



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

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



ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

環境、社會及管治報告

2018/2019

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1. ABOUT THIS REPORT

關於本報告

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

This report describes the ESG values and initiatives of the Group for the financial year ended 30 September 2019 (the “Year”). The contents of this report provide its stakeholders with an overview of the Group’s efforts regarding ESG impacts arising from its daily operations. This report complies with the provision of the ESG Reporting Guide as set out in Appendix 27 of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited. It is recommended that this report is read in conjunction with the Company’s Annual Report 2018/19, in particular the Corporate Governance Report and Directors’ Report sections therein.

This report is available on the websites of the Company (<https://www.emperorcapi.com>) and Hong Kong Exchanges and Clearing Limited (“HKEX”) news website (<https://www.hkexnews.hk>).

1.1 Stakeholders Engagement and Materiality Assessment

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

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

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

本報告闡述本集團於截至2019年9月30日止財政年度(「本年度」)的環境、社會及管治價值及措施。本報告的內容為其持份者概述本集團在環境、社會及管治方面的工作，以針對日常營運所產生的影響。本報告符合香港聯合交易所有限公司證券上市規則附錄27所載《環境、社會及管治報告指引》的條文。建議閣下將本報告與本公司2018/19年報一併閱讀，尤其是其中的企業管治報告及董事會報告部份。

本報告可於本公司的網站(<https://www.emperorcapi.com>)及香港交易及結算所有限公司(「港交所」)的披露易網站(<https://www.hkexnews.hk>)查閱。

1.1 持份者之參與及重要性評估

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

根據持份者的意見，以下為已識別之重要議題。本集團就該等議題的表現將於本報告內討論。

1. ABOUT THIS REPORT

關於本報告

Material ESG Topics 重要環境、社會及管治議題	
Environment 環境	<ul style="list-style-type: none">■ Energy conservation 能源節約■ Waste management 廢物管理■ Waste recycling 廢物循環利用
Workplace 工作場所	<ul style="list-style-type: none">■ Employment and labour practices 僱傭及勞工慣例■ Diversity and equal opportunities 多元共融和平等機會■ Training and development 培訓和發展■ Occupational health and safety 職業健康與安全■ Work-life balance 工作與生活平衡
Operating Practices 經營常規	<ul style="list-style-type: none">■ Services quality 產品及服務質素■ Anti-corruption 反貪污■ Customer privacy protection 客戶私隱保護
Community 社區	<ul style="list-style-type: none">■ Employee volunteering 員工志願服務■ Community fundraising 社區籌款

1.2 CSR Committee

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

1.2 企業社會責任委員會

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

2. ENVIRONMENTAL PROTECTION 環境保護

2.1 Environmental Policies

During the Year, the Group continued making its best endeavours to protect the environment in its business activities and workplace. The Group also educates its employees on their awareness of promoting a green environment. The Group seeks to identify and manage environmental impacts attributable to its operations, in order to minimise these impacts if possible. Various measures have been adopted to reduce energy and other resource use, minimise waste and increase recycling, and promote environmental protection in its supply chain and marketplace. These measures are discussed in section 2.2 “Use of resources” of this report.

In May 2019, the Group’s head office at 23rd and 24th Floor, Emperor Group Centre, 288 Hennessy Road, Wan Chai, Hong Kong, along with many other floors of the building, were awarded an “Indoor Air Quality Certification – Good Class” by the Environmental Protection Department, under its voluntary Indoor Air Quality Certification Scheme for Offices and Public Places.

2.1 環境政策

於本年度，本集團繼續致力在業務活動及工作場所實踐環境保護。本集團亦教育其僱員提升對綠色環境的意識。本集團努力辨識及管理其業務對環境造成之影響，務求將該等影響盡可能減至最低。本集團已採取多項措施以降低能源及其他資源消耗、減廢及增加循環再用，並在其供應鏈及市場中推行環保。該等措施載於本報告第2.2「資源使用」章節。

於2019年5月，本集團位於香港灣仔軒尼詩道288號英皇集團中心23樓及24樓的總辦公室以及該大廈的多個其他樓層，獲環境保護署根據其自願性的「辦公室及公眾場所室內空氣質素檢定計劃」頒發「室內空氣質素檢定證書－良好級」。



2. ENVIRONMENTAL PROTECTION

環境保護

2.2 Use of Resources

2.2.1 Energy Saving

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

To identify energy efficiency enhancement opportunities, the Group measures and records the energy consumption intensity from time to time.

2.2.2 Waste Reduction and Management

The Group engages employees in their waste behaviours and encourages recycling practices in the workplace. In the office building, the building's property management company has appointed recycling contractor to collect and recycle used papers, plastic bottles, aluminium, glasses, fluorescent tubes and computer equipment. Recycled bags are also put in the office to collect waste papers for recycling.



2.2 資源使用

2.2.1 能源節約

全球暖化及氣候變化已成為全球各地關注的主要環境議題。本集團藉著促進善用資源及採納綠色科技，旨在使旗下分行及辦公室積極實踐節約能源。為提高整體能源效益，本集團不斷為其照明及空調系統進行升級。位於旺角的旗艦分行，室內空間以及廣告牌內已採用節能LED光管。LED廣告牌在非營業時間內關掉，以盡量減少光污染及降低能源消耗。

為發掘提升能源效益的機會，本集團不時量度及記錄耗能情況。

2.2.2 廢物減少及管理

本集團並讓員工參與廢物處理，並鼓勵他們在工作場所進行回收。在辦公大樓，大廈之物業管理公司已委聘回收承包商收集及回收使用過的紙張、塑膠瓶、鋁、玻璃、光管以及電腦設備。回收袋並放置於辦公室以收集廢紙作循環利用。

