



# HOLLY FUTURES

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

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

STOCK CODE/ 股份代號：3678

## ESG REPORT | 2018

環境、社會和管治報告



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# I. Report Preparation Instructions

## 第一章、報告編製說明

This report is based on the concept of social responsibility and corporate growth of Holly Futures Co., Ltd. (hereinafter referred to as “Holly Futures” or the “Company”, together with its subsidiaries, the “Group”) and elaborates on the specific practice of social responsibility for the period from 1 January 2018 to 31 December 2018 (hereinafter referred to as the “Reporting Period”). All the contents and data disclosed in this report have been examined and approved by the board of directors of Holly Futures Co., Ltd. The contents of this report are explained as follows:

### (I) The scope of this report

Organizational scope of this report: The major entity of this report is Holly Futures Co., Ltd., and covers its major subsidiaries, including Holly Capital Management Co., Ltd., Holly Su Futures (Hong Kong) Co., Ltd., Holly Capital (Hong Kong) Co., Ltd.<sup>1</sup>, Holly Su Capital Management Co., Ltd. and Holly International Fund Series SPC.

Covering period of this report: from 1 January 2018 to 31 December 2018.

This report is published annually.

### (II) Principles for the preparation of this report

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

<sup>1</sup> HOLLY CAPITAL (HONG KONG) CO., LIMITED (弘業資本(香港)有限公司) is a company carrying on business in Hong Kong under the name of HOLLY CAPITAL (HONG KONG) CO., LIMITED.

本報告秉承弘業期貨股份有限公司(以下簡稱「弘業期貨」、「本公司」或「公司」, 連同其附屬公司簡稱「本集團」)社會責任與企業成長的相統一的社會責任理念, 並闡述了2018年1月1日至2018年12月31日期間(以下簡稱「本報告期間」)所履行的社會責任的具體實踐工作。本報告披露的所有內容和數據已經弘業期貨股份有限公司董事會審議通過。關於本報告的披露內容, 說明如下:

### (一) 本報告範圍

本報告的組織範圍: 本報告以弘業期貨股份有限公司為主體, 涵蓋旗下重要附屬公司, 包括: 弘業資本管理有限公司, 弘蘇期貨(香港)有限公司, 弘業資本(香港)有限公司<sup>1</sup>、弘蘇資產管理有限公司及弘業國際基金系列SPC。

本報告的時間範圍: 2018年1月1日至2018年12月31日。

本報告每年發佈一次。

### (二) 本報告編製原則

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

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

# I. Report Preparation Instructions

## 第一章、報告編製說明

### (III) Information in this report

The financial information in this report is extracted from the 2018 annual report of Holly Futures Co., Ltd. Other data are compiled by the various departments of the Company.

The type and amount of the currency used in this report is in RMB unless otherwise stated.

### (IV) The form of publication of this report

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

### (三) 本報告數據說明

本報告中的財務數據摘自《弘業期貨股份有限公司2018年年度報告》。其他數據由公司內部各部門整理完成。

本報告中有關數據所涉及貨幣種類及金額，如無特殊說明，均以人民幣為計量單位。

### (四) 本報告發佈形式

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



## II. Company Profile and Financial Information 第二章、公司簡介與財務情況

### (I) Company profile

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

The Group is mainly engaged in commodity futures brokerage, financial futures brokerage, futures investment consulting, asset management business, fund sales, risk management business and overseas business. The Company has a second-level risk management subsidiary Holly Capital Management Co., Ltd. (“Holly Capital”), a second-level Hong Kong subsidiary Holly Su Futures (Hong Kong) Co., Ltd., third-level Hong Kong subsidiaries HOLLY CAPITAL (HONG KONG) CO., LIMITED and Holly Su Capital Management Co., Ltd., and a fourth-level Hong Kong subsidiary Holly International Fund Series SPC. It has established more than 45 branches in Beijing, Shanghai, Guangzhou, Shenzhen and other major domestic financial centres and key cities. The Company is currently a member of Shanghai Futures Exchange, Zhengzhou Commodity Exchange and Dalian Commodity Exchange, and a full clearing member of China Financial Futures Exchange, as well as a stock option trading participant of Shanghai Stock Exchange. The Company has won the awards of “National Civilized Unit”, “China’s Best Futures Company” and “Outstanding Member” of various futures exchanges. In August 2018, China Securities Regulatory Commission (“CSRC”) announced the classification results of futures companies in 2018 and the Company was rated as a Class A of the A Category futures company.

### (一) 公司簡介

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

本集團主要從事商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理業務、基金銷售、風險管理業務、境外業務。公司擁有二級風險管理子公司弘業資本管理有限公司（「弘業資本」）、二級香港子公司弘蘇期貨（香港）有限公司、三級香港子公司弘業資本（香港）有限公司及弘蘇資產管理有限公司，四級香港子公司弘業國際基金系列SPC，並在北京、上海、廣州、深圳等國內主要金融中心和重點城市設立45家分支機構。公司現為上海期貨交易所、鄭州商品交易所、大連商品交易所全權會員，中國金融期貨交易所全面結算會員，上海證券交易所的股票期權交易參與人。公司先後榮獲「全國文明單位」、「中國最佳期貨公司」以及各期貨交易所「優秀會員」等榮譽稱號。2018年8月，中國證券監督管理委員會（「中國證監會」）公布了2018年期貨公司分類結果，公司被評為A類A級期貨公司。

## II. Company Profile and Financial Information 第二章、公司簡介與財務情況

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

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

### (II) Financial information of the Company in 2018

As at 31 December 2018, the Group's total assets amounted to RMB4.297 billion and net assets amounted to RMB1.772 billion. In 2018, the Group achieved operating income of RMB336 million. Net profit attributable to shareholders of the Group was RMB884.28 million.

### (二) 2018年公司財務情況

截至2018年12月31日，本集團總資產人民幣42.97億元，淨資產人民幣17.72億元。2018年，本集團實現營業收入人民幣3.36億元，實現歸屬於本集團股東的淨利潤人民幣88,428萬元。

### III. Corporate Governance 第三章、公司治理

#### (I) Establish and improve the governance structure

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

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

#### (一) 建立完善治理結構

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

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

### III. Corporate Governance 第三章、公司治理

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

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

During the Reporting Period, the Company held a total of 24 meetings, including 2 shareholders’ general meetings (including extraordinary general meeting), 10 Board meetings, 5 meetings of the supervisory committee, 2 meetings of the audit committee, 1 meeting of the nomination committee, 3 meetings of the remuneration committee, and 1 meeting of the risk management committee.

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

公司風險管理的目標是通過實行全面的風險管理體系，確保業務運營遵守相關法律法規，並將業務運營相關的風險控制在可承受的範圍內，從而實現企業價值最大化。公司自2009年監管機構首次推出期貨公司評級以來，過去十年連續獲中國證監會頒發「A類A級」監管類別。公司已建立內部架構及設計業務流程以分散決策制定部門、執行部門以及檢察與評估部門的權力，並在該等部門間實行適當的制衡。

本報告期內，本公司召開股東大會2次（包括臨時股東大會），董事會會議10次，監事會會議5次，審核委員會會議2次，提名委員會會議1次，薪酬委員會會議3次，風險管理委員會會議1次，共計24次會議。



### III. Corporate Governance 第三章、公司治理

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

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

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

#### (二) 強化制度流程建設，做好信息披露工作

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

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

## III. Corporate Governance 第三章、公司治理

The Company has established a standardized information disclosure system, emphasizing initiative and prompt disclosure, standardized formats and true, accurate, complete and fair contents. The Company attaches great importance to the new changes in the supervision laws and regulations of information disclosure, continuously strengthens self-learning, enhances the normative and effective disclosure of information, meets the domestic regulatory requirements, as well as the regulatory requirements of the Hong Kong market and satisfies the needs of investors. All the information disclosure is published on the Company's website and the statutory media simultaneously. In 2018, the Company disclosed a total of 44 documents including H-share announcements, notices and circulars.

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

The Company always focuses on continuously enhancing the value of shareholders, attaches great importance to investor relations management, has gradually established a smooth two-way communication channel with investors, and constantly improves the corporate governance structure. During the Reporting Period, the Company communicated with investors through the telephone, E-mail, reception and other means, with equal treatment of all investors to ensure that all shareholders can fully exercise their rights. To identify the most significant aspects of the Group for this ESG report, key stakeholders, including investors, shareholders and employees, regularly participated in engagement sessions to discuss and review areas of interest, which were conducive for the Group to achieve growth potential and prepare for future challenges. During the Reporting Period, the Company strictly abided by laws, regulations and regulatory requirements, and made true, accurate, complete and timely information disclosure to ensure that investors grasp the major issues of the Company in a timely manner and protected the interests of investors to the greatest extent. The Group welcomes stakeholders' feedback on the Group's environmental, social and governance approach and performance. Please give your suggestions or share your views with the Group via email at [zqb@ftol.com.cn](mailto:zqb@ftol.com.cn).

公司建立了規範的信息披露制度，強調信息披露時點的主動性、及時性，格式的規範化及內容的真實性、準確性、完整性和公平性。公司高度重視信息披露監管法規的新變化，不斷加強自身學習，提升信息披露的規範性和有效性，適應國內監管要求、香港市場的監管要求和滿足投資者需求。公司所有的信息披露均在公司網站和法定媒體上同時發佈。2018年，公司H股披露公告、通告、通函等文件共計44個。

### (三) 維護投資者關係，保障投資者權益

公司始終把持續提升股東價值放在首位，高度重視投資者關係管理工作，逐步建立與投資者之間通暢的雙向溝通渠道，不斷完善公司的治理結構。本報告期內，通過開展電話、電子郵件、接待來訪等形式與投資者進行交流，平等對待全體投資者，確保所有股東能夠充分行使自己的權利。為了確立本環境、社會及管治報告內最重要的彙報範疇，本集團請主要權益人包括投資者、股東和僱員參與定期會議，討論及檢討各個需要關注的領域，以幫助本集團的業務增長發展，為未來的挑戰做好準備。本報告期內，公司嚴格遵守法律法規和監管規定，真實、準確、完整、及時地進行信息披露，確保投資者及時了解公司重大事項，最大程度保護投資者的利益。本集團歡迎各方權益人就本集團的環境、社會及管治方針及表現提供意見。請以電郵向本集團提出建議或分享意見。電郵地址：[zqb@ftol.com.cn](mailto:zqb@ftol.com.cn)。

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

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

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

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

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

### (一) 高度重視依法合規經營

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

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

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

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

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

In 2018, the Company revised the internal control system according to the continuous compliance with regulatory policies, business development needs and the actual situation of the Company's exhibition business. In the daily operation and management, the Company sorted out the existing business process settings and business operations, discovered the internal control defects, proposed corresponding improvement suggestions, and promptly initiated the rectification according to the internal control defect suggestions, and improved the relevant internal control policy and measures in practical work.

In 2018, the Company's compliance risk control department continued to focus on compliance inspection and risk investigation of the Company's branches, and carried it out as a normal job. During the year, some branches of the Company were selected to conduct compliance inspections. At the same time, special anti-money laundering inspection, compliance and anti-money laundering on-site training were conducted. In the third quarter, all branches of the Company were organized to complete the annual compliance self-inspection work. The methods were used to achieve full coverage of compliance checks.

In 2018, the Company carried out in-depth work on party members' conduct and uncorrupted government construction, and continued to strengthen the construction of cadre team, provided a strong guarantee for the Company to comprehensively manage the party from the strict governance, and to create a favourable ambience to rectify the political environment.

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

2018年，公司根據持續滿足監管政策、業務發展需要和公司展業實際情況，對內控制度彙編再次進行了完善修訂。在日常經營管理中，公司通過對現有業務流程設置和業務運行情況的梳理，查找內控缺陷，提出相應的改善建議，同時根據內控缺陷整改建議，及時啟動整改實施工作，在實際工作中完善了相關內控制度和控制措施。

2018年公司合規風控部持續重點進行對公司分支機構的合規檢查、風險排查，作為常態性工作予以開展。年內重點抽取公司部分分支機構進行了合規飛行檢查，同時進行了反洗錢專項檢查、合規和反洗錢現場專項培訓，三季度組織公司所有分支機構完成了年度合規自查工作，結合兩種方式實現合規檢查全覆蓋。

2018年，公司深入開展黨風廉政建設工作，持續加強幹部隊伍建設，為推動公司全面從嚴治黨向縱深發展，營造風清氣正政治生態環境提供堅強保障。





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

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The Company comprehensively implemented the responsibility system for party members' conduct and uncorrupted government construction, and implemented the "one post and two responsibilities". The Company's middle-level and above cadres signed a total of 75 "Responsible for the Comprehensive Management of the Party and the Party's Members' Conduct and uncorrupted government". The Company has built a reporting platform which is "three in ones" (reporting by letters, calls, or e-mails) to effectively broaden the source of clues and accept insiders and outsiders to report on possible irregularities. We always adhered to the work of reminder of party members' conducts in holiday and vehicle sealing and other work, and issued a well-edited "Incorruptible Culture Handbook" to all leading cadres, and organised a visit of the Jiangning Prison Integrity Education Base. The Company improved the system of incorruptible conversations before the appointment of cadres, established an archive of corruption for cadres, and put "good security" on the selection and employment of people. We studied and formulated the system of feedback on diligent and uncorrupted government, and further standardized supervision.

