



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



2019 ESG REPORT
環境、社會和管治報告



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I. Report Preparation Instructions

一、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 2019 to 31 December 2019 (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:

(1) 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 International Financial Holdings Limited, etc.

Covering period of this report: from 1 January 2019 to 31 December 2019.

This report is published annually.

(2) 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.

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2019年1月1日至2019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：

(1) 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，弘業國際金融控股有限公司等。

本報告的時間範圍：2019年1月1日至2019年12月31日。

本報告每年發佈一次。

(2) 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。



I. Report Preparation Instructions

一、報告編製說明

(3) Information in this report

The financial information in this report is extracted from the 2019 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.

(4) 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>).

(3) 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2019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。

(4) 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>)和弘業期貨公司網站(<http://www.ftol.com.cn>)。





II. Company Profile and Financial Information

二、公司簡介與財務情況

1. 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. On 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 of Jiangsu Provincial People’s Government in 2003.

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 second-level subsidiaries Holly Capital Management Co., Ltd. (“Holly Capital”), and Holly International Financial Holdings Limited. 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 October 2019, China Securities Regulatory Commission (“CSRC”) announced the classification results of futures companies in 2019 and the Company was rated as a Class A of the A Category futures company.

1. 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。公司擁有二級子公司弘業資本管理有限公司(「弘業資本」)、弘業國際金融控股有限公司，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。2019年10月，中國證券監督管理委員會(「中國證監會」)公佈了2019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 二、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 corporate 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。

2. Financial information of the Company in 2019

As at 31 December 2019, the Group’s total assets amounted to RMB4.511 billion and net assets amounted to RMB1.599 billion. In 2019, the Group achieved operating income of RMB645 million, representing a year-on-year increase of 5%. Net profit attributable to shareholders of the Group was RMB21.27 million, representing a year-on-year decrease of 74%, mainly due to the decrease in handling fees and interest income, influenced by the provision in goodwill.

2. 2019年公司財務情況

截至2019年12月31日，本集團總資產人民幣45.11億元，淨資產人民幣15.99億元。2019年，本集團實現營業收入人民幣6.45億元，同比增長5%；實現歸屬於本集團股東的淨利潤人民幣2,127萬元，同比減少74%，主要是由於商譽減值的影響，手續費及利息收入的下降所致。





III. Corporate Governance 三、公司治理

1. 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.

1. 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 三、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 eleven 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 27 meetings, including 2 shareholders’ general meetings, 10 Board meetings, 6 meetings of the supervisory committee, 4 meetings of the audit committee, 2 meeting of the nomination committee, 2 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佈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，過去十一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，董事會會議10次，監事會會議6次，審核委員會會議4次，提名委員會會議2次，薪酬委員會會議2次，風險管理委員會會議1次，共計27次會議。





III. Corporate Governance 三、公司治理

2. 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 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 sends 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.

2. 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 三、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 2019, the Company disclosed a total of 45 documents including H-share announcements, notices and circulars.

3. 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, the Group discusses and reviews 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 forward your suggestions or share your views with the Group via email at 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。2019年，公司H股披露公告、通告、通函等文件共計45個。

3. 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，本集團讓主要權益人包括投資者和僱員參與定期會議，討論及檢討各個需要關注的領域，以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，確保投資者及時瞭解公司重大事項，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。





IV. Compliance and Risk Prevention 四、合規與風險防範

1. 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 organizational structure for compliance management. 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 financial compliance positions 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.

1. 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財務合規崗，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 四、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 2019, 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 2019, 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 2019, the Company focused on the philosophy of "giving priority to compliance, everyone in compliance, proactively to be in compliance, creating values from compliance", continued to foster the compliance awareness of all staffs, raise the compliance standard for all staffs and establish a sound and long-term compliance management mechanism through various forms of exclusive training of compliance, involving the implementation of laws and regulations, compliance management practices, integrity education, and warning and education of cases.

In 2019, the Company continued to carry out in-depth work on party members' conduct and uncorrupted government construction, actively practice the value orientation of "integrity and promising" (廉而有為), always focus on its main responsibility and main business, to create an uncorrupted political ecosystem, to comprehensively manage the party from the strict governance, and to provide a strong discipline guarantee.

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。

2019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。

2019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。

2019年，公司圍繞「合規優先、人人合規、主動合規、合規創造價值」的理念，繼續通過各種形式的合規專項培訓、涉及法律法規制度宣貫、合規管理實務、廉潔從業教育、案例警示教育內容，培育全員合規意識，提升全員合規展業水平，建立良好的合規管理長效機制。

2019年，公司持續深入開展黨風廉政建設工作，積極踐行「廉而有為」價值取向，始終聚焦主責主業，為營造風清氣正政治生態、推動公司全面從嚴治向縱深發展提供堅強有力的紀律保證。





IV. Compliance and Risk Prevention 四、合規與風險防範

The Company actively assisted the Party Committee to implement the main entity's responsibility to comprehensively manage the party from the strict governance by convening 2 conferences regarding uncorrupted government construction and anti-corruption, organised a total of 84 "Responsible for the Comprehensive Management of the Party" (《全面從嚴治黨責任書》) for the middle-level and above cadres of the Company, and implemented "Double Duty for One Post" (一崗雙責) in each level of the organisation. The "Discipline Inspection and Supervision Work Grid Management Work Plan (Trial)" (《紀檢監督工作網格化管理工作方案(試行)》) and "Special Supervisor Management Measures (Trial)" (《特約監督員管理辦法(試行)》) were formulated; the pilot units and special supervisors were clarified; the three-level linkage supervision management grid of the Discipline Inspection Committee, branches of each party, sub-branches and subsidiaries of the Company were actively built. Internal supervision resources were integrated to assist the Party Committee of the Company to establish the uncorrupted government construction and anti-corruption coordination team, to promote the sharing of supervision resources of relevant functional departments, and to supervise the sharing of inspection results.