2. ENVIRONMENTAL PROTECTION

環境保護

2.2.3 Paper Reduction

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

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

**THINK
BEFORE YOU
PRINT**



2.2.3 減少用紙

本集團繼續鼓勵無紙化的工作環境，不僅可減少對環境的破壞，亦具有多重商業裨益，包括節省空間、促進資訊科技網絡信息共享及減省繁複的文書程序等。近年來，本集團已實行內部人力資源無紙化流程，例如僱員工時表、糧單、假期申請、意見調查、評估報告及檢查表格等。另外，雙面列印及複印已成為本集團內部慣例，大大減少紙張消耗及節省成本。本集團定期收集及評估辦公室打印機使用數據，以監控無紙化環境之成效。

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

2. ENVIRONMENTAL PROTECTION

環境保護

The Group aims to promote environmental awareness, not only within the organisation, but also through engaging customers, encouraging a co-operative approach to minimising its environmental impact. The formalities for opening a securities account involve a considerable amount of paperwork. In view of this, the account opening form has been modified to minimise paper usage. To encourage the migration of customers' account statements from a print format to electronic version, a surcharge is applied if clients opt to receive paper statements. As at 30 September 2019, the adoption of electronic statements by customers had increased to 88% (30 September 2018: 87%). In addition, the Group distributes the latest promotion information and notices via email and SMS instead of printed mails.

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

本集團旨在提升環保意識，不僅於公司內部，同時亦讓客戶參與其中，鼓勵共同協作減少對環境的影響。辦理開立證券賬戶涉及大量文書工作。有鑑於此，已改良開戶表格以減少紙張使用量。為鼓勵客戶將賬單由印刷版轉為電子版，倘客戶選擇收印刷賬單，將需繳付額外費用。於2019年9月30日，採用電子賬單之客戶已增加至88% (2018年9月30日：87%)。此外，本集團透過電子郵件及短訊而非印刷郵件發佈最新推廣資料及通知。

本公司極力推薦股東利用港交所及本公司網站獲取公司通訊(包括財務報告)而非收取印刷文件。通過向股東引入電子版公司通訊，印刷量大幅減少。此無紙化的做法既可保護環境，亦可節約文儀用品、印刷及行政費用等。

2. ENVIRONMENTAL PROTECTION

環境保護

2.3 Environmental Performance Summary

To demonstrate a commitment to greater transparency in reporting, and illustrate the Group's sustainability performance, quantitative data has been collected from offices in Hong Kong. These offices are located at Emperor Group Centre, 288 Hennessy Road, Wan Chai, Hong Kong, covering room 606, 23rd and 24th floor, and occupy a gross floor area of 1,872 square metres.

2.3 環境表現概要

為展現對提高報告透明度的承諾，及呈列本集團之可持續表現，本集團於香港辦公室收集量化數據。該等辦公室位於香港灣仔軒尼詩道288號英皇集團中心，包括606室、23樓及24樓，所佔總建築面積為1,872平方米。

Indicators 指標	FY2017/18年度 ¹	FY2018/19年度
GHG Emissions 溫室氣體排放		
Scope 2 GHG emissions (kgCO ₂ e) 範疇2溫室氣體排放(每公斤二氧化碳當量排放)	271,687	213,575
Scope 3 GHG emissions (kgCO ₂ e) 範疇3溫室氣體排放(每公斤二氧化碳當量排放)	23,376	20,467
Total GHG emissions (kgCO ₂ e) 溫室氣體排放總量(每公斤二氧化碳當量排放)	295,063	234,042
GHG emissions intensity (kg/m ²) 溫室氣體排放強度(公斤/平方米)	131	125
Energy Consumption 能源消耗		
Total energy consumption (GJ) 總能源消耗(千兆焦耳)	1,237	960
Energy consumption intensity (GJ/m ²) 能源消耗強度(千兆焦耳/平方米)	0.6	0.5
Waste Management 廢物處理		
General refuse disposed to landfills (kg) 棄置於堆填區的一般廢物(公斤)	2,284	3,202
General refuse intensity (kg/m ²) 棄置於堆填區的一般廢物密度(公斤/平方米)	1	1.7
Recycled paper collected (kg) 回收廢紙(公斤)	1,890	1,073
Recycled paper intensity (kg/m ²) 回收廢紙密度(公斤/平方米)	0.8	0.6

¹ Quantitative data were collected from offices within rooms 603, 606 and 1605, 23rd and 24th floor, Emperor Group Centre, 288 Hennessy Road, Wan Chai, Hong Kong

¹ 量化數據於香港灣仔軒尼詩道288號英皇集團中心603室、606室、1605室、23樓及24樓之辦公室收集

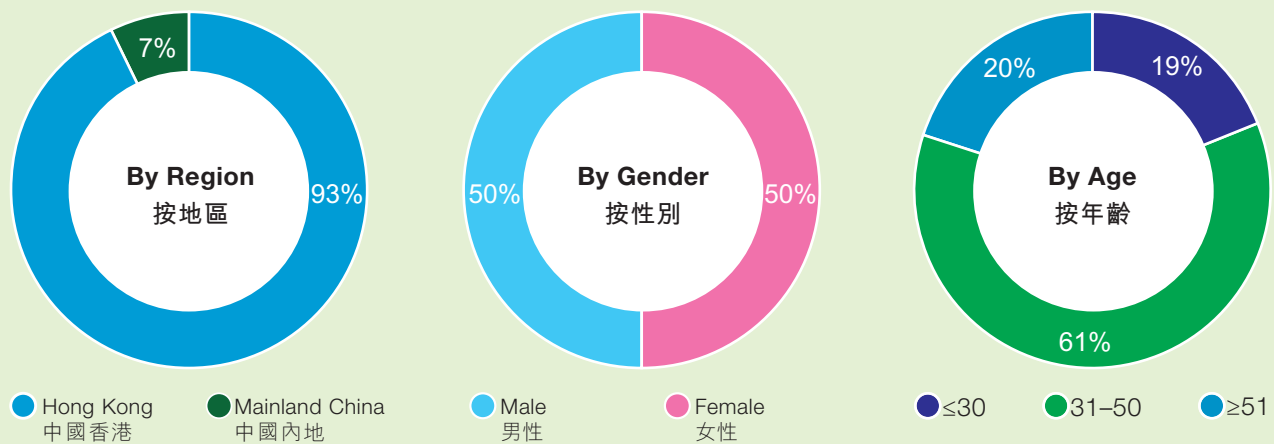
3. WORKPLACE QUALITY 工作場所質素

3.1 Workforce Distribution

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

As at 30 September 2019, the employees of the Group totalled 167, working in the head office and branches in Hong Kong, and in liaison offices in the mainland China.