公司全面貫徹落實黨風廉政建設責任制，執行「一崗雙責」。公司中層以上幹部共簽訂了75份《全面從嚴治黨暨黨風廉政建設責任書》。公司構建了信件、電話、郵箱「三位一體」的舉報平台，有效拓寬線索來源，接受公司內外部人士對可能存在的違規行為進行檢舉揭發。公司始終堅持節日作風建設提醒及車輛封存等工作，並向全體領導幹部下發了精心編印的《廉潔文化手冊》，組織參觀江寧監獄廉政教育基地。公司完善形成幹部任前廉潔談話制度，建立領導幹部廉潔檔案，把好選人用人「安全關」；研究制定勤政廉政情況反饋制度等工作制度，進一步規範監督。

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

### (II) Pay attention to anti-money laundering

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

In 2018, the Company fulfilled all statutory obligations pertaining to anti-money laundering in strict compliance with the laws and regulations, strengthened the inspection, supervision and direction of anti-money laundering activities in all business departments and branches as per requirements. The Company performed key inspections on the implementation of anti-money laundering in daily compliance inspection, specifically organized and implemented a number of special publicity and training activities at the inspection site, and conducted on-site testing and understanding of the knowledge of branch personnel in anti-money laundering, and addressed all deficiencies found during inspections in a timely manner. The Company has strengthened the identification of the actual controlling person and beneficiaries of non-natural customers in accordance with the requirements of the Yinfa No. [235] Document by the People’s Bank of China, and at the same time, the Company also organized a company-wide self-inspection and rectification implementation based on the speech of Yi Gang, the president of the People’s Bank of China, at the National Financial Industry Anti-Money Laundering Work Conference on 9 October 2018.

### (二) 重視反洗錢工作

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

2018年公司嚴格按照法律法規規定履行反洗錢法定義務，強化對各業務部門、各分支機構反洗錢工作的指導與檢查監督。在日常合規檢查中重點對反洗錢工作落實情況進行了核查，有針對性的在檢查現場組織實施了多場專題宣傳、培訓活動，並對分支機構人員反洗錢知識掌握情況進行現場測試了解，對檢查中發現的不足及時予以落實完善。公司結合中國人民銀行銀發[235]號文件通知精神強化了對非自然人客戶的實際控制人與受益人身份穿透識別工作，同時針對2018年10月9日全國金融行業反洗錢工作會議易剛行長講話精神組織開展了全公司範圍的自查整改落實工作。

## IV. Compliance and Risk Prevention

### 第四章、合規與風險防範

In 2018, the Company strengthened the construction of the anti-money laundering system, completed the formulation of the Company's anti-money laundering business operation process, and revised and improved the Company's internal control system on anti-money laundering in accordance with the regulatory requirements and the Company's actual situation, and prepared and implemented the Compilation of Internal Control of Holly Futures Co., Ltd. on Anti-money Laundering.

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

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

2018年公司加強了反洗錢制度建設工作，完成了公司反洗錢業務操作流程的制訂，並結合監管要求與公司實際情況修訂完善了公司反洗錢內控制度，建立了《弘業期貨股份有限公司反洗錢內控制度彙編》並下發實施。

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

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

## IV. Compliance and Risk Prevention

### 第四章、合規與風險防範

In order to raise awareness and theoretical knowledge of all staffs on anti-money laundering, the Company strengthened the anti-money laundering guidance and special training, organized a number of anti-money laundering propaganda and special training activities, implemented the anti-money laundering supervision spirit, and guided the specific work practices. It has played a positive role in urging the effectiveness and progress of anti-money laundering work. The Company headquarter and branches organized various anti-money laundering publicity and training for more than 100 times throughout the year, which further enhanced the Company's ability to effectively carry out anti-money laundering work and promote the Company's compliance practice.

In order to ensure the stable operation of the anti-money laundering system, the Company actively coordinated with the anti-money laundering system suppliers to communicate the feedback problems in the process of the operation, and proceeded to carry out the anti-money laundering system update research work, which lay a solid foundation for further improving the stability of the system operation, and ensure the Company fulfills its anti-money laundering obligations and social responsibilities.

為了提升全員的反洗錢意識與理論水平，公司加強了反洗錢工作指導、專項培訓力度，組織了多場次的反洗錢宣傳、專項培訓等活動，具體貫徹反洗錢監管精神、指導具體工作實務、督促推進反洗錢工作實效和進度，起到了積極的作用。公司總部及分支機構全年累計組織開展各類反洗錢宣傳、培訓達百餘次，進一步提升了公司有效開展反洗錢工作能力，促進公司合規執業發展。

為確保反洗錢系統穩定運行，公司積極與反洗錢系統供應商協調溝通反饋使用過程中出現的問題，並著手開展反洗錢系統更新調研工作，為進一步提升系統運行的穩定性，確保公司充分履行反洗錢法定義務和社會責任奠定了基礎。



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

### (III) Establish effective anti-corruption mechanisms

#### 1) Promote and implement the responsibility system for party members' conduct and uncorrupted government construction

In 2018, the Company carried out in-depth work on party members' conduct and uncorrupted government construction, and continued to strengthen the construction of cadre team, provided a strong guarantee for the Company to comprehensively manage the party from the strict governance, and to create a favorable ambience to rectify the political environment.

#### 2) Create a multi-dimensional platform, strengthened the integrity education and uncorrupted culture construction

The Company timely communicated and studied the relevant regulations on integrity, organized the study activity of "Securities and Futures Operating Organizations and Staff Integrity Regulations", "The 80 items listed by central government in violation of the eight regulations" and other new system new regulations. Through a series of learning activities, we stimulated employees' enthusiasm for learning, implemented and consolidated learning results, and formed a good atmosphere of integrity.

The Company actively innovated the carrier of publicity and education activities, elaborated the "Integrity Culture Manual" and distributed it to the leading cadres. The "Manual" covers the spirit of the central and provincial party committees, the relevant provisions of the integrity of the industry, the ancient honest story, the integrity motto, etc. The content is rich, and closely related to the theme of integrity. The Company also opened the "Love Integrity" column in the electronic magazine "Holly Dynamics", and launched an Integrity education every month; opened an online learning platform and created the WeChat group of the Integrity Home. This improves the effectiveness of Integrity education and creates a culture of integrity in a way that everyone likes.

### (三) 建立健全反貪污機制

#### 1) 推進、落實黨風廉政建設責任制

2018年，公司深入開展黨風廉政建設工作，持續加強幹部隊伍建設，為推動公司全面從嚴治黨向縱深發展，營造風清氣正政治生態環境提供堅強保障。

#### 2) 打造多維平台，強化廉政宣傳教育和廉潔文化建設

公司及時傳達學習廉潔從業相關規定，組織學習《證券期貨經營機構及其工作人員廉潔從業規定》、《中央列出違反八項規定清單80條》等新制度新規定，通過學習活動，激發員工學習熱情，落實鞏固學習成果，形成良好的廉潔文化氛圍。

公司積極創新宣傳教育活動載體，精心編製《廉潔文化手冊》並發放到領導幹部手中。《手冊》涵蓋了中央、省委文件精神、廉潔從業相關規定、古代廉吏故事、廉潔格言等，內容豐富多彩、緊扣廉潔主題。公司還在電子內刊「弘業動態」上開設「愛廉說」專欄，每月1期開展廉潔教育；開通了線上學習平台，創建紀委「清風之家」微信群。以大家喜聞樂見的方式，提高廉潔教育成效，打造廉潔弘業文化。

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

### 3) Smooth communication and reporting channels to improve the efficiency of petition reporting

In 2018, the discipline inspection and supervision department publicized the report mailbox, the discipline inspection and supervision telephone number, and the communication address for report on the Company's website, and set up a petition notification box in the Company's headquarters to ensure the convenience of the petition reporting channels.

### 4) Perform duties earnestly and carry out daily supervision properly

In 2018, the Company always insisted on the management of the Company's vehicles with high standards and strict requirements, and put an end to the private use of the Company's vehicles in holiday. On the eve of the statutory holidays, the Company sent message about integrity by phone and on WeChat to all leading cadres to remind them to take the lead in self-discipline and comply with requirements relating to integrity and self-discipline. The Company has successively expressed 42 integrity opinions on candidates for various elections and for appointment of middle-level cadres. We conducted incorruptible conversations with newly appointed middle-level cadres before they took office, and earnestly perform supervisory duties in the selection and appointment of cadres.

### 5) Improve system construction and implement system requirements

In 2018, the discipline inspection and supervision department researched and formulated the "Accountability Measures Targeted at Non-compliance Operations and Investments of Holly Futures Co., Ltd. (Trial)", the "Measures Targeted at the Management of Integrity Archives of Holly Futures Co., Ltd. (Trial)", the "The Code of Conduct for Internal Auditors of Holly Futures Co., Ltd." and the related work processes of the new cadre incorruptible conversation and the integrity archives filing process, and was able to implement the system requirements in daily work.

### 3) 暢通信訪舉報渠道，提高信訪舉報工作的效率

2018年紀檢監察審計部在公司網站公示舉報郵箱、紀檢監督電話、舉報通訊地址等信息，並在公司總部大樓內設置信訪舉報箱，確保信訪舉報渠道的暢通。

### 4) 切實履行職責，做好日常監督

2018年公司始終堅持以高標準、嚴要求對公車進行管理，杜絕節假日公車私用的情況。在法定節假日前夕，向全體領導幹部公司發送廉潔短信和廉潔微信，提醒領導幹部帶頭嚴以律己，遵守廉潔自律的有關要求。公司先後對評選活動候選人以及擬任中層幹部出具廉潔情況意見共計42份；對新任命的中層幹部進行任前廉潔談話，切實履行好對選任幹部的監督職責。

### 5) 完善制度建設，貫徹制度要求

2018年紀檢監察審計部研究制定了《弘業期貨股份有限公司違規經營投資責任追究試行辦法》、《弘業期貨股份有限公司廉潔檔案管理辦法(試行)》、《弘業期貨股份有限公司內部審計人員工作行為規範》和新任幹部廉潔談話及廉潔檔案建檔流程等相關工作流程，並且能夠在日常工作中，貫徹執行制度要求。

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

### 6) Sort out risk points of integrity and carry out self-examination and self-correction

In 2018, the Discipline Inspection and Supervision Department carried out investigations on the integrity risks of branches and subsidiaries below the third level. Through careful investigation and the sort-out of the relevant integrity risks, it formed working papers and special work reports.

### 7) Audit on resigned personnel

In 2018, the Department of Discipline Inspection and Supervision formed a resignation audit working group to carry out resignation audits on seven managers from branches of the Company, one manager from a subsidiary and issued audit reports.

### 8) Economic responsibility audit

In 2018, the Department of Discipline Inspection and Supervision formed an economic responsibility audit group to carry out economic responsibility audits on seven managers from branches of the Company and issued audit reports.

### 9) Special audit

In 2018, the Department of Discipline Inspection and Supervision conducted special audits on development of securities investment business of the Company and its subsidiary, Holly Capital and issued audit reports; carried out a special audit work on the company's official reception and business reception, and issued an audit report.

### 10) Joint inspection

In 2018, the Department of Discipline Inspection and Supervision, the Compliance Risk Control Department and the Finance Department formed the Joint Inspection Team for Holly Futures to carry out joint inspection of the comprehensive operation risk of Holly Su Futures and issued an inspection report.

### 6) 梳理廉潔風險點，展開自查自糾工作

2018年，紀檢監察審計部開展針對分支機構及三級以下子公司的廉潔風險調研工作，經過認真調研、對相關廉潔風險點進行梳理匯總，形成工作底稿及專項工作報告。

### 7) 離任審計

2018年紀檢監察審計部組成離任審計工作小組，對7位分支機構負責人、1位子公司負責人開展離任審計工作，並出具審計報告。

### 8) 經濟責任審計

2018年紀檢監察審計部組成經濟責任審計小組，對7位分支機構負責人開展任中經濟責任審計工作，並出具審計報告。

### 9) 專項審計

2018年紀檢監察審計部對公司及子公司弘業資本證券投資業務開展情況進行專項審計，並出具審計報告；對公司公務接待、商務接待情況開展專項審計工作，並出具審計報告。

### 10) 聯合檢查

2018年紀檢監察審計部聯合合規風控部、財務部組成弘蘇期貨聯合檢查小組，開展弘蘇期貨全面經營風險聯合檢查工作，並出具檢查報告。

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

### (IV) Adherence to tax payment according to laws

The Company has always believed that tax payment according to law is an overall reflection of corporate social responsibility. Since its establishment, the Company has adhered to the concept of paying tax lawfully and honestly, and declared its payment of various taxes truthfully and promptly. For the whole year of 2018, Holly Futures paid taxes of RMB43.62 million in total.

