KPI B8.2	Resources contributed.	●	P.22 – P.23