The demographics of the Group's workforce as at 30 September 2019 are summarised below:



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

The management believes that employees are important assets of the Group, and remains committed to attracting and retaining talent with diverse backgrounds for achieving sustainable growth. As at 30 September 2019, 46% of the staff had worked for the Group for five years or more. Service awards were presented at the Group's listing anniversary dinner, as tributes to staff who had contributed for 10, 15, 20 and 25 years. Staff turnover rate among managerial positions is relatively low, reflecting a high level of employee satisfaction and engagement with the Group.

3.1 員工分佈

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

於2019年9月30日，本集團擁有合共167名僱員，於中國香港總辦公室及分行以及中國內地聯絡辦事處工作。

於2019年9月30日，本集團員工的分佈資料概述如下：

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

管理層相信，員工乃本集團之重要資產，致力吸引並挽留不同背景的人才，以達致持續增長。於2019年9月30日，46%之員工於本集團任職達5年或以上。本集團於上市週年晚宴上頒發長期服務獎項，以表揚任職達10年、15年、20年及25年之員工。管理職位的員工流失率相對較低，反映員工對本集團之滿意度及歸屬感甚高。

3. WORKPLACE QUALITY

工作場所質素

3.2 Labour Standard

The Group strictly complies with the Employment Ordinance (Cap. 57, Laws of Hong Kong) and other statutory requirements regarding employment and labour practices. The Group is dedicated to providing equal opportunities in all aspects of employment and ensure the workplace is free from discrimination. The Group ensures employees receive fair and competitive remuneration packages in accordance with their experience, qualifications, performance and market rates, and are being reviewed on a regular basis. To attract and retain talent, comprehensive benefits are provided by the Group, such as employer's voluntary MPF contributions, medical coverage, life insurance and paid leave. Each employee is entitled to one day of birthday leave, providing each employee with an additional day off in lieu of a birthday gift.

To ensure the staff clearly understand their rights and obligations, the employee handbook is in place which covers policies and guidelines related to employment practices, including compensation and dismissal, recruitment, working hours, rest periods, equal opportunity, anti-discrimination and other fringe benefits, etc. The Group has been reviewing its related policies from time to time to ensure the Group complies with the latest statutory requirements. A set of grievance procedures is also in place, to provide staff with a channel to confidentially escalate complaints and concerns to the Human Resources Department.

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

3.2 勞工標準

本集團嚴格遵守《僱傭條例》(香港法例第57章)及其他有關僱傭及勞工慣例的法定規定。本集團致力於在就業的各個方面提供平等機會，並確保工作場所不存在歧視。本集團確保僱員基於其經驗、資歷、表現及市場工資水平獲得公平及具競爭力的薪酬待遇，並定期檢討有關待遇。為吸引和挽留人才，本集團提供全面的福利，例如僱主的自願性強積金供款、醫療保險、人壽保險及有薪假期。每名員工均可享有一日生日假期，為每名員工提供了額外的休息日代替生日禮物。

為確保員工清楚了解自己的權利和義務，員工手冊涵蓋僱傭慣例相關政策及指引，包括薪酬及解僱、招聘、工作時間、休息時間、平等機會、反歧視以及其他額外福利等。本集團不時檢討其相關政策，以確保本集團符合最新法定要求。申訴程序亦已實施，為員工提供渠道，以便員工以保密方式向人力資源部提出投訴和關注事項。

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

3. WORKPLACE QUALITY

工作場所質素

3.3 Occupational Health and Safety

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



The Group enhances emergency preparedness and ensures there are well-stocked first-aid kits in offices to protect the health and safety of employees, in the event that they are injured at work. An automated external defibrillator (“AED”) has been placed in the office building to rescue potential victims of sudden cardiac arrest. During the Year, an AED awareness training course was held for the first aiders of the Group, to reinforce their techniques in the resuscitation processes.

Every case of injury, if any, is required to be reported to the Human Resources Department and be individually assessed under the internal guideline procedures. No accidents, injuries, fatality nor critical incidents reported during the Year.

3.3 職業健康及安全

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

本集團提升應急準備能力及確保辦公室內配備充足的急救箱，以於員工發生工傷時能保障員工的健康及安全。自動體外心臟去顫器（「AED」）已放置在辦公大樓，以供潛在心臟病患者在病發時進行救助。於本年度，本集團已為本集團的急救人員舉辦AED意識培訓課程，以加強其急救技巧。

每宗工傷事故（如有）需彙報至人力資源部，以根據內部指引程序進行獨立評估。本年度並無意外、工傷、死亡及重大事故的報告。

3. WORKPLACE QUALITY

工作場所質素

3.4 Employee Wellness

The Group values workplace wellness practices that support employees' health and well-being. During the Year, the Group continued holding the "Green Monday Fruit Day" campaign, which involves giving a fresh fruit to each staff member in the head office on the first working day of every week, encouraging staff to maintain a healthy lifestyle.

The Group encourages breastfeeding and provides a designated private space in the office building to support lactation of breastfeeding female employees in flexible schedule during working hours. These "Breastfeeding Friendly Workplace" measures demonstrate the Group's commitment to the wellbeing of its employees and their families.



3.5 Work-life Balance

The Group believes that maintaining work-life balance is essential for sustainability and a sound body and mind for every employee. To support employees in maintaining work-life balance and creating spirit amongst employees, the Group organised a number of activities for its employees during the Year.