In accordance with the relevant provisions, the Company paid the Futures Investor Protection Fund to the PRC Futures Exchange and implemented the important work of the regulatory authorities to resolve the futures market risk and make contributions to the stable development of the futures market. In 2018, Holly Futures contributed RMB170,000 to the Futures Investor Protection Fund.

### (四) 堅持依法納稅

公司一貫認為，依法納稅是企業社會責任的集中體現。公司自成立以來，始終堅持依法納稅、誠信納稅的理念，如實、及時申報繳納各項稅額，作為履行社會責任、回報社會的方式。2018年全年，弘業期貨共繳納各項稅金合計人民幣4,362萬元。

公司根據有關規定，向中國期貨交易所繳納證券投資者保護基金，真正落實監管部門化解期貨市場風險的重要部署，為促進期貨市場穩定發展做出貢獻。2018年，弘業期貨繳納期貨投資者保障基金人民幣17萬元。



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

### (I) Improve the internet platform construction to enrich customer experience

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

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

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

### (一) 完善互聯網平台建設，提高客戶體驗

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

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

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

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

### (II) Provide diversified services for customers

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

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

### (二) 為客戶提供多樣化服務

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

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

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

### (III) Investor education work

According to the Measures for Administration of Securities and Futures Investors Appropriateness issued by CSRC, the Company further strengthens its appropriateness management system construction, improves internal control and strengthens the technical system management, standardizes the Company's appropriateness management, and guides investors to participate in securities investment rationally and protects the legal rights and interests of investors.

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

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

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

### (三) 投資者教育工作

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

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

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

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

## V. Investor Rights and Interests Protection and Supplier Management

### 第五章、投資者權益保障與供應商管理

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

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

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

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

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

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

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

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



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

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

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

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

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

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

In order to protect the legitimate rights and interests of investors, the Company actively carried out its duties for investor protection. According to the requirements of the Opinions on Further Strengthening the Protection of the Legitimate Rights and Interests of Small and Medium-sized Investors in the Capital Market promulgated by the General Office of the State Council of China and other relevant laws and regulations, as well as relevant documents, it bears the responsibility for investor complaint handling to enhance service awareness, quality and level and maintain the Company's reputation and image. The Company formulated the Measures for Administration of Customer Complaint Handling of Holly Futures Co., Ltd. in 2017. These Measures clarify the division of responsibilities of customer complaints, complaint handling mechanism, complaint handling emergency mechanism and complaint handling duties responsibility investigation.

### (四) 重視客戶信息安全及交易網絡安全保障工作

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

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

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

### (五) 加強客戶投訴管理，完善投訴處理機制

為保障投資者合法權益，積極踐行投資者保護職責，根據中國國務院辦公廳頒布的《關於進一步加強資本市場中小投資者合法權益保護工作的意見》等法律法規及相關文件要求，承擔投資者投訴處理責任，提升服務意識、質量和水平，維護公司信譽與形象，公司於2017年制定了《弘業期貨股份有限公司客戶投訴處理辦法》。該辦法明確了客戶投訴的職責分工、投訴處理機制、投訴處理應急機制以及投訴處理工作責任追究等內容。

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

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

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

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

In 2018, there is no complaint received by the Company.

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

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

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

2018年公司受理投訴0件。

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

### (VI) Protection of intellectual property rights

The Company respects and protects intellectual property rights and uses the software and hardware products provided by the supplier within the scope of the contract. The Company strictly abides by the Advertising Law of the PRC and the Trademark Law of the PRC. Product promotion and publicity comply with relevant regulations. The Company attaches great importance to the management of intellectual property, fully respects the intellectual property rights related to intellectual work results from other persons, and pays attention to the prevention of intellectual property infringement risks in business development and operation management. No major intellectual property infringement occurred during the year.

### (VII) Supplier management

The Company makes its procurement through asking for market price, bidding, competitive negotiation, single source procurement, etc., and scores suppliers according to cooperation annually. The Company will not continue to cooperate with suppliers with poor scores.

The Company revised the Procurement Management Measures of Holly Futures (Trial) and the Fixed Assets Management Measures of Holly Futures, and made its procurement in accordance with the rules and regulations strictly, standardized the procurement behaviour of the Company, and reduced the procurement risks of the Company.

In its procurement process, the Company adheres to the principle of openness, fairness, and impartiality, and adopt different procurement methods based on the amount of procurement items in accordance with the systems of the Company, and continuously improve the standardization level of procurement items and procurement efficiency.

### (六) 知識產權保護

公司尊重和保護知識產權，在合同規定範圍內使用供貨商提供的軟件和硬件產品。公司嚴格遵守《中華人民共和國廣告法》、《中華人民共和國商標法》，產品推介與宣傳均符合相關規定。公司十分重視知識產權管理工作，充分尊重他人智力勞動成果相關的知識產權權利，在業務發展和經營管理中注重防範知識產權侵權風險，本年度內未發生重大知識產權侵權事件。

### (七) 供應商管理

本公司通過市場詢價、招標、競爭性談判、單一來源採購等方式進行採購，並根據合作每年對供應商進行評分，評分不良的供應商不予繼續合作。

公司修訂有《弘業期貨採購管理辦法(試行)》、《弘業期貨固定資產管理辦法》，並嚴格按照規章制度進行採購，規範了公司採購行為，降低了公司採購風險。

在公司採購過程中，堅持公開、公平、公正的原則，按照公司制度根據採購項目金額採用不同的採購方法，不斷提高採購項目規範程度及採購效益。

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

On 6 June 2018, with the support of Dalian Commodity Exchange, Holly Futures and Zhangjiagang Free Trade Zone Grain and Oil Trading Market successfully held the market analysis seminar of the Yangtze River Valley Grain and Oil Enterprise and the unveiling ceremony of the oil and fat industry base in Jiangnan Garden Hotel in Zhangjiagang. The relevant persons in charge of Holly Futures and Zhangjiagang Free Trade Zone Management Committee jointly unveiled the “Oil and Fat Industry Cultivation Base” and signed the “Strategic Cooperation Agreement”.

In order to continuously optimize the service model, and help enterprises to avoid business risks, enhance profitability, and establish a stable development model, Holly Futures established Dalian Commodity Exchange Oil and Fat Industry Cultivation Base in the Zhangjiagang Free Trade Zone Grain, and the demonstration of the grain and oil market in the Free Trade Zone must be continuously enhanced. This is not only the true embodiment of the market’s dedicated service and dedication, but also a happy event that our customers and friends have been waiting for a long time.

2018年6月6日，在大連商品交易所的支持下，弘業期貨與張家港保稅區糧油交易市場在張家港江南花園酒店成功舉辦長江流域糧油企業市場分析研討會暨油脂油料產業培育基地揭牌儀式。弘業期貨、張家港保稅區管委會相關負責人共同為「油脂油料產業培育基地」揭牌並簽署《戰略合作協議》。

為不斷優化服務模式，幫助企業規避經營風險，提升獲利能力，建立期現結合的穩健發展模式，弘業期貨在張家港保稅區糧油市場設立大連商品交易所油脂油料產業培育基地，保稅區糧油市場的示範帶動作用一定能夠得到持續加強。這既是市場傾力服務、傾情奉獻的真切體現，又是廣大客戶朋友期待已久的一件喜事。







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

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From the perspectives of futures variety innovation, types of derivatives, policy support, and entities participation, the futures market has opened a new chapter in the development of the service real economy. The Dalian Commodity Exchange supports futures companies to set up industrial cultivation bases. It is a powerful practice for futures services in the real economy, and an important measure to promote the healthy development of China's futures industry. Holly Futures relies on the "Oil and Fat Industry Cultivation Base" established by the Zhangjiagang Free Trade Zone grain and oil trading market. It is one of the industrial cultivation bases supported by the Dalian Commodity Exchange and is a deep platform for the Holly Futures to serve oil and fat industry. Holly Futures will be committed to building an Oil and Fat industry Cultivation Base in Zhangjiagang into a multi-functional, multi-level, multi-channel and all-round comprehensive platform covering the entire industrial chain of oils and fats, striving to reflect new values and play a new role in serving the "three rural issues" and promoting the high-quality development of the real economy.

從期貨品種創新、衍生工具種類、政策支持力度、實體企業參與度等各方面來看，期貨市場在服務實體經濟發展中翻開了新的篇章。大商所支持期貨公司設立產業培育基地，正是期貨服務於實體經濟的一次有力實踐，更是促進中國期貨行業健康發展的重要舉措。弘業期貨依托張家港保稅區糧油交易市場設立的「油脂油料產業培育基地」，是大商所支持設立的產業培育基地之一，是弘業期貨服務油脂油料產業的深層次平台。弘業期貨將致力於把張家港油脂油料相關產業培育基地，建設成為覆蓋油脂油料全產業鏈的多功能、多層次、多渠道、全方位的綜合性平台，力爭在服務「三農」、促進實體經濟高質量發展上體現新價值、發揮新作用。



## VII. Foster Staff Growth 第七章、促進員工成長

### (I) Safeguard employees' rights and interests effectively

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

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

### (一) 切實保障員工權益

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

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

## VII. Foster Staff Growth 第七章、促進員工成長

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

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

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

根據《中華人民共和國勞動法》、合同相關規定，所有在崗勞動合同制員工均與本公司簽訂了勞動合同。在用工管理上，依法制定各類內部規章制度及相關實施細則，依法保障員工各項勞動權利。依法為員工繳納基本養老、基本醫療、失業、工傷、生育等基本社會保險，並建立住房公積金以及企業年金、補充醫療等員工福利制度，提高員工的養老、醫療保障。所有離職的員工都會邀請參加離職前面談，讓公司更多地了解他們離職的原因，並在需要關注的重大的趨勢下採取適當的措施。

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

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

## VII. Foster Staff Growth 第七章、促進員工成長

### Employees' Employment Performance Indicator\*

### 員工僱傭績效指標\*

	Indicator 指標	Unit 單位	2018 2018年
<b>Total number of employees</b> 員工總數			
By gender 按性別劃分	Male 男性	person 人	384
	Female 女性	person 人	286
Classified by employment type 按僱傭類型劃分	Contract employees 合同制員工	person 人	670
	Others 其他	person 人	0
By age group 按年齡組別劃分	Below 30 years old 30歲以下	person 人	277
	31 years old-40 years old 31歲-40歲	person 人	304
	41 years old-50 years old 41歲-50歲	person 人	74
	51 years old-59 years old 51歲-59歲	person 人	15
	Above 60 years old 60歲以上	person 人	0
By region 按地區劃分	Employees within Jiangsu 江蘇省內員工	person 人	483
	Employees outside Jiangsu 江蘇省外員工	person 人	187

Note: Employees' Employment Performance Indicator only includes contract employees; the one dispatched staff is not included in the statistic.

\*註：員工僱傭績效指標僅統計合同制員工，勞務派遣的1名員工未納入統計範圍。

## VII. Foster Staff Growth 第七章、促進員工成長

	Indicator 指標	Unit 單位	2018 2018年
<b>Employee turnover</b>			
<b>員工流失人數</b>			
By gender	Male	person	104
按性別劃分	男性	人	
	Female	person	54
	女性	人	
By age group	Below 30 years old	person	85
按年齡組別劃分	30歲以下	人	
	31 years old-40 years old	person	59
	31歲-40歲	人	
	41 years old-50 years old	person	11
	41歲-50歲	人	
	51 years old-59 years old	person	3
	51歲-59歲	人	
	Above 60 years old	person	0
	60歲以上	人	
By region	Domestic	person	152
按地區劃分	境內	人	
	Overseas	person	6
	境外	人	

### (II) Establish a sound employees' labour welfare system

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

### (二) 健全員工勞動福利制度

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

## VII. Foster Staff Growth 第七章、促進員工成長

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

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

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

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

公司工作時間為每周一至周五 8:30-11:30，13:00-17:00，每天工作七小時。按照《中華人民共和國勞動法》及相關法律規定，公司充分保障員工合法權益，嚴格執行法定假日及休假制度，包括：事假、病假、婚假、喪假、產假、帶薪年假等。除此之外，為體現對女職工的關心關愛，公司還另行制定了女工假政策，以充分保障女職工權益。通過系列休假制度的執行，使員工能夠在工作之餘得到休息和放鬆，更好地保障員工以健康的體魄、愉悅的心情投入工作和生活。

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



## VII. Foster Staff Growth 第七章、促進員工成長

### Occupational Health and Safety Indicator

### 職業健康與安全績效指標

	Unit 單位	2018 2018年
Number of employees who die at work 因工作關係而死亡的人數	person 人	0
Number of working days lost due to work-related injury 因工傷損失工作日數	day 天	83

### (III) Focus on employees' training and promotion

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

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

The Company made full use of internal, external and Internet resources to provide abundant learning opportunities for employees. The Company invested an accumulative training expense of RMB303 thousand for the whole year of 2018. At the same time, the Company also conducted online trainings by using the Internet, WeChat and videos for all employees, which formed an effective supplement to offline trainings and largely met the development needs of employees. The employees were encouraged to participate in completing online classroom training projects organized by the Company in 2018.

### (三) 注重員工培訓與提升

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

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

公司充分利用內、外部及互聯網的資源，為員工提供豐富多樣的學習機會。2018全年培訓費用累計投入人民幣30.3萬元。同時公司運用網絡、微信、視頻等形式開展在線培訓，實現培訓全員覆蓋，與線下培訓形成有效補充，大力滿足員工的發展需要，督促員工參與完成了2018年公司組織的網絡課堂培訓項目。

## VII. Foster Staff Growth 第七章、促進員工成長

### Staff Training Performance Indicator

### 員工培訓績效指標

	Indicator 指標	Unit 單位	2018 2018年
Number of trained employees by gender 按性別劃分的受訓僱員人數	Male 男性	person 人	365
	Female 女性	person 人	267
Number of trained employees by employee category 按僱員類別劃分的受訓僱員人數	Senior management 高級管理層	person 人	7
	Middle management 中級管理層	person 人	51
	Junior staff 基層員工	person 人	574
Number of employee training hours by gender 按性別劃分的僱員受訓時數	Male 男性員工	hour 小時	6,570
	Female 女性員工	hour 小時	4,886
Employee training hours by employee category 按僱員類別劃分的僱員受訓時數	Senior management 高級管理層	hour 小時	206
	Middle management 中級管理層	hour 小時	918
	Junior staff 基層員工	hour 小時	10,332

#### (IV) Give full play to the Labour Union

In 2018, under the correct leadership of the management of the Company and the superior labour union, with the strong support and active cooperation of all the employees of the Company, the Labour Union closely focused on the corporate development goals and strengthened their own construction. According to the work plan formulated at the beginning of the year, combined with our own characteristics, the Labour Union fully leveraged on the skills of employees to vigorously pursue its development and innovation, and achieved good results in promoting corporate management, improvement in staff quality, corporate culture construction, and economic development of the Company. The Labour Union made its own contribution for enhancing the cohesiveness and competitiveness of the Company and completed well the works and tasks for the whole year. The situation of the work carried out in the year is reported as follows:

#### (四) 充分發揮工會的積極作用

2018年，在公司管理層以及上級工會的正確領導下，在公司全體員工的大力支持與積極配合下，工會緊緊圍繞企業發展目標，強化自身建設，按照年初制定的工作計劃，結合自身特點，充分調動職工的聰明才智，銳意進取、開拓創新，在推進企業管理、推進職工素質工程、推進企業文化建設、推進公司經濟發展上取得了良好的成績。為增強企業凝聚力 and 戰鬥力，作出了應有貢獻，較好地完成了全年的各項工作任務。現將一年來工作開展的情況彙報如下：

## VII. Foster Staff Growth 第七章、促進員工成長

### 1. Establishing a learning-oriented Labour Union

Futures companies are in a knowledge-intensive industry. With the ever changing market development situation, employees are required to constantly improve their own knowledge reserves, in order to gain a foothold for the position and take the opportunity to meet the challenges in a timely manner. In view of this objective, the Labour Union of Holly Futures is also actively committed to strengthening the learning and training of employees to give full play to the role of the Labour Union as a “big school”.

In order to actively cultivate the good manners of the employees to “read more books and read good books”, constantly improve the overall quality of the workforce and create the Company’s cultural atmosphere of delightful learning, on the occasion of the “4•23 World Book Day” in 2018, the Labour Union held a reading festival with the theme of “Happy Reading, Becoming a Wise Person”, and distributed books for all employees. In this reading activity, books were first screened carefully from a list of titles for employee reference and selection. After employees made their selections, the books were collectively purchased and subsequently distributed by headquarter on the e-commerce platform, as well as to various departments and regional branches, purchasing nearly 3,000 books for our employees in total. Through the reading activity, the idea of “love learning, good learning” is permeated in the corporate culture to cultivate lifelong learning and further enhance the thinking and mental status of employees.

### 2. Establishing a service-oriented Labour Union

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

### 1. 創建學習型工會

期貨公司處於知識密集型行業，隨著市場發展形勢的瞬息萬變，需要員工們不斷完善自身知識儲備，從而立足崗位、及時把握機遇、迎接挑戰。對照這一目標，弘業期貨工會也積極致力於強化員工的學習和培訓，充分發揮工會「大學校」作用。

為積極培育廣大職工「多讀書、讀好書」的良好風尚，不斷提升職工隊伍的整體素質，營造樂學善學的企業文化氛圍，在2018年「4•23世界讀書日」來臨之際，工會舉辦以「快樂讀書智慧做人」為主題的讀書節活動，為全體員工發放書籍。通過事先精心挑選的書庫名單供員工參考和選擇，各員工按需選擇後，由總部在電商平台上統一採買並分發至各部門和外地營業部，共為員工採購圖書近3,000本。通過讀書活動將「愛學習、善學習」貫穿於企業文化中，培養員工的終身學習理念，進一步提升廣大員工的思想狀況和精神面貌。

### 2. 創建服務型工會

公司工會牢固樹立服務大局、服務職工、服務企業的意識和觀念，在黨委和行政的大力支持下，積極做好黨政所急、職工所盼、工會所能的工作。一年來，工會繼續延續以往的傳統，在關愛員工、服務員工方面做了諸多工作，促進了服務型企業工會建設不斷邁上新台階。

## VII. Foster Staff Growth 第七章、促進員工成長

### (1) Strengthening democracy in the Company

The Company relies on a system of employee representative meetings to build a platform for employees to participate in democratic management and create channels for expressing their claims. It ensures that important issues pertaining to the Company's development are discussed with employees, the Company's major issues are known to employees, and employees are involved in solving important issues concerning their immediate interests. During the Reporting Period, the Labour Union organized four employee representative meetings during which employees extensively expressed their opinions on important operational and management matters. The convening of the employee representative meetings fully protected the employees' rights as to information, participation, expression and supervision. It also fully mobilized the employees' enthusiasm for production and provided a platform for employees to participate in the democratic management of the Company.

### (2) Optimizing the Labour Union's organization

During the reporting period, the Labour Union organized and convened three member representative conferences. At present, the Labour Union consists of seven members, including one chairman of the Labour Union, one female member, one member in charge of finance, one member in charge of organization, and one member in charge of cultural and sports. Members of the Labour Union meet regularly to discuss and vote on important matters such as holiday gift purchases, labour union activities, selection of excellent staff and caring for needy staff.

### (1) 加強企業民主建設

公司依托職工代表大會制度搭建職工參與民主管理的平台和表達利益訴求的渠道，保證公司發展重要事項讓職工討論，公司生產經營重大問題讓職工知曉，涉及職工切身利益重要問題讓職工參與。於本報告期內，工會共組織召開了4次職工代表大會，會上，就企業經營管理以及和職工利益切身相關的重要事項廣泛聽取職工意見。職工代表大會的召開，充分保障了職工的知情權、參與權、表達權和監督權，也充分調動了職工的生產積極性，為職工參與企業的民主管理提供了平台。

### (2) 優化完善工會組織架構

本報告期內，工會組織召開了3次會員代表大會。目前工會共有7名委員組成，其中工會主席一名，女工委員一名，財務委員一名，組織委員一名，文體委員一名。定期召開工會委員會，對節日禮品採購，工會活動，先進評選和困難職工慰問等重大事情進行商議表決。

## VII. Foster Staff Growth 第七章、促進員工成長

### (3) Providing subsidies for needy staff

In order to conscientiously act in the spirit of the provincial Labour Union Federation's documents and give full play to the unique role of enterprise labour union in helping services work, the Company's Labour Union carried out the love activity of giving warmth themed "Labour Union Always By Your Side: Giving Attentive Warmth", to properly perform the condoling and helping work for needy staff. Early this year, the Labour Union provided subsidies to 12 needy staff from the headquarter and various branches, and in the helping ceremony during the annual meeting of the Company, Zhou Jianqiu, general manager of the Company, and Jia Guorong, chairman of the Labour Union, granted in person the consolation money of RMB2,000 per person and gave out gifts to the employees under help. At the same time, with efforts of the Company, 2 needy staff received financial support from the provincial Labour Union Federation. In the future, the Labour Union will use the "1+1+N" series of activities as the starting point for exploring targeted special assistance measures and expanding its help and support, so that love and support from party committees and the Labour Union can be sent to employees.

### (4) Distributing festive gifts for employees

The Labour Union continued the tradition of distributing gifts to employees before such events as the Spring Festival, Dragon Boat Festival and Mid-Autumn Festival. At 45 branches in cities across the country, gifts were also distributed to staff as an appreciative gesture from headquarters. During the "61" festival, the Labour Union issued subsidies for Children's Day to the Company's employees with children under the age of 14.

### (5) Carrying out summer refreshing activities

During the midsummer period, the Company's Labour Unions equipped all branches of the headquarters and other branches with heatstroke prevention and cooling kits. During the period from July to August 2018, the Company's team members braved the heat, accompanied by the Labour Union staffs, went to more than a dozen branches to carry out cool activities in the summer. From south to Nanning, north to Beijing, and West to Changsha, the Company's leaders on behalf of the Labour Unions sent cool and refreshing fruits, heatstroke prevention and cooling kits, and brought the occupational hazard prevention knowledge to employees of the operating department. During the condolences, the Company's leaders also carried out talks with the branches and cadres of the branches, and gave careful guidance to the problems they encountered in their work and life.

### (3) 向困難職工發放補貼

為認真貫徹落實省總工會文件精神，充分發揮企業工會在幫扶服務工作方面的獨特作用，公司工會開展了「工會常伴·貼心送暖」為主題的送溫暖關愛行動，做好困難職工慰問幫扶工作。今年初，工會向來自總部和各營業部的12名困難職工發放補助，在公司年會期間的幫扶儀式上，總經理周劍秋、工會主席賈國榮等親自向被幫扶員工發放慰問金(2,000元/人)並贈送慰問品。同時，在公司的爭取下，其中的2名困難職工還獲得省總工會的幫扶。未來，工會將以「1+1+N」系列活動为抓手，繼續探索有針對性的專項救助措施，擴大幫扶面、加大幫扶力度，提高幫扶實效，把黨委和工會的關愛送到職工群眾心中。

### (4) 向員工發放過節慰問品

工會繼續延續往年傳統，在春節、端午節、中秋節等傳統節日來臨之際，為全體員工發放節日慰問品，全國45家分支機構的慰問品也通過物流全部發放到位，讓營業部員工感受到來自總部的貼心關懷；「六一」節期間，工會向公司子女年齡在14歲以下的員工發放了兒童節慰問金。

### (5) 開展夏日酷暑送清涼活動

在盛夏期間，公司工會為總部各樓層及外地各分支機構配備了防暑降溫藥箱。在2018年7月到8月份期間，公司班子成員冒著酷暑，在工會工作人員的陪同下，遠赴十多個分支機構開展夏日送清涼的活動。南至南寧，北到北京，西達長沙，公司領導代表工會為營業部員工送去清涼解暑的瓜果飲品、防暑降溫藥品，並帶去了職業危害防治知識普及讀本。慰問過程中公司領導還同分支機構幹部職工開展談心活動，對他們工作和生活中遇到的難題給予悉心指導。



## VII. Foster Staff Growth 第七章、促進員工成長

### (6) Conducting health consultation services

In order to prevent cervical spondylosis and better protect the health of employees, on 13 June 2018, the Company held a neck health lecture in the training room on the third floor of the headquarters. The Company invited health agency professionals to explain in detail how to use simple neck movements to achieve the effect of shoulder and neck care during the work interval. More than 40 employees of the Company's headquarters participated in the event. The event made staff deeply feel the care from the Company and enhance the Company's cohesiveness. The union bought one sphygmomanometer, one thermometer and one weight scale to provide convenience for employees to monitor blood pressure, body weight and body temperature at any time. Employees can learn about their health indicators such as blood pressure, body weight and body temperature when necessary.

In terms of other work areas, the Labour Union continues to develop in a traditional, solid and steady way. For example, an annual medical examination is provided for employees; the employees were granted condolence allowances and subsidies when they get married, bear a baby, get ill and in other special occasions; the Company convened the members of the Labour Union meetings periodically to implement specific work of the Labour Union, etc.

### 3. Establishing an activity-oriented Labour Union

Since 2018, in order to alleviate the pressure of the employees, enhance the friendship among colleagues and achieve the effect of combination of work and rest, the Labour Union has organized a number of large-scale staff cultural and sports activities to promote the cohesion of entrepreneurial spirit.