Leisure Friday, October 2018

A private movie party was organised at Emperor Cinemas, ensuring an enjoyable evening for all participating employees.

3.4 員工福祉

本集團注重健康工作環境的實行，使員工體魄強健。於本年度，本集團繼續舉辦「生果星期一」活動，在每週第一個工作日向總辦公室的員工派發新鮮水果，以鼓勵員工維持健康生活習慣。

本集團支持母乳餵哺，並於辦公大樓設立特定具私穩的空間，以支援女性員工在工作時間內彈性地計劃進行擠母乳。該等「母乳餵哺友善工作間」措施兌現本集團維護僱員及其家庭成員福祉的承諾。

3.5 工作與生活的平衡

本集團相信，維持工作與生活的平衡對每位員工的可持續發展及身心健康至為重要。為了支持員工維持工作與生活的平衡及培養員工的團隊精神，本集團於本年度持續為員工舉辦多個活動。

超級猛片，齊齊欣賞，2018年10月

於英皇戲院舉辦了一場私人電影派對，讓所有參與員工度過一個愉快的晚上。



3. WORKPLACE QUALITY

工作場所質素

Christmas Party, December 2018

A warm, joyful Christmas party was held by the Group, so employees could celebrate the festive season together. Exciting games were arranged, and employees had an enjoyable afternoon.

聖誕聯歡會，2018年12月

本集團舉行了一個既溫馨又歡樂的聖誕聯歡會，讓員工可以一同慶祝節日。同時安排了刺激的遊戲，讓員工度過了一個愉快的下午。



DIY Cake Workshop, March 2019

The employees enjoyed a relaxing break during a half-day cake baking workshop. The employees rolled up their sleeves and created a delicious selection of fresh cream cakes together.

DIY蛋糕工作坊，2019年3月

員工參加為期半天的蛋糕烘焙工作坊活動，享受悠閒時光。員工捲起袖子，一同製作了一系列美味的鮮奶油蛋糕。



3. WORKPLACE QUALITY

工作場所質素

Emperor Capital Group x Emperor Watch & Jewellery Friendly Football Match, April 2019

The Group and Emperor Watch & Jewellery jointly held a friendly football match. CEO of both companies attended to cheer for the players and showed their support. It has strengthened their relationship and was an unforgettable match for the employees.

英皇證券X英皇鐘錶珠寶足球友誼賽，2019年4月

本集團與英皇鐘錶珠寶合辦了一場足球友誼賽。兩間公司之行政總裁均有出席，為參賽者打氣以表示支持。該活動加強了他們之間的關係，對員工來說是一次難忘的比賽。



Yoga Fun, April and May 2019

A professional yoga instructor taught employees yoga and stretching, enabling them to relax while increasing their strength and flexibility.

瑜珈體驗班，2019年4及5月

由專業瑜珈導師教授員工瑜珈和伸展，讓他們放鬆身心，同時增加體力和靈活度。



3. WORKPLACE QUALITY

工作場所質素

Listing Anniversary Dinner, May 2019

Annual dinner was held to express the Group's gratitude to its employees for their support and service as well as to foster team spirit within the Group. The employees and guests enjoyed a magnificent dinner, wonderful entertainment and unrivalled networking opportunities.



上市週年晚宴，2019年5月

本集團舉行週年晚宴以答謝員工的支持及服務，以及促進本集團員工之間的團隊精神。員工及嘉賓同享佳釀美饌和精彩娛樂，觥籌交錯，為難得的交流機會。

DIY Florescent Floral Workshop, June 2019

Coached by a professional instructor, this workshop involved sketching, measuring, wire twisting and flower selection, enabling employees to capitalise on their innovation and create their own unique floral decorations.



保鮮花X扭扭燈DIY工作坊，2019年6月

由專業導師指導，該工作坊涉及素描、量度、扭線和選花，讓員工利用其創新力創造其獨特的花卉裝飾品。



3. WORKPLACE QUALITY

工作場所質素

Badminton Fun Day, July 2019

In order to encourage employees to adopt a healthier lifestyle by taking more exercise, badminton fun day was held, and the employees had a joyful evening.



「羽」眾同樂日，2019年7月

為了鼓勵員工多做運動以實踐更健康的生活方式，舉行了「羽」眾同樂日，讓員工度過了一個快樂的晚上。



Cool Friday, August 2019

Two ice cream carts were arranged in the office building, distributing ice creams to employees so they could enjoy a cooling Friday moment during the burning hot summer.

冰涼星期五，2019年8月

於辦公大樓安置了兩輛到會雪糕車並分派雪糕予同事，讓他們於炎炎夏日享受一個冰涼的星期五。



3. WORKPLACE QUALITY

工作場所質素

Bank of Communications x Emperor Group Basketball Match, September 2019

A corporate basketball match co-hosted by Bank of Communications and Emperor Group was successfully held. Some employees from the Group were recruited to compete against the basketball team of Bank of Communications. The friendly match was divided into a 5 vs 5 staff match and a 3 vs 3 leadership match led by Dr. Albert Yeung, Chairman of Emperor Group and Mr. Wang Feng, Chief Executive of Bank of Communications (Hong Kong Branch). The event reinforced the relationship between the two financial institutions beyond business cooperation and marked a time filled with treasured moments.

交銀英皇籃球企業盃，2019年9月

由交通銀行與英皇集團合辦的企業籃球比賽成功舉行。本集團部分員工獲招攬，與交通銀行的籃球隊對賽。該友誼賽分為5對5的員工挑戰賽，以及由英皇集團主席楊受成博士和交通銀行香港分行行政總裁王鋒先生領軍的3對3領導賽。該活動加強了兩間金融機構之間業務合作以外的關係，印證著寶貴時刻。



Mid-Autumn Festival Delicacies, September 2019

Mooncakes provided by The Emperor Hotel, was given and shared among employees in the head office as a token of appreciation and to celebrate the Mid-Autumn Festival.