#### (1) Organized employees to enjoy folk custom and being beauties

In the afternoon of 7 March 2018, the Labour Union invited the intangible cultural heritage masters to explain the folk traditions in the training room on the third floor of Holly Building, teaching the sewing of sachets and weaving Chinese knots. At the same time, senior silk instructors were invited to train how to make silk scarves. The female employees learned different methods of silk scarves, such as flower knot, palace knot, stylish knot and others.

### (6) 開展健康諮詢服務

為預防頸椎病，更好地保障職工健康，2018年6月13日，公司在總部三樓培訓室舉辦肩頸健康講座，邀請健康機構專業人士為員工詳細講解如何在工作間隙利用幾個簡單的動作活動頸部肌肉從而達到肩頸保健的效果。公司總部40多名員工參加活動。該活動的舉辦讓員工深切感受到來自公司的關愛，增強了公司凝聚力。工會購買血壓計、溫度計、體重計各一台，為員工隨時監測血壓、體重、體溫等提供方便。員工可在必要時了解到自身血壓、體重、體溫等各項健康指標。

在其他工作方面，工會延續一貫傳統，紮實穩步推進。比如：一年一度的員工體檢；在員工婚嫁、生育、生病等特殊時期發放慰問津貼和補助；定期召開工會委員會會議，將工會各項具體工作落到實處，等等。

### 3. 創建活動型工會

為了緩解員工工作壓力，增進同事友誼，同時達到勞逸結合的效果，2018年以來，工會組織舉辦了多項大型職工文體活動，促進了企業精神的凝聚。

#### (1) 組織員工賞民俗做手工當麗人

2018年3月7日下午，工會在弘業大廈三樓培訓室邀請非物質文化遺產大師講解民俗傳統，教授縫製香囊和編織中國結等。同時，邀請高級絲綢講師為大家培訓如何巧系絲巾結，女員工們學到了花朵結、宮廷結、風情結等多種絲巾的不同繫法，美麗更上層樓。



## VII. Foster Staff Growth 第七章、促進員工成長

### (2) Organized female employees to visit Lishui and pick strawberries

On the morning of 10 March 2018, the Labour Union organized 20 female employees from Holly Building to go to the Fujiabian Agricultural Science and Technology Park in Lishui, enjoying the natural and ecological landscape of the rolling hills and trees, as well as appreciating flowers in the warm Spring and picking strawberries. Colleagues became more intimate and harmonious during the strawberry picking's interaction, laughing and talking, relationship between each other were improved.

### (3) Organized spring activity in Pukou

In order to enrich the cultural life of employees, stimulate the enthusiasm and vitality of employees, promote exchanges between employees, and further enhance the cohesiveness of the Company, on 14 April 2018, Holly Futures Labour Union organized employees to go to Pukou. More than 40 employees were led by the chairman of the Labour Union, Jia Guorong, to enjoy the leisure time in "Chu Yun Hua Xiang". "Chu Yun Hua Xiang" is located in the Wadian Community of Tangquan Street in Pukou. The 1,500-mu field in the Spring and Autumn season is like a sea of flowers. The Spring is full of harmony, the workers loved being in close contact with nature. Everyone enjoyed the farmer's meal together. The activity allowed everyone to release pressure, live with a new perspective, and work with full enthusiasm in contributing to the development of Holly Futures.

### (2) 組織女員工前往溧水享美景採草莓

2018年3月10日早晨，工會組織20名女員工從弘業大廈出發，前往溧水傅家邊農業科技園，一邊享受山巒起伏，林木繁茂的自然生態風景，一邊欣賞暖春叢花採摘草莓。平時只有工作來往的同事，在採草莓的互動中更加親密和諧，你來我往，笑語無間，彼此之間的感情得到增進。

### (3) 組織春日浦口尋芳活動

為豐富職工文化生活，激發職工熱情和活力，促進員工間的交流，進一步提升公司凝聚力，2018年4月14日，弘業期貨工會組織職工前往浦口踏青，40多名職工在工會主席賈國榮的帶領下春日尋芳於「楚韻花香」。「楚韻花香」景點位於浦口湯泉街道瓦殿社區，春秋兩季1,500畝田地繁花似海。「吹面不寒楊柳風」，春意融融，美景當前，職工們陶醉在與大自然的親密接觸中。大家還一起享用了農家飯。春日尋芳活動讓大家在春季放飛心情，釋放壓力，以嶄新的姿態面對生活，以飽滿的熱情投入工作，為弘業期貨的發展添磚加瓦。

## VII. Foster Staff Growth 第七章、促進員工成長



#### (4) Participated in the holding group Fangshan climb activity

On 13 April 2018, Soho Holdings Group's 2018 employee spring mountaineering activity kicked off in Fangshan scenic spot in Jiangning District. More than 600 employees of the group participated in the event. The activities were divided into men's competition group, women's competition group and leisure group. 50 employees of the Labour Union headquarters reached the top of the mountain in the rain. After fierce competition, the Company won the Spiritual Civilization Award from the Holding Group. The international business department Bao Mingxiao and the postdoctoral workstation Ma Hao won the women's second prize and the men's third prize respectively. Everyone is relaxed after the activity. They now fully dedicate themselves to work with enthusiasm and excitement.

#### (4) 參加控股集團方山登高活動

2018年4月13日，蘇豪控股集團2018年度春季職工登山活動在江寧區方山風景區拉開帷幕，集團600多名職工參加活動，活動分為男子競賽組、女子競賽組以及休閒組。工會組織總部近50名員工雨中登頂方山。經過激烈的角逐，獲得控股集團授予的精神文明獎，國際業務部包鳴曉、博士後工作站馬浩分別獲得女子二等獎、男子三等獎的好成績。通過活動，大家放鬆心情，以更加飽滿的熱情和更加昂揚的鬥志投入企業發展建設中去。



## VII. Foster Staff Growth 第七章、促進員工成長

### (5) Organized employees to participate in the second employee sports meeting of the holding group

On 26 May 2018, the Labour Union organized 63 athletes to participate in the second employee sports meeting held by the Soho Holdings Group at Hohai University. Through fierce competition, Holly Futures won the championship, received first place and the best organization award granted by the holding group. Holly athletes initially struggled, but with perseverance and a positive attitude, they came together and won the championship, fully demonstrating Holly Future's corporate culture – "unity, progress gratitude, happiness".

### (5) 組織員工參加控股集團第二屆職工運動會

2018年5月26日，工會組織63名運動員參加蘇豪控股集團在河海大學舉辦的第二屆職工運動會，通過激烈角逐，弘業期貨問鼎賽事，蟬聯冠軍，獲得控股集團授予的團體第一名及最佳組織獎。期市競風流，賽場展英姿，弘業期貨運動員在賽場上費力拼搏，同心協力，用堅韌執著書寫了「團結、進取、感恩、快樂」的企業文化風採，創造了運動場上的傳奇和輝煌，展現了弘業期貨人奮發有為，積極向上的精神風貌。



## VII. Foster Staff Growth 第七章、促進員工成長

### (6) Organized employees to participate in public welfare activities

23 June, was International Olympic Day. The Labour Union arranged the 10 employees to participate in the interactive operation of the colorful dreams of Nanjing Hexi CBD. Eight employees participated in the group 10km public welfare run, from Nanjing Olympic Museum to Yuzui Park. Two employees and children participated in the parent-child group 4km mini public welfare run, starting from the same place and returning from Nanjing Eye to Qingao Forest Park. Participants completed the charity run and received commemorative medals and charity certificates. The event allowed everyone to get closer to public welfare, participate in public welfare, and establish a good image of the Company as state-owned financial enterprises that have always been enthusiastic about public welfare.

### (7) Organized employee representatives on behalf of the holding group to participate in the 8th provincial departmental enterprise employee table tennis competition

The 8th provincial subordinate enterprise employee table tennis competition sponsored by the Provincial Federation of Labour Unions and the Provincial State-owned Assets Supervision and Administration Commission was kicked off at the Wutaishan Gymnasium on 6 November 2018. The Company sent representatives to participate on behalf of the holding group. After three days of fierce competition, Bi Jinghua, from Finance Department won the fifth place in the women's singles in the youth group.

### (6) 組織員工參加公益跑活動

6月23日是國際奧利匹克日，工會組織10名員工參加南京河西CBD五彩夢想公益跑互動。8名員工參加團體組10公里公益跑，從南京奧林匹克博物館至魚嘴公園往返，兩名員工及子女參加親子組4公里迷你公益跑，從同一地點出發，經南京眼至青奧森林公園折返。參加者均完成公益跑活動，獲得紀念獎牌和公益證書。該活動讓大家進一步親近公益、參加公益，樹立公司國有金融企業素來熱心公益事業的良好形象。

### (7) 組織員工代表控股集團參加第八屆省部屬企業職工乒乓球比賽

由省總工會和省國資委主辦的第八屆省部屬企業職工乒乓球比賽於2018年11月6日在五台山體育館拉開帷幕，公司派員代表控股集團參賽。經過3天的激烈爭奪，財務部畢菁華奪得青年組女子單打第五名的好成績。



## VII. Foster Staff Growth 第七章、促進員工成長



### (8) Organized staff to visit the photo exhibition celebrating the 40th anniversary of reform and opening up in Jiangsu province

In the afternoon of 23 October 2018, 150 members of the Company's headquarters visited the "Photos Exhibition of the 40th Anniversary of the Reform and Opening up of Jiangsu Province" hosted by the Propaganda Department of the Provincial Committee and other departments. Through activities, employees feel the earth-shaking changes that have taken place in Jiangsu during the 40 years of reform and opening up. At the same time, they cherish the good life of today and are full of hope for the future.

### (9) Organized to participate in the "Into the Shanghai Futures Exchange" table tennis networking event

On 24 August 2018, the Company's leaders, Labour Union staffs, and the Company's table tennis enthusiasts went to the Shanghai Futures Exchange to conduct a table tennis friendship competition with the theme of "Into the Shanghai Futures Exchange". During the competition, the athletes of both sides actively struggled and sweated, and the style of the competition also played a friendship. The event enhanced the exchange between the company and the exchange and enhanced the feelings between the employees.

### (8) 組織員工參觀江蘇省慶祝改革開放40周年圖片展

組織公司總部150名員工於2018年10月23日下午參觀了由省委宣傳部等部門主辦的「築夢偉大時代、共創美好生活—江蘇省慶祝改革開放40周年圖片展」。通過活動使員工感受到改革開放40年來江蘇發生的翻天覆地的變化，同時更加珍惜今天的美好生活，並對未來充滿希望。

### (9) 組織參加「走進上期所」乒乓球聯誼活動

2018年8月24日公司領導、工會人員以及公司乒乓球愛好者等一行前往上海期貨交易所，進行了一場以「走進上期所」為主題的乒乓球友誼比賽。雙方運動員在比賽中，積極拼搏，揮汗如雨，賽出風格也賽出了友誼。本次活動增進了公司和交易所的交流，加深了雙方員工之間的感情。

## VII. Foster Staff Growth 第七章、促進員工成長

### (10) Supported branches to carry out various cultural and sports activities

Each year, the Labour Union provides corresponding activities according to the size of the branch. In 2018, branch activities supported by the union are: On 11 August, the Yangzhou Sales Department held an employee development training event at the Xijiang Ecological Park in Yangzhou. On 18 August, the Nanning Sales Department participated in the 7th Volleyball Competition of Securities and Futures Enterprises within the jurisdiction of the Guangxi Securities and Futures Industry Association. On 27 October, Jiangnan Branch and Yixing Sales Department launched outdoor development activities in Yixing Longbeishan Forest Park. On 3 November, Suqian Sales Department held the third badminton friendly match.

In addition, the Labour Union actively assigned personnel to participate in other types of activities organized by Holdings Group. During the “8 March International Women’s Day” in 2018, the Labour Union selected female workers cadre to participate in the expansion training activities organized by Holdings Group; in April, they participated in the training activities for cadre of the Labour Union of the Holdings Group. On 12 October, the Company’s 21 pairs of Whipped Egg game players participated in the Whipped Egg Game competition held by Holdings Group at Soho International Plaza.

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

Based on the team size of each branch, the Labour Union continued to provide special activity funds for all branches. Once the application by the branches was reviewed and approved, they can obtain relevant funds to organize employees of the department to conduct a great variety of collective activities locally.

### (10) 支持分支機構開展多樣文體活動

工會每年會根據分支機構規模，提供相應的活動經費。2018年由工會支持的分支機構活動有：8月11日，揚州營業部在揚州西江生態園舉行了員工拓展訓練活動。8月18日，南寧營業部參加廣西證券期貨業協會組織的轄區內證券期貨企業第七屆排球比賽。10月27日，江南分公司與宜興營業部在宜興龍背山森林公園開展了戶外拓展活動。11月3日，宿遷營業部舉辦了第三屆羽毛球友誼賽。

此外，工會還積極選派人員參加控股集團組織的其他各類活動。在2018年「三八國際婦女節」期間，工會選派女工幹部參加控股集團舉辦的拓展訓練活動；4月份，參加控股集團工會幹部培訓活動。10月12日，公司21對攆蛋選手參加控股集團在蘇豪國際廣場舉辦的攆蛋大賽。

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

根據不同營業部的團隊規模，工會繼續為所有營業部提供專門的活動經費。一旦營業部提出申請並經審核通過，即可獲得相關經費支持，以組織本部門員工在當地開展形式豐富的集體活動。



## VII. Foster Staff Growth 第七章、促進員工成長

### 4. Establishing a dedicated Labour Union

In order to further praise the traditional virtues of philanthropic deeds, good deeds, and helping the poor, the Labour Union of the Company actively responded to the call of the Jiangsu Provincial Charity Federation, the Jiangsu Provincial State-owned Assets Supervision and Administration Commission and Soho Holdings Group on the “Precision Poverty Alleviation • One Day Donation for Charity” activity, on 5 September 2018, the donation activity of “Precision Poverty Alleviation • One Day Donation for Charity” was held at the headquarters of the Company and all branches, and raised a total of more than RMB50,000. For this activity, the leading team and party members of the Company took the lead in donating money and made a positive role. All employees actively participated in this activity, demonstrating excellent corporate culture of the Company. Holly Futures will take the “Precision Poverty Alleviation • One Day Donation for Charity” activity as an opportunity to effectively strengthen the charity education propaganda, enhance the civilized quality of employees, and make the employees firmly establish a sense of philanthropy, actively participate in practical activities to form a good cultural atmosphere of “philanthropy pass down and carry forward from generation to generation”.

### 4. 創建奉獻型工會

為進一步頌揚樂善好施、行善積德、扶危濟困的傳統美德，公司工會積極響應江蘇省慈善總會、江蘇省國資委及蘇豪控股集團關於「精準扶貧•慈善一日捐」活動的號召，於2018年9月5日，組織在公司總部及所有分支機構同時舉行「精準扶貧•慈善一日捐」捐款活動，共募集善款5萬多元。活動中，公司領導班子、黨員帶頭捐款，作出了表率作用，全體職工積極參與，彰顯出公司優良的企業文化氛圍。弘業期貨將以本次「精準扶貧•慈善一日捐」活動為契機，切實加強慈善教育宣傳，提升職工文明素質，令職工思想上牢固樹立愛心意識，行動上積極參與，形成「愛心代代相傳，愛火熊熊燃燒」的良好企業文化氛圍。



## VIII. Green Environmental Protection and Energy Conservation and Emission Reduction

### 第八章、綠色環保，節能減排

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

As a non-manufacturing enterprise, the main impact on environment in the process of daily operation of the Company are consumption of paper, electricity and water, automobile exhaust emission, HFCs and perfluorocarbon discharged by air conditioners, etc. The Company adheres to the principle of low carbon and emission reduction as well as energy conservation and environmental protection in the management of its businesses. The Company's business does not have direct damage to nor abuse the environment and natural resources. Through education, training and publicity for employees, the Company has established a strong culture of resource conservation and environmental protection in its daily activities.

In terms of paper reduction, the Company advocates employees to use e-mail instead of paper as much as possible. Paper is used on both sides when copying and printing. Paper with one side used can be used for photocopying or cut into notes or draft paper. According to different needs, smaller fonts are used on all files to save paper. Recycled paper is used for documents, business cards and printed materials as much as possible. The Company encourages employees to bring their own cups, reducing the use of disposable paper cups. The Company fully promotes a paperless office, introduces OA management system and electronic office process to reduce operating costs, improve the unified management capabilities of headquarter and save the printing and use of a large number of office documents.

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

公司作為非製造類企業，在日常運營過程中對環境的主要影響為耗紙、耗電、耗水、汽車尾氣、因空調使用而排放的氫氟碳化物及全氟化碳等。本公司管理自身業務時奉行低碳減排，節能環保的原則。公司業務並無直接對環境及天然資源的破壞和濫用的行為。但通過對於員工的教育、培訓和宣傳，使大家牢固樹立節能意識，通過日常行為來保護環境節約資源。

節約用紙方面。公司提倡員工盡量使用電子郵件代替紙張。複印打印時雙面使用紙張。單面使用後的紙張可再利用空白面影印或裁剪為便條紙或草稿紙。根據不同需要，所有文件盡量使用小號字體以節約用紙。公文用紙、名片、印刷物等盡可能使用再生紙。公司鼓勵員工自帶水杯，節約一次性紙杯的使用。公司全面推廣無紙化項目，上線辦公自動化(OA)管理系統，使辦公流程的電子化，降低運營成本，提高總部統一管理能力，節省大量辦公文件的印刷和使用。

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

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

In terms of use of the Company's vehicles, the Company has formulated specific use policies regarding the Company's vehicles to strictly control the use of the Company's vehicles for private purpose. The Company has strengthened the centralized management and deployment of business vehicles, significantly increased vehicle usage efficiency and reduced the frequency of daily use, and vehicle operating costs were significantly reduced. During holidays, all of the Company's vehicles will be sealed and stored and the non-local branch should keep relevant storage certificate of the Company's vehicles. The Company also encourages its staff to use transportation means like bus and bicycle when going out for work or on a business trip.

In terms of use of air conditioners, an important standard of the Company in procurement is whether the air conditioner is environmental friendly. Air-conditioners used by the Company are all environmentally friendly air-conditioners.

節約用電、用水方面。節假日前，公司以郵件形式通知所有員工，除技術部必備運行機器外，關閉電腦、打印機、空調、照明燈等耗電設備。加強對辦公區、機房照明及空調設施設備巡檢和監控，增強員工的節能理念。公司大力推廣節能燈的使用，辦公場所全部使用節能燈代替白熾燈。公司禁止員工使用大功率耗電設備。公司建議員工使用空調時夏天不將溫度調到最低，26度為宜；冬天不將溫度調到最高，20度為宜。公司提倡員工將電腦顯示器亮度調整到一個合適的值，以節約用電，保護視力。公司將打印機聯網，同一個辦公室內共用一台打印機，以減少設備閒置節約電力。公司在茶水間、洗手間張貼宣傳語，請所有員工節約用水、用電。除此之外還定期檢查供水裝置，排除龍頭漏水的情況。

公車使用方面。公司制定明確的公車使用政策，嚴格控制公車私用行為。加強經營用車的集中管理、統一調配，大幅提高了車輛使用效率，日常出車頻次明顯降低，車輛運行成本大幅下降。節假日期間，公司公車全部封存，異地營業部需留存相關公車封存證明資料。公司鼓勵員工外出辦事及出差使用公交車、自行車等交通工具。

空調使用方面。公司採購時，空調是否環保是公司選擇的一項重要標準。公司使用空調均為環保空調。



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

### Environmental Data Performance Summary<sup>2</sup>

### 環境類績效表現概述<sup>2</sup>

	Indicator 指標	Unit 單位	2018 2018年
<b>A. Environment 環境</b>			
<b>A1. Emissions 排放物</b>			
A1.1	types of emissions, related emission data and density 排放物種類、相關排放數據及密度		
	total emission of sulfur oxide 硫氧化物總排放量	kg 千克	3 3
	emissions of sulfur oxide, per capita 硫氧化物人均排放量	kg 千克	0.010 0.010
A1.2	emission and density of greenhouse gas 溫室氣體排放量及密度		
	total greenhouse gas emissions 溫室氣體總排放量	ton 噸	97.5 97.5
	per capita emissions of greenhouse gases 溫室氣體人均排放量	ton 噸	0.317 0.317
A1.3	total amount and density of harmful waste produced 所產生有害廢棄物總量及密度		
	total amount of ink cartridge 墨盒總量	piece 支	0 0
	per capita amount of ink cartridge 墨盒人均量	piece 支	0 0
	toner cartridge 硒鼓	item 個	120 120
	per capita amount of toner cartridges 硒鼓人均量	item 個	0.391 0.391
	lamp 燈管	piece 支	298 298
	per capita amount of the lamp 燈管人均量	piece 支	0.970 0.970
A1.4	total amount and density of harmless waste produced 所產生無害廢棄物總量及密度		
	electronic equipment 電子設備	set 台	0 0
	per capita amount of electronic equipment 電子設備人均量	set 台	0 0

<sup>2</sup> The statistics are from headquarters of Holly Futures

<sup>2</sup> 統計口徑均為弘業期貨總部

## VIII. Green Environmental Protection and Energy Conservation and Emission Reduction

### 第八章、綠色環保，節能減排

	Indicator 指標	Unit 單位	2018 2018年
<b>A2. Use of resources 資源使用</b>			
A2.1	energy consumption and density 能源消耗量及密度		
	power consumption 耗電量	kwh 千瓦時	1,455,359
	per capita electricity consumption 人均耗電量	kwh 千瓦時	4,740.583
	gasoline consumption 汽油消耗量	kl 千升	32.5
	total amount of gasoline per capita 人均汽油總用量	kl 千升	0.106
	diesel consumption 柴油消耗量	kl 千升	0
	per capita consumption of diesel 人均柴油消耗量	kl 千升	0
A2.2	water resources consumption and density 水資源消耗量及密度		
	water consumption in the office 辦公室耗水量	ton 噸	5,138.40
	per capita consumption of diesel 人均辦公室耗水量	ton 噸	16.737

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

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

### (I) Pass the warmth and condolences to the elderly

In order to practice the spirit of Lei Feng and carry forward the traditional virtues of the Chinese nation of respecting the elderly, loving the elderly, respecting the elderly and helping the elderly, and advocating the spirit of "dedication, friendship, mutual assistance and progress", on the afternoon of March 8, 2018, under the leadership of Yuhong, the deputy secretary of the Company party committee, the volunteer team organized by Holly Futures Party members and representatives of the Labour Union and the Youth League Committee came to the Nanjing Guoyue Support Service Center to carry out love and condolence activities, so that the elderly deeply felt the "filial piety" from the society.

為貫徹落實《中共中央國務院關於打贏脫貧攻堅戰的決定》和《中國證監會關於發揮資本市場作用服務國家脫貧攻堅戰略的意見》、積極響應《期貨行業服務國家脫貧攻堅戰略行動倡議書》，弘業期貨黨委書記、總經理周劍秋對公司整體扶貧工作進行了全面部署，要求公司上下強化責任擔當意識，在思想認識層面予以高度重視，實現精準扶貧和專業扶貧，把打贏脫貧攻堅戰作為公司崇高的政治責任。同時，在弘揚中華民族尊老、愛老、敬老、助老傳統美德方面，弘業期貨也做出自己的努力。

### (一) 傳遞溫暖、慰問老人

為踐行雷鋒精神和弘揚尊老、愛老、敬老、助老的中華民族傳統美德，倡導「奉獻、友愛、互助、進步」的志願精神，2018年3月8日下午，在公司黨委副書記虞虹的帶領下，由弘業期貨黨員和工會、團委代表組織的志願者隊伍來到南京國悅頤養服務中心，開展愛心慰問活動，使老人們深切感受到來自社會的「孝心」。

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

In the nursing home, the volunteers walked to the old people with enthusiasm, and had an enthusiastic conversation with the old people to learn more about their eating and living conditions, and to send them milk, fruit, daily necessities and other condolences, brought wonderful performances to the elderly and blessed the elderly for their longevity and happiness. As a part of corporate social responsibility, Holly Futures will continue to carry out the activities of “care for the elderly, respect the elderly, honor the elderly and help the elderly” and carry forward the traditional Chinese virtues of respecting the elderly and loving the young.

在養老院裏，志願者們滿懷熱情地走到老人的身邊，與老人們進行熱心交談，詳細了解他們的飲食起居與身體健康狀況，為他們送上牛奶、水果、生活日用品等慰問品，同時還為老人奉上精彩的節目表演，並祝福老人們健康長壽、幸福安康。作為企業履行社會責任的一環，弘業期貨會一如既往地將「關愛老人、尊重老人、孝敬老人，幫助老人」的活動開展下去，弘揚尊老愛幼的中華傳統美德。





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

### (II) Execute innovation and professional poverty alleviation

Professional poverty alleviation is a kind of special poverty alleviation insisted by Holly Futures in the long run. It is not uncommon to implement hedging successfully by using professional instruments for enterprises in poverty stricken areas. Holly Futures made full use of the advantages of futures industry in hedging, cooperative hedging and warehouse receipts business to give professional support and assistance, establish a long-term and effective mechanism for poverty alleviation and set up a positive image in the industry.

Since February 2017, Holly Futures has signed a memorandum on poverty alleviation services in Zhenlai County, Baicheng, Jilin Province, a key poverty-stricken county. Holly Futures has been continually exploring and bravely on the road of innovating financial poverty alleviation methods to achieve precise poverty alleviation. As a futures and derivatives service provider, Holly Futures always adheres to the principle of serving the real economy, constantly exploring new modes of service industry development, and striving to achieve the basic goal of precise poverty alleviation and service for agriculture, rural areas and farmers.