佳餚美饌賀中秋，2019年9月

於總辦公室的員工獲贈並一同分享由英皇駿景酒店所提供的月餅，以表達心意及慶祝中秋節。



All these activities helped strengthen relationships between employees, boosted their morale and promoted a harmonious working environment.

該等活動均有助鞏固員工之間的關係、加強員工士氣，並締造和諧的工作環境。

3. WORKPLACE QUALITY

工作場所質素

3.6 Development and Training

Recognising the importance of skilled and professionally trained employees, the Group supports its staff to develop and enhance their knowledge, skills and work capability. The Group encourages and provides subsidies to employees at all levels to pursue educational or training opportunities that achieve personal growth and professional development. A policy on External Training Subsidy is in place, allowing every staff member to develop and maintain job-related skills for full performance.

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

During the Year, the Group dedicated around 1,170 hours to staff-learning and training, representing approximately 7 hours per employee.

3.6 發展及培訓

本集團明白技能熟練及經專業培訓的員工之重要性，並支持員工發展及提升其知識、技能及工作能力。本集團鼓勵並資助各級員工進修或參與培訓，以實現其個人成長及專業發展。本集團設外間進修資助政策，讓每個員工能發展及維持工作技能，發揮最佳表現。

本集團保持其於充滿活力的市場的最前線位置，其員工不斷積極尋求專業培訓以提升技術知識，及時了解最新發展動向。於本年度，本集團舉辦內部研討會及培訓，內容涵蓋反洗錢、法律、守則、規則及法規之最新資訊以及有關持牌受規管活動之其他主題，讓員工保持最高標準之職業操守及道德。研討會及培訓乃獲證券及期貨事務監察委員會（「證監會」）認可，以確保持牌員工符合持續專業培訓之要求。

於本年度，本集團員工學習及培訓方面投入約1,170小時，相當於每名僱員參與培訓約7小時。

4. OPERATING PRACTICE

經營常規

4.1 Supply Chain Management

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

4.2 Product Responsibility and Customer Services

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

The Group makes every effort to promptly and fairly investigate and resolve all disputes and complaints lodged by customers, according to clearly written internal procedures. During the Year, no customer complaint concerning dealing in securities was reported.

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

As a comprehensive financial services provider, the Group comprises teams of professionals specialising in a wide array of services including brokerage, asset management, financing, and corporate finance advisory. As at 30 September 2019, 61 employees and 77 account executives of the Group were licensed with the SFC for various types of regulated activities: dealing in securities (Type 1), dealing in futures contracts (Type 2), advising on securities (Type 4), advising on futures contracts (Type 5), advising on corporate finance (Type 6), and asset management (Type 9), registered with Professional Insurance Brokers Association or Estate Agents Authority.

4.1 供應鏈管理

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

4.2 產品責任及客戶服務

本集團透過提供貼身的客戶服務獲得廣大客戶群之信任。

本集團力求根據清楚列明之內部程序，及時公平地調查並解決客戶提出之所有糾紛及投訴。於本年度，概沒有關於證券交易的客戶投訴。

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

作為一家綜合金融服務供應商，本集團擁有由各種服務之專業人士組成的團隊，包括經紀、資產管理、貸款及企業融資顧問。於2019年9月30日，本集團61名僱員及77名客戶經理獲證監會許可從事各種受規管活動：證券交易(第1類)、期貨合約交易(第2類)、就證券提供意見(第4類)、就期貨合約提供意見(第5類)、就機構融資提供意見(第6類)以及資產管理(第9類)，或已於香港專業保險經紀協會或地產代理監管局登記。

4. OPERATING PRACTICE

經營常規

During the Year, in recognition of its dedicated services and professionalism, the Group received the following awards:

為表彰其熱誠的服務及專業水平，本集團於本年度獲得以下獎項：

Capital Merits of Achievements in Banking and Finance Awards 2018

資本卓越銀行及金融大獎2018

Capital Magazine, October 2018

《資本雜誌》· 2018年10月



Greater China Super Brands Awards 2018

大中華優秀品牌大獎 2018

East Week, November 2018

《東周刊》· 2018年11月



Outstanding Corporate Strategy Awards 2019

傑出企業策略大獎 2019

East Week, September 2019

《東周刊》· 2019年9月



4. OPERATING PRACTICE

經營常規

4.3 Protection of Data

The Group places the utmost importance on protecting the privacy of its customers, partners and staff in the collection, processing and use of their personal data. The Group adheres to the applicable data protection regulations and ensures appropriate technical measures are in place to protect personal data against unauthorised use or access. The Group also ensures that customers' personal data is securely stored, and processed only for the purpose for which it has been collected. Relevant staff are provided with adequate training in compliance with applicable laws on data privacy protection, to strengthen their awareness and to protect personal data against loss, unauthorised access, use, modification or disclosure. Access to the customer database is limited to authorised staff, whilst authentication is required before accessing the data. To reduce the risk of identity theft, the Group takes appropriate measures to dispose of documents that contain customer information.

4.4 Protection of Intellectual Property

The Group builds up and protects its intellectual property rights by prolonged use under the registration of domain names and various trademarks within the Emperor Group such as “*Emperor*” to be used in the relevant jurisdictions. The Group's domain names are constantly monitored and renewed prior to their expiration.