### (二) 實踐創新、專業扶貧

專業扶貧是弘業期貨長期堅持的特色扶貧，用專業工具為貧困地區企業成功實行套期保值的案例屢見不鮮。弘業期貨充分利用期貨行業在套期保值、合作套保、倉單業務方面的優勢，開展專業幫扶，建立扶貧的長效機制，樹立行業正面形象。

自2017年2月，弘業期貨與國家重點貧困縣吉林省白城市鎮賚縣簽訂了扶貧服務備忘錄以來，弘業期貨在創新金融扶貧方式實現精準扶貧的道路上不斷摸索、勇敢前行。弘業期貨作為期貨及衍生品服務提供商，始終堅持以服務實體經濟為宗旨，不斷探索服務產業發展的新模式，努力實現精準扶貧與服務「三農」的基本目標。





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

On 21 June 2018, Holly Futures and the Zhenlai County Government held a training session on the theme of “Precision Poverty Alleviation • Serving agriculture, rural areas and farmers – Financial Innovation Business to Facilitate Risk Management for agriculture, rural areas and farmers” in Zhenlai County, Jilin Province. More than 70 people from the leadership of the Zhenlai County government, poverty alleviation cadres, financial cadres, and poor township leaders attended the conference. The training session is Holly Futures’ precision poverty alleviation meeting tailored for Zhenlai County, Holly Futures and PICC P&C’s staffs explained the basic knowledge and application of futures market, innovative business and risk management business model, and agricultural product price index insurance products.

On 15 June 2018, the “Order Agriculture + Insurance + Futures” project of Holly Futures was officially launched. The project covers a corn planting area of 60,000 mu, involving 30,000 tons of corn, benefiting 2 cooperatives and 308 independent corn growers, and the registered poverty-stricken households account for 100% of the number of independent insured farmers. Holly Futures uses the “Order Agriculture + Insurance + Futures” to customize the agricultural product price risk management plan for the insured farmers to protect the farmers’ income. At the same time, in order to comprehensively solve the worries of farmers on grain production, the project innovatively introduced the basis purchase model and further expanded and deepened the insurance coverage of “insurance + futures” in the form of “order agriculture”.

Holly Futures will further implement the call of the central government, continue to adhere to the concept of financial innovation, precision poverty alleviation, and services to agriculture, rural areas and farmers, and use the functions of futures and derivatives markets to manage risks, help Zhenlai County to win the fight against poverty, and seamlessly connect financial poverty alleviation and service for agriculture, rural areas and farmers.

2018年6月21日，弘業期貨聯合鎮賚縣政府在吉林省鎮賚縣舉辦「精準扶貧•服務三農—以金融創新業務助力「三農」風險管理」為主題的培訓會。鎮賚縣政府領導、扶貧幹部、金融幹部、貧困鄉鎮帶頭人70餘人參會。該次培訓會是弘業期貨為鎮賚縣量身定做的精準扶貧會，弘業期貨和人保財險工作人員，分別圍繞期貨市場基礎知識與應用、創新業務及風險管理業務模式、農產品價格指數保險產品給大家做了講解。

2018年6月15日，弘業期貨的「訂單農業+保險+期貨」項目正式啟動，該項目覆蓋玉米種植面積6萬畝，涉及玉米現貨數量3萬噸，惠及2家合作社、308戶獨立玉米種植農戶，且建檔立卡貧困戶佔獨立投保農戶數的100%。弘業期貨通過「訂單農業+保險+期貨」工具為參保農戶定制農產品價格風險管理方案，以保障農戶收益。同時，為全面解決農戶種糧的「後顧之憂」，該項目創新性地引入了基差收購模式，以「訂單農業」形式進一步拓展並深化「保險+期貨」的保障範圍。

弘業期貨將進一步深入貫徹中央號召，繼續秉承以金融創新業務精準扶貧、服務三農的理念，利用期貨及衍生品市場管理風險的功能，助力鎮賚縣打贏脫貧攻堅戰，將金融扶貧和服務三農工作無縫對接。

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

### (III) Talent cultivation, serving the society

On 12 October 2018, with the support of Dalian Commodity Exchange, Holly Futures joined Jiangsu University of Science and Technology to hold the signing ceremony and opening ceremony of the “Futures Talent Cultivation Project of Dalian Commodity Exchange in University” at Jiangsu University of Science and Technology.

### (三) 人才培育、服務社會

2018年10月12日，在大連商品交易所的支持下，弘業期貨聯合江蘇科技大學，在江蘇科技大學舉辦「大商所高校期貨人才培育工程」項目簽約暨開班儀式。





## IX. Public Welfare Undertakings and Social Service

### 第九章、公益事業與社會服務

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China's futures industry has made great progress, but there is still a big gap between developed markets such as countries in Europe or America and China. The lack of talent is the main factor restricting further development. The university talent cultivation project initiated and promoted by Dalian Commodity Exchange has settled in Jiangsu University of Science and Technology. This model of joint training for financial talents by universities and enterprises was implemented by Holly Futures and Jiangsu University of Science and Technology. Holly Futures has dispatched a group of backbone teams with both theoretical and practical experience to participate in the lectures, taking into account the combination of basic knowledge and practical operations, and strengthen the pertinence and practicality of training so that students can better understand the futures market. At the same time, it can also rely on the Dalian Commodity Exchange Zhangjiagang Grain and Oil Base and more than 40 branches of Hongye Futures to provide students with practical opportunities for research, traineeship and internships. The project aims to cultivate talents in the futures industry, lay a solid foundation for the development of the futures industry, and cultivate more industry talents for the development of the Chinese derivatives market.

中國的期貨行業已取得了長足進步，但離歐美等發達國家市場仍有不小差距。這其中人才瓶頸是制約進一步發展的主要因素。由大連商品交易所發起並推動的高校人才培育項目，落戶江蘇科技大學，這種校企聯合培養金融人才的模式，由弘業期貨與江蘇科技大學共同落地實施。弘業期貨派出一批擁有理論與實際經驗俱佳的骨幹團隊參與授課，兼顧基礎知識與實際操作相結合，加強培訓的針對性與實用性，使學生能更好地了解與認識期貨市場。同時，還可依托大商所張家港糧油基地、弘業期貨四十多家分支機構等，為學生們提供調研、見習、實習等實踐機會。該項目旨在培育期貨行業儲備人才，為期貨行業發展打下堅實的基礎，為中國衍生品市場的發展培育更多的行業人才。



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

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

### (I) Continue to advance public welfare and poverty alleviation

Holly Futures entered into Memorandum of Poverty Alleviation Services with Zhenlai County, Jilin Province. In 2017, Holly Futures entered into Memorandum of Poverty Alleviation Services with Zhenlai County, Jilin Province, pursuant to which, both parties will focus on basic strategies of “alleviating and getting rid of poverty in targeted areas”, make efforts to promote economic and social development of Zhenlai County, and vigorously develop inclusive finance by docking financial demands accurately, so as to win the tough war for getting rid of poverty. Holly Futures has set up a working committee for alleviating poverty in targeted areas with Zhou Jianqiu (general manager of the Company) as group leader, defined the responsibility of group members and determined the target of “professionally alleviating poverty in targeted areas” for the Company. The committee integrated professionalization and modernization into poverty alleviation tradition to continue the professional poverty alleviation spirit of corn “futures + insurance” implemented in Guannan County, Jiangsu Province, by combining new policies and new targets of futures market with creative approach. In 2018, Holly Futures continued to carry out poverty alleviation work in Zhenlai County, Jilin Province, innovating product design, extending insurance products from price insurance to income insurance, introducing grain collection and storage companies to achieve innovatively the “insurance + futures + contract farming” model to underwrite variety of crops to extend from the single variety of corn to soybeans, and strived to solve the “problems” for farmers.

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

### (一) 繼續推進公益扶貧

弘業期貨還與吉林省鎮賚縣簽訂了扶貧服務備忘錄。2017年，弘業期貨與吉林省鎮賚縣簽訂扶貧服務備忘錄，雙方將緊緊圍繞「精準扶貧、精準脫貧」基本戰略，著力促進鎮賚縣經濟社會發展，精準對接金融需求，大力開展普惠金融，努力打贏脫貧攻堅戰。弘業期貨成立了以總經理周劍秋為組長的精準扶貧工作委員會，明確組員職責，確定公司「專業扶貧、精準扶貧」的方針，將公司扶貧傳統與專業化、現代化相結合，延續公司在江蘇灌南縣實施的玉米「期貨+保險」的專業扶貧精神，並結合期貨市場新政策、新方針，不斷推陳出新，打贏脫貧攻堅戰。2018年，弘業期貨繼續在吉林省鎮賚縣深化扶貧工作，創新產品設計，保險產品從價格險向收入險延伸，引入糧食收儲公司，創新實現「保險+期貨+訂單農業」模式，承保農作物品種從玉米這一單一品種，延伸至大豆，著力為農民解決「後顧之憂」。

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

Holly Futures understands the spirit of implementing precision poverty alleviation and regards targeted poverty alleviation as an important task. At the same time, by combining with the local agricultural development situation, it actively extended the “insurance + futures” business coverage varieties, and actively cooperated with targeted poverty counties to discuss jointly poverty alleviation plans, bringing hope to local farmers. In the future, the Company will continue to work hard on poverty alleviation and use the characteristics of the futures industry to carry out more professional and efficient poverty alleviation activities in impoverished regions.

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

In 2018, the Company continued to accelerate the construction of Internet finance, improve business efficiency and system performance oriented by customer experience. In respect of wealth management, the Company adhered to market-oriented product developing mechanism oriented by customers’ demands. The Company will continue to strictly deal with customer re-visits and customers’ complaints in accordance with relevant requirements and establish investor education and investor protection work system, thereby meeting closer the actual demands of investors and the market.

On 11 March 2018, Chinese Securities Regulatory Commission Jiangsu Bureau, The Securities Association of Jiangsu Province, Jiangsu Futures Association, Jiangsu Association for Public Companies and Jiangsu Investment Fund Industry Association (江蘇省投資基金業協會) (in preparation) jointly held “15 March Investor Protection Health Running Event”. Holly Futures actively organized and participated in the healthy running activities. The Company’s deputy secretary of the party committee, Yuhong, spoke at the launching ceremony as a representative of the futures industry. Yuhong pointed out that protecting the legitimate rights and interests of small and medium investors is the biggest political task in the capital market. As a member of the capital market, futures companies shoulder important responsibilities and missions.

弘業期貨認真領會貫徹精準扶貧的精神，將定點扶貧工作當作一項重要任務。同時結合當地的農業發展情況，積極創新「保險+期貨」業務覆蓋品種，積極協同對口幫扶的定點扶貧縣共商扶貧計劃，為當地農戶帶來了脫貧致富的希望。未來，公司將繼續致力於推進扶貧工作，利用期貨行業的特點，在貧困地區開展更多專業、高效的扶貧活動。

### (二) 繼續加強客戶服務水平，同時做好投資者適當性管理和投資者保護工作

2018年，公司將繼續加快互聯網金融建設，以客戶體驗為方向，提升業務效率、系統性能。在財富管理方面，堅持以客戶需求為導向的市場化產品研發機制。公司將繼續按照相關要求嚴格做好客戶回訪與客戶投訴工作，建立投資者教育和投資者保護工作體系，更加貼近投資者和市場的實際需求。

2018年3月11日，江蘇證監局、江蘇省證券業協會、江蘇省期貨業協會、江蘇省上市公司協會和江蘇省投資基金業協會(籌)共同舉辦「3·15投資者保護健康跑活動」。弘業期貨積極組織參加健康跑活動，公司黨委副書記虞虹作為期貨行業代表在啟動儀式上發言。虞虹指出，保護好中小投資者的合法權益是資本市場最大的政治任務。期貨公司作為資本市場的一份子，肩負著重要職責和使命。



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

As a leader in the Jiangsu futures industry, 15 employees from Holly Futures actively participated in this event. They held the Company's flag high, wore the theme of the slogan, and affixed the investor protection slogan. Starting from the Youth Olympic Sports Park, they carried out the healthy running activities of 6.5 km and 10 km, and showed the slogan – “investor appropriate management” to the public.

Holly Futures will take this event as an opportunity to actively implement the theme of “Rational investment, start from me”, implement industry requirements, and make full use of business sites and websites, WeChat, Weibo, application and other publicity platforms to guide investors to establish the correct concept of financial consumption, pass on the positive energy of the industry, and contribute to the stable and healthy development of the capital market in Jiangsu.