4.5 Anti-corruption/Anti-money Laundering

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

4.3 資料保護

本集團在收集、處理及使用所有客戶、合作夥伴及員工的個人資料過程中，對保障彼等的私隱給予最高度的重視。本集團嚴格依循適用的資料保護法例並確保設立適當之技術措施，保障個人資料免被未經授權挪用或存取。本集團亦確保客戶個人資料獲安全妥善地儲存，並只會按收集時指定的用途處理。本集團根據資料私隱保護適用法律向相關員工提供充足培訓，以加強彼等的意識及保障個人資料，防止遺失、未經授權獲取、使用、修改或披露。客戶資料庫只容許經授權員工存取，在存取資料前亦須進行驗證。為減低身份盜竊的風險，本集團於處置含有客戶資料的文件方面採取適當措施。

4.4 保障知識產權

本集團透過持續使用英皇集團旗下一於相關司法權區使用登記的域名與各類商標(例如「*英皇*」)，建立及保障其知識產權。本集團域名會獲持續監控及於屆滿前續期。

4.5 反貪污／反洗錢

為樹立一套企業道德文化及常規，本集團已建立反貪污、打擊洗錢及恐怖分子資金籌集之政策及程序。為確保及減低相關風險，已按照監管機構頒佈之相關法律、法規及指引制定有關客戶篩選及監控、「了解你的客戶」常規、保存記錄以及舉報可疑情況的足夠程序。

4. OPERATING PRACTICE

經營常規

It is essential for the Group's employees to acquire a better understanding of bribery, extortion, corruption and related acts. In addressing and mitigating corruption risks, a set of guidelines in giving and receiving gifts, or offer in the form of meals, accommodation and entertainment, as well as interacting with government officials, was established to outline acceptable and unacceptable conduct in employees' daily business activities. It targets to ensure every employee adheres to applicable legal requirements and make ethical business decisions. Special care must additionally be taken to ensure that all business dealings with government officials are conducted in a context that is free from any form of corrupt practices.

The Group has long adopted an Anti-money Laundering and Counter-Terrorist Financing Policy and Procedure ("AML Policy"). The AML Policy establishes the general framework for combating potential money laundering and financing of terrorism, and provides guidelines for preventing the Group's employees and clients, customers, suppliers, vendors and contractors from being misused for money laundering, terrorism financing or other financial crimes. The AML Policy indicates the kind of potentially suspicious transactions or activities that employees should look out for.

The Group's employee handbook sets out the key provisions relating to anti-corruption legislation. The Group has also adopted a whistle-blowing policy and procedures for all levels and operations under the Group, so staff can raise concerns – in confidence – about possible improprieties such as misconduct and malpractice in any matter related to the Group. These policies and procedures together with the code of conduct can be found in the employee handbook.

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

本集團之員工必須對賄賂、勒索、貪污及相關行為加深了解。為了針對及減低貪污之風險，本集團已就贈送及收受禮物、提供用餐、住宿及娛樂，以及與政府官員交涉制訂一套指引，列明員工日常業務活動中可接受及不可接受的行為。這旨在確保每位員工遵從適用的法律規定及作出合乎道德之商業決定。為確保所有與政府官員之商業交易在不涉及任何形式的貪污下進行，本集團給予額外的關注。

本集團多年來一直採納打擊洗錢及恐怖分子資金籌集政策及程序（「打擊洗錢政策」）。打擊洗錢政策確立了打擊潛在洗錢及恐怖主義資金籌集罪行的整體框架，並提供指引防止本集團的員工及客戶、顧客、供應商、賣方及承包商被誤用於洗錢、恐怖主義資金籌集或其他金融罪行。打擊洗錢政策已列出部分潛在可疑交易或活動的指標，供員工參考。

本集團之員工手冊載有防止貪污法例之主要條文。本集團亦採納一套檢舉政策及程序，讓本集團所有層面及業務之員工可在保密的情況下就任何可能影響本集團之不當事宜（如不當及不法行為）進行舉報。該等政策及程序連同行為守則可於員工手冊內查閱。

於本年度，本集團或其員工並無面對任何有關貪污行為之法律起訴案件。同時，亦無涉及刑事罪行或不當行為之個案被檢控。

4. OPERATING PRACTICE

經營常規

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

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

4.6 Compliance with Relevant Laws and Regulations

The Corporate Governance Committee is delegated by the Board to review and monitor the policies and practices on compliance with legal and regulatory requirements, including but not limited to the following ordinances which have significant impact on the Group:

- Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615, Laws of Hong Kong)
- Companies Ordinance (Cap. 622, Laws of Hong Kong)
- Competition Ordinance (Cap. 619, Laws of Hong Kong)
- Employment Ordinance (Cap. 57, Laws of Hong Kong)

4.6 遵守相關法律及法規

董事會委派企業管治委員會檢討及監察本集團在遵守對本集團有重大影響之法例及監管規定方面之政策及常規的情況，包括但不限於：

- 《打擊洗錢及恐怖分子資金籌集條例》(香港法例第615章)
- 《公司條例》(香港法例第622章)
- 《競爭條例》(香港法例第619章)
- 《僱傭條例》(香港法例第57章)

4. OPERATING PRACTICE

經營常規

- Personal Data (Privacy) Ordinance (Cap. 486, Laws of Hong Kong)
- Prevention of Bribery Ordinance (Cap. 201, Laws of Hong Kong)
- Trade Descriptions Ordinance (Cap. 362, Laws of Hong Kong)

Details on the work of the Corporate Governance Committee can be found on page 43 of the Corporate Governance Report in the Company's Annual Report 2018/19.

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

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

- 《個人資料(私隱)條例》(香港法例第486章)
- 《防止賄賂條例》(香港法例第201章)
- 《商品說明條例》(香港法例第362章)

企業管治委員會之工作詳情載於本公司2018/19年報企業管治報告第43頁。

法律及合規部旨在提供內部法務及合規服務，有效支援多個營運單位於其職責及日常營運方面遵守所有適用法律、規則及法規(如證券及期貨條例及其附屬法例、防止賄賂條例以及證監會頒佈的守則及指引)。

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

5. COMMUNITY INVOLVEMENT

參與社區活動

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

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



以「取諸社會，用諸社會」為使命，本集團積極推廣多種社區活動，涵蓋長者福利、弱勢社群及環保行動。該等活動與本集團可持續發展之承諾相輔相承，而本集團管理層團隊在動員參與該等活動方面亦擔任重要角色。

本集團獲香港社會服務聯會頒發連續10年或以上「商界展關懷」標誌，表揚其履行企業社會責任的持久承諾。

5.1 Voluntary Services

The Group continues building partnerships with non-governmental organisations and charitable organisations, to reach and support needy communities. Highlights of volunteering initiatives during the Year are as follows:

Shunping, Hebei Volunteering Tour, December 2018

Various employees took part in tour to Shunping in Hebei, for a visit to Albert Yeung Sau Shing (Shunping, China) Elderly Service Centre. They sent New Year greetings and gifts to the senior citizens, and helped with housecleaning in the centre.