弘業期貨作為江蘇期貨業的排頭兵，共有15名員工積極參加本次活動。他們高舉公司旗幟，身披主題綬帶，衣貼投資者保護標語，從青奧文化體育公園出發，開展6公里半程、10公里全程的健康跑活動，將「投資者適當性管理」「防範和打擊非法集資」等投資者保護標語展示給大眾。

弘業期貨將以本次活動為契機，積極圍繞「理性投資、從我做起」的活動主題，落實行業要求，充分利用營業場所和網站、微信、微博、APP等宣傳平台，引導投資者樹立正確的金融消費理念，傳遞行業正能量，為江蘇轄區資本市場穩定健康發展貢獻力量。



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

### (III) Shoulder more social responsibilities along with its own development

In 2018, while contributing economic value to the society, the Company will continue to adhere to the idea of harmonious development between the Company and the society and integrate corporate social responsibility construction into its development strategy, operation management and various business lines. The Company will vigorously develop green finance to reward shareholders and stakeholders, better serve the real economy, improve service quality, build a harmonious labour relation and protect the ecological resources and the environment. By innovating and making contributions to the society, the Company will promote its harmonious development together with the society.

### (IV) Awards of the Company

The Company was granted the following awards during 2018:

### (三) 以自身發展推動社會責任建設

2018年，公司在為社會貢獻經濟價值的同時，將繼續堅持公司與社會和諧發展的理念，將企業的社會責任建設融入到公司發展戰略和經營管理及各業務條線中，大力發展綠色金融，以回報股東和各利益相關方，加大服務實體經濟、提升服務水平、構建和諧勞動關係、保護生態資源與環境為己任，開拓創新，奉獻社會，促進公司與社會的和諧共同成長。

### (四) 公司所獲獎項

於2018年，公司獲得的獎項如下：

Award-winning Awarding or organization 獲獎單位	Award 獲得獎項	Awarding or granting organization 頒獎單位
The Company 公司	The Best Future Company in China 中國最佳期貨公司	Futures Daily 期貨日報
The Company 公司	The Best Precision Poverty Alleviation Charity Award 最佳精準扶貧公益獎	Futures Daily 期貨日報
The Company 公司	The Best Commodity Futures Industry Service Prize 最佳商品期貨產業服務獎	Futures Daily 期貨日報
The Company 公司	The Best Brand Establishment and Promotion Prize 最佳品牌建設推廣獎	Futures Daily 期貨日報
The Company 公司	The Best Assets Management Business Award 最佳資產管理業務獎	Futures Daily 期貨日報
The Company 公司	The Excellent Investor Service Award 優秀投資者服務獎	Futures Daily 期貨日報
Zhenzhou Branch, Yixing Branch 鄭州分公司、宜興營業部	The Excellent Branch of Futures in China 中國優秀期貨營業部	Futures Daily 期貨日報
The Company 公司	2018 China Futures Leader Junding Award 2018中國期貨領軍人物君鼎獎	Securities Times 證券時報
The Company 公司	2018 China Excellent Futures Asset Management Products Junding Award 2018中國優秀期貨資管產品君鼎獎	Securities Times 證券時報

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

Award-winning Awarding or organization 獲獎單位	Award 獲得獎項	Awarding or granting organization 頒獎單位
The Company 公司	2018 China Securities and Futures Company Excellent Targeted Poverty Alleviation Award 2018中國證券期貨公司優秀定點扶貧獎	Securities Times 證券時報
The Company 公司	The Excellent Member 優秀會員	Dalian Commodity Exchange 大連商品交易所
The Company 公司	Industrial Innovation Service Award 產業創新服務獎	Dalian Commodity Exchange 大連商品交易所
Subsidiary 子公司	Excellent Subsidiary in Risk Management 優秀風險管理子公司	Dalian Commodity Exchange 大連商品交易所
The Company 公司	Excellent Member in Products and Industrial Services 品種產業服務優秀會員	Zhenzhou Commodity Exchange 鄭州商品交易所
The Company 公司	2018 China Futures Brokerage Pioneer 2018中國期貨經紀業務先鋒	International Financial News 國際金融報
The Company 公司	2018 Annual Innovation Pioneering Enterprise 2018年度創新扶貧先鋒企業	International Financial News 國際金融報
The Company 公司	2017-2018 Advanced Unit for National Financial System Culture Construction 2017-2018年全國金融系統文化建設先進單位	Research Association of Ideological and Political Work of China Financial Institutions 中國金融思想政治工作研究會 (中國金融文化建設協會)

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<b>Subject Area A. Environmental</b> <b>主要範疇 A. 環境</b>		
<b>Aspect A1. Emissions</b> <b>層面 A1. 排放物</b>		
General Disclosure A1 一般披露 A1	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste. 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：	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A1.1 關鍵績效指標 A1.1	The types of emissions and respective emissions data 排放物種類及相關排放數據	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A1.2 關鍵績效指標 A1.2	Greenhouse gas emissions in total (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility) 溫室氣體總排放量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A1.3 關鍵績效指標 A1.3	Total hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility) 所產生有害廢棄物總量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A1.4 關鍵績效指標 A1.4	Total non-hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility) 所產生無害廢棄物總量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A1.5 關鍵績效指標 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	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排



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Key Performance Indicator A1.6  關鍵績效指標 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	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
<b>Aspect A2. Use of Resources</b> <b>層面 A2. 資源使用</b>		
General Disclosure A2  一般披露 A2	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。	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A2.1  關鍵績效指標 A2.1	Direct and/or indirect energy consumption by type (e.g. electricity, gas or oil) in total (kWh in '000s) and intensity (e.g. per unit of production volume, per facility)  按類型劃分的直接及／或間接能源(如電、氣或油)總耗量(以千個千瓦時計算)及密度(如以每產量單位、每項設施計算)	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A2.2  關鍵績效指標 A2.2	Water consumption in total and intensity (e.g. per unit of production volume, per facility)  總耗水量及密度(如以每產量單位、每項設施計算)	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A2.3  關鍵績效指標 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	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A2.4  關鍵績效指標 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	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A2.5  關鍵績效指標 A2.5	Total packaging material used for finished products (in tonnes) and, if applicable, with reference to per unit produced  製成品所用包裝材料的總量(以噸計)及(如適用)每生產單位佔量	Not available (principal business does not use a lot of packaging materials) 不適用(主營業務並未大量使用包裝材料)

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<b>Aspect A3. The Environment and Natural Resources</b>		
<b>層面 A3. 環境及天然資源</b>		
General Disclosure A3	Policies on minimising the issuer's significant impact on the environment and natural resources	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
一般披露 A3	減低發行人對環境及天然資源造成重大影響的政策	八、綠色環保，節能減排
Key Performance Indicator A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction
關鍵績效指標 A3.1	描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動	八、綠色環保，節能減排
<b>Subject Area B. Social</b>		
<b>Employment and Labour Practices</b>		
<b>主要範疇 B. 社會僱傭及勞工常規</b>		
<b>Aspect B1. Employment</b>		
<b>層面 B1. 僱傭</b>		
General Disclosure B1	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare.	VII. (I) Safeguard employees' rights and interests effectively VII. (II) Establish a sound employees' labour welfare system
一般披露 B1	有關薪酬及解僱、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	七、1 切實保障員工權益 七、2 健全員工勞動福利制度
Key Performance Indicator B1.1	Total workforce by gender, employment type, age group and geographical region	VII. (I) Safeguard employees' rights and interests effectively
關鍵績效指標 B1.1	按性別、僱傭類型、年齡組別及地區劃分的僱員總數	七、1 切實保障員工權益
Key Performance Indicator B1.2	Employee turnover rate by gender, age group and geographical region	VII. (I) Safeguard employees' rights and interests effectively
關鍵績效指標 B1.2	按性別、年齡組別及地區劃分的僱員流失比率	七、1 切實保障員工權益

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<b>Aspect B2. Health and Safety</b> <b>層面 B2. 健康與安全</b>		
General Disclosure B2 一般披露 B2	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards. 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。	VII. (II) Establish a sound employees' labour welfare system VII. 4 Give full play to the Labour Union 七、2 健全員工勞動福利制度 七、4 充分發揮工會的積極作用
Key Performance Indicator B2.1 關鍵績效指標 B2.1	Number and rate of work-related fatalities 因工作關係而死亡的人數及比率	VII. (II) Establish a sound employees' labour welfare system 七、2 健全員工勞動福利制度
Key Performance Indicator B2.2 關鍵績效指標 B2.2	Lost days due to work injury 因工傷損失工作日數	VII. (II) Establish a sound employees' labour welfare system 七、2 健全員工勞動福利制度
Key Performance Indicator B2.3 關鍵績效指標 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	VII. (II) Establish a sound employees' labour welfare system 七、2 健全員工勞動福利制度
<b>Aspect B3. Development and Training</b> <b>層面 B3. 發展及培訓</b>		
General Disclosure B3 一般披露 B3	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. Note: Training refers to vocational training. It may include internal and external courses paid by the employer. 有關提升僱員履行工作職責的知識及技能的政策。描述培訓活動。 註：培訓指職業培訓，可包括由僱主付費的內外部課程。	VII. (II) Establish a sound employees' labour welfare system 七、3 注重員工培訓與提升
Key Performance Indicator B3.1 關鍵績效指標 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	VII. (II) Establish a sound employees' labour welfare system 七、3 注重員工培訓與提升
Key Performance Indicator B3.2 關鍵績效指標 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。	VII. (II) Establish a sound employees' labour welfare system 七、3 注重員工培訓與提升

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<b>Aspect B4. Labour Standards</b>		
<b>層面 B4. 勞工準則</b>		
General Disclosure B4 一般披露 B4	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour. 有關防止童工或強制勞工的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	VII. (I) Safeguard employees' rights and interests effectively 七、1 切實保障員工權益
Key Performance Indicator B4.1 關鍵績效指標 B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	VII. (I) Safeguard employees' rights and interests effectively 七、1 切實保障員工權益
Key Performance Indicator B4.2 關鍵績效指標 B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	Not available 不適用
<b>Subject Area B. Social Operating Practices</b>		
<b>主要範疇 B. 社會營運慣例</b>		
<b>Aspect B5. Supply Chain Management</b>		
<b>層面 B5. 供應鏈管理</b>		
General Disclosure B5 一般披露 B5	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	V. (VII) Supplier management 五、7 供應商管理
Key Performance Indicator B5.1 關鍵績效指標 B5.1	Number of suppliers by geographical region. 按地區劃分的供貨商數目。	Not available 不適用
Key Performance Indicator B5.2 關鍵績效指標 B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored. 描述有關聘用供貨商的慣例，向其執行有關慣例的供貨商數目、以及有關慣例的執行及監察方法。	Not available 不適用



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<b>Aspect B6. Product Responsibility</b> <b>層面 B6. 產品責任</b>		
General Disclosure B6 一般披露 B6	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress. 有關所提供產品和服務的健康與安全、廣告、標籤及私隱事宜以及補救方法的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	V. (IV) Pay attention to customer information security and transaction network security V. (VI) Protection of intellectual property rights 五、4 重視客戶信息安全及交易網絡安全保障工作 五、6 知識產權保護
Key Performance Indicator B6.1 關鍵績效指標 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 available 不適用
Key Performance Indicator B6.2 關鍵績效指標 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。	V. (V) Strengthen customer complaint management and improve complaint handling mechanism 五、5 加強客戶投訴管理，完善投訴處理機制
Key Performance Indicator B6.3 關鍵績效指標 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。	V. (VI) Protection of intellectual property rights 五、6 知識產權保護
Key Performance Indicator B6.4 關鍵績效指標 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。	Not available 不適用
Key Performance Indicator B6.5 關鍵績效指標 B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored. 描述消費者數據保障及私隱政策，以及相關執行及監察方法。	V. (IV) Pay attention to customer information security and transaction network security 五、4 重視客戶信息安全及交易網絡安全保障工作

# XI. Appendix: Index on Environmental, Social and Governance Reporting Guide of the Stock Exchange 第十一章、附：聯交所《環境、社會及管治報告指引》索引表

Aspects, General Disclosure and Key Performance Indicators 層面、一般披露及關鍵績效指標	Description 描述	Disclosure chapter 披露章節
<b>Aspect B7. Anti-corruption</b>		
<b>層面 B7. 反貪污</b>		
General Disclosure B7 一般披露 B7	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering. 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。	IV. Compliance and Risk Prevention 四、合規與風險防範
Key Performance Indicator B7.1 關鍵績效指標 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. 於彙報期內對發行人或其僱員提出並已審結的貪污訴訟案件的數目及訴訟結果。	Not available 不適用
Key Performance Indicator B7.2 關鍵績效指標 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。	IV. (III) Establish and improve anti-corruption mechanism 四、3 建立健全反貪污機制
<b>Aspect B8. Community Investment</b>		
<b>層面 B8. 社區投資</b>		
General Disclosure B8 一般披露 B8	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests. 有關以社區參與來了解營運所在社區需要和確保其業務活動會考慮社區利益的政策。	IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務
Key Performance Indicator B8.1 關鍵績效指標 B8.1	Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport). 專注貢獻範疇(如教育、環境事宜、勞工需求、健康、文化、體育)。	IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務
Key Performance Indicator B8.2 關鍵績效指標 B8.2	Resources contributed (e.g. money or time) to the focus area. 在專注範疇所動用資源(如金錢或時間)。	IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務