5.1 義工服務

本集團繼續與非政府組織和慈善組織建立夥伴關係，以伸出援手支持有需要幫助的社群。於本年度，主要的義工活動如下：

河北省順平義工之旅，2018年12月
員工遠赴河北省順平市探訪楊受成（中國·順平）關愛老年中心。他們向長者們送上賀年新春的祝福及禮物，並協助進行院舍大掃除。



5. COMMUNITY INVOLVEMENT

參與社區活動

Funing, Jiangsu Volunteering Tour, June 2019

With the commencement of operation of the Albert Yeung Sau Shing (Funing, China) Elderly Service Centre, various employees of the Group, together with Emperor Entertainment Group artistes Chen Bing and Pang Yunong, and representatives of the local government of Funing County, joined the volunteering tour and passed sincere greetings to the senior citizens.



江蘇省阜寧義工之旅，2019年6月

隨著楊受成(中國·阜寧)關愛老年中心的營運，本集團多名員工與英皇娛樂集團的藝人陳冰和龐雨濃以及阜寧縣地方政府的代表一同參加義工之旅並向長者們致以真摯的祝福。

5.2 Charitable Sponsorship and Donations

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

Dress Casual Day, October 2018

This year's theme was "WEAR I AM". Participating staff members each donated HK\$70 or more to The Community Chest of Hong Kong, and put on unique clothes for dress casual day. Employees joined the campaign and showed their support.



5.2 慈善贊助及捐贈

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

公益金便服日，2018年10月

本年主題為「色得著，做自己」，參與同事均捐出70港元或以上予香港公益金，於便服日穿上獨特的衣著。員工一同參與活動以示支持。

5. COMMUNITY INVOLVEMENT

參與社區活動

Emperor Capital Group x Emperor Watch & Jewellery Charity Sale, November 2018

The Group and Emperor Watch & Jewellery jointly held the Charity Sale. A total of HK\$1,415,000 was raised to support Enlighten – Action for Epilepsy; and the Epilepsy Team, Neurology, Department of Medicine and Therapeutics, The Chinese University of Hong Kong in their work for epilepsy patients.

英皇證券集團X英皇鐘錶珠寶慈善義賣會，2018年11月

本集團聯同英皇鐘錶珠寶攜手合辦慈善義賣會，籌得善款總值1,415,000港元，用作支持香港啟迪會及中文大學醫學院內科及藥物治療學系腦神經科腦癇病團隊針對腦癇症患者的工作。



UNICEF Charity Run 2018, November 2018

The employees participated in the 10km run of “UNICEF Charity Run 2018”, organised annually by UNICEF Hong Kong. The donation was sponsored by Emperor Foundation, supporting HIV/AIDS prevention work for children and families in developing countries, with an aim of eliminating HIV/AIDS infections among children.

聯合國兒童基金會慈善跑2018，2018年11月

員工參加由聯合國兒童基金會香港委員會每年舉辦的「聯合國兒童基金會慈善跑2018」之十公里賽跑。捐款由英皇慈善基金贊助，有關捐款用作發展中國家的兒童及家庭開展防治愛滋病毒工作，為兒童杜絕感染愛滋病。



5. COMMUNITY INVOLVEMENT

參與社區活動

Blood Donation Day, May 2019

Emperor Group and "Hong Kong Red Cross" jointly organized the Blood Donation Day. Employees donated blood to help people in need.



捐血日，2019年5月

英皇集團與香港紅十字會合辦舉行捐血日，員工一同捐血以幫助有需要的人士。

Festival Gifts Transfer Campaign

During the Chinese New Year and Mid-Autumn festivals, respectively, New Year gifts and mooncakes were collected from staff, and donated to underprivileged families through a charitable organisation.

節日食品回收轉贈活動

於農曆新年及中秋節期間，本集團向同事們收集賀年禮物及月餅，透過慈善機構轉贈至基層家庭。



5. COMMUNITY INVOLVEMENT

參與社區活動

5.3 Environmental Conservation

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

Earth Hour, March 2019

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

5.3 環境保護

本集團致力通過綠色教育宣揚環保意識。於本年度，主要環保舉措包括：

地球一小時，2019年3月

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



6. APPENDIX: HKEX ESG REPORTING GUIDE CONTENT INDEX

附錄：港交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section 章節
A. Environmental 環境		
Aspect A1: Emissions 層面A1：排放物		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste. 有關廢氣及溫室氣體排放、向水及土地的排污、有害及無害廢棄物的產生等的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	2.1
KPI A1.1 指標A1.1	The types of emissions and respective emissions data. 排放物種類及相關排放數據。	2.3
KPI A1.2 指標A1.2	Greenhouse gas emissions in total and intensity. 溫室氣體總排放量及密度。	2.3
KPI A1.3 指標A1.3	Total hazardous waste produced and intensity. 所產生有害廢棄物總量及密度。	Not applicable <i>In view of its business nature, the Group does not directly generate any hazardous waste.</i> 不適用 基於其業務性質，本集團不會直接產生大量有害廢棄物。
KPI A1.4 指標A1.4	Total non-hazardous waste produced and intensity. 所產生無害廢棄物總量及密度。	2.3
KPI A1.5 指標A1.5	Description of measures to mitigate emissions and results achieved. 描述減低排放量的措施及所得成果。	2.2
KPI A1.6 指標A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved. 描述處理有害及無害廢棄物的方法、減低產生量的措施及所得成果。	2.2
Aspect A2: Use of Resources 層面A2：資源使用		
General Disclosure 一般披露	Policies on the efficient use of resources, including energy, water and other raw materials. 有效使用資源(包括能源、水及其他原材料)的政策。	2.1, 2.2
KPI A2.1 指標A2.1	Direct and/or indirect energy consumption by type in total and intensity. 按類型劃分的直接及／或間接能源總消耗量及密度。	2.3
KPI A2.2 指標A2.2	Water consumption in total and intensity. 總耗水量及密度。	Not applicable <i>The Group operates in leased premises. The water consumption data for individual occupants is not available.</i> 不適用 本集團於租用物業營運，並無獲提供個別租戶的耗水數據。
KPI A2.3 指標A2.3	Description of energy use efficiency initiatives and results achieved. 描述能源使用效益計劃及所得成果。	2.2
KPI A2.4 指標A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved. 描述求取適用水源上可有任何問題，以及提升用水效益計劃及所得成果。	Not applicable <i>The Group did not encounter any problems in sourcing water for its daily operations.</i> 不適用 本集團日常營運中在覓水源方面並無遇到任何問題。

6. APPENDIX: HKEX ESG REPORTING GUIDE CONTENT INDEX

附錄：港交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section 章節
KPI A2.5 指標A2.5	Total packaging material used for finished products and, if applicable, with reference to per unit produced. 製成品所用包裝材料的總量及(如適用)每生產單位佔量。	Not applicable 不適用
Aspect A3: The Environment and Natural Resources 層面A3：環境及天然資源		
General Disclosure 一般披露	Policies on minimising the issuer's significant impact on the environment and natural resources. 減低發行人對環境及天然資源造成重大影響的政策。	2.2
KPI A3.1 指標A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them. 描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	2.2
B. Social 社會		
Employment and Labour Practices 僱傭及勞工常規		
Aspect B1: Employment 層面B1：僱傭		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare. 有關薪酬及解僱、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	3.2
KPI B1.1 指標B1.1	Total workforce by gender, employment type, age group and geographical region. 按性別、僱傭類型、年齡組別及地區劃分的僱員總數。	3.1
KPI B1.2 指標B1.2	Employee turnover rate by gender, age group and geographical region. 按性別、年齡組別及地區劃分的僱員流失比率。	3.1 briefing discussed 已概括說明
Aspect B2: Health and Safety 層面B2：健康與安全		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards. 有關提供安全工作環境及保障僱員避免職業性危害的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	3.3
KPI B2.1 指標B2.1	Number and rate of work-related fatalities. 因工作關係而死亡的人數及比率。	3.3
KPI B2.2 指標B2.2	Lost days due to work injury. 因工傷損失工作日數。	3.3 briefing discussed 已概括說明
KPI B2.3 指標B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored. 描述所採納的職業健康與安全措施，以及相關執行及監察方法。	3.3

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附錄：港交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section 章節
Aspect B3: Development and Training 層面B3：發展及培訓		
General Disclosure 一般披露	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. 有關提升僱員履行工作職責的知識及技能的政策。描述培訓活動。	3.6
KPI B3.1 指標B3.1	The percentage of employees trained by gender and employee category (e.g. senior management, middle management). 按性別及僱員類別(如高級管理層、中級管理層等)劃分的受訓僱員百分比。	3.6 briefing discussed 已概括說明
KPI B3.2 指標B3.2	The average training hours completed per employee by gender and employee category. 按性別及僱員類別劃分，每名僱員完成受訓的平均時數。	3.6 briefing discussed 已概括說明
Aspect B4: Labour Standards 層面B4：勞工準則		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour. 有關防止童工或強制勞工的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	3.2
KPI B4.1 指標B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	3.2
KPI B4.2 指標B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	3.2
Operating Practices 營運慣例		
Aspect B5: Supply Chain Management 層面B5：供應鏈管理		
General Disclosure 一般披露	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	4.1
KPI B5.1 指標B5.1	Number of suppliers by geographical region. 按地區劃分的供應商數目。	4.1 briefing discussed 已概括說明
KPI B5.2 指標B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored. 描述有關聘用供應商的慣例，向其執行有關慣例的供應商數目、以及有關慣例的執行及監察方法。	4.1 briefing discussed 已概括說明
Aspect B6: Product Responsibility 層面B6：產品責任		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress. 有關所提供產品和服務的健康與安全、廣告、標籤及私隱事宜以及補救方法的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	4.2

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Subject areas 主要範疇	Description 描述	Section 章節
KPI B6.1 指標B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons. 已售或已運送產品總數中因安全與健康理由而須回收的百分比。	Not applicable 不適用
KPI B6.2 指標B6.2	Number of products and service related complaints received and how they are dealt with. 接獲關於產品及服務的投訴數目以及應對方法。	4.2 briefing discussed 已概括說明
KPI B6.3 指標B6.3	Description of practices relating to observing and protecting intellectual property rights. 描述與維護及保障知識產權有關的慣例。	4.4
KPI B6.4 指標B6.4	Description of quality assurance process and recall procedures. 描述質量檢定過程及產品回收程序。	4.2
KPI B6.5 指標B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored. 描述消費者資料保障及私隱政策，以及相關執行及監察方法。	4.3
Aspect B7: Anti-Corruption 層面B7：反貪污		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering. 有關防止賄賂、勒索、欺詐及洗黑錢的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	4.5
KPI B7.1 指標B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting period and the outcomes of the cases. 於匯報期內對發行人或其僱員提出並已審結的貪污訴訟案件的數目及訴訟結果。	4.5
KPI B7.2 指標B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored. 描述防範措施及舉報程序，以及相關執行及監察方法。	4.5
Community 社區		
Aspect B8: Community Investment 層面B8：社區投資		
General Disclosure 一般披露	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests. 有關以社區參與來了解發行人營運所在社區需要和確保其業務活動會考慮社區利益的政策。	5
KPI B8.1 指標B8.1	Focus areas of contribution. 專注貢獻範疇。	5
KPI B8.2 指標B8.2	Resources contributed to the focus area. 在專注範疇所動用資源。	5



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