Political supervision was highlighted to continuously promote political theories and knowledge, such as the spirit of comrade Xi Jinping's important speech and the spirit of important meetings, and to further enhance the political literacy and theoretical level of all party members and leading cadres. The theme education activities of "Stay True to Our Original Aspiration and Keep Our Mission Firmly in Mind" were continuously urged to be carried out by the Company, and a "look back" to the implementation of the theme education was organised to ensure the practical implementation of various missions. The Company is adhered to supervise the integrity and compliance of staffs under the scope of the regulations of the "Provisions on the Integrity Practices of the Securities and Futures Agency and its Employees" (《證券期貨經營機構及其工作人員廉潔從業規定》) of the Securities and Futures Commission. The Discipline Inspection Committee carried out special supervision work such as troubleshooting and remediation activities in production safety and integrity risk investigation, prevention and control work. Daily supervision work, including the selection and appointment of cadres, integrity testing before appointing cadres, feedback of the field staff's diligence and integrity, duty on holidays, storage of vehicles, and reporting were continuously carried out.

積極協助黨委落實全面從嚴治黨主體責任，召開2次黨風廉政建設暨反腐倡廉專題會議，組織公司中層以上幹部共簽訂了84份《全面從嚴治黨責任書》，層層壓實「一崗雙責」。制訂《紀檢監督工作網格化管理工作方案(試行)》《特約監督員管理辦法(試行)》，明確試點單位、聘任特約監督員，積極打造公司紀委、各黨支部、分支機構和子公司三級聯動的監督管理網格。整合內部監督資源，協助公司黨委成立黨風廉政建設和反腐敗工作協調小組，推動相關職能部門監督資源共享、監督檢查成果共用。

突出政治監督，持續推動習近平同志重要講話精神及重要會議精神等政治理論知識學習，進一步提高全體黨員和領導幹部的政治素養和理論水平。持續督促公司開展「不忘初心、牢記使命」主題教育活動，並組織對主題教育整改落實情況開展「回頭看」，確保各項任務落到實處。堅持在證監會《證券期貨經營機構及其工作人員廉潔從業規定》的規定範圍內監督從業人員廉潔合規展業。公司紀委開展安全生產大排查大整治專項監督工作和廉潔風險排查防控等專項監督工作；持續開展幹部選拔任用、幹部任前考廉、外勤人員勤政廉政情況反饋、節假日值班、公車封存、信訪舉報平台等日常監督工作。



IV. Compliance and Risk Prevention 四、合規與風險防範

In 2019, the Company abolished the Department of Discipline Inspection and Supervision and established the Working Department of Discipline Inspection. After the system reformation, the responsibility positioning and system mechanism of discipline work were clarified to further assist the party committee of the Company to comprehensively manage the party from the strict governance and to lay a foundation for better performance of supervision responsibility.

In-depth education propaganda of integrity governance was promoted and a culture of integrity was built. A site visit education at Wang Hebo Memorial Education Base was organised for a total of 74 cadres at middle level and above, to watch warning education videos and jointly carry out integrity educational training with Ministry of Compliance and Risk Control. By sending the weekly notification of “Integrity Tips” (清廉錦囊) and the monthly column of “Love Integrity” (愛廉說), through meetings and various online methods to push typical case notifications, various documents and information regarding integrity and festival integrity information builds a solid line of defence for the cadres.

2. 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 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.

2019年，公司撤銷紀檢監察工作審計部，設立紀檢工作部。體制改革後，明確了紀檢工作的職責定位及制度機制，為進一步協助公司黨委推進全面從嚴治黨、更好地履行監督責任奠定基礎。

深入推進廉政宣傳教育，厚植廉潔文化。組織中層以上領導幹部共74人赴王荷波紀念館教育基地參觀學習，集中觀看警示教育片，與合規風控部聯合開展廉潔從業教育培訓。每周推送「清廉錦囊」、每月推送「愛廉說」專欄，通過會議及多種線上方式推送典型案例通報、有關廉潔方面的各類文件資料和節日廉政信息，築牢幹部思想防線。

2. 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－相關業務部門、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。





IV. Compliance and Risk Prevention

四、合規與風險防範

In 2019, 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, identification of customers and account information specification and other works were enhanced in accordance with the regulatory requirements in the PBOC, CSRC, CBRC and CIRC [2007] order No. 2 and Yin Ban Fa [2018] No. 130 Document by the People's Bank of China.

In 2019, the Company strengthened the construction of the anti-money laundering system, and refined the Company's anti-money laundering business operation process in response to the changes in regulatory policies in accordance with the regulatory requirements and the Company's actual situation, and improved 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 assessment of the various departments and posts, and the one-vote veto system is implemented; if the anti-money laundering work is substandard, the responsible person will be disqualified from 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 disqualified from being appraised as an outstanding department of the year.

2019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瞭解，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，按照一行三會[2007]第2號令和中國人民銀行銀辦發[2018]130號文等監管要求，加強了客戶身份識別和賬戶信息規範等工作。

2019年公司加強了反洗錢制度的健全完善工作，針對監管政策規定的變化，梳理完善公司反洗錢業務操作流程，結合監管要求與公司實際情況修訂完善了《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。



IV. Compliance and Risk Prevention 四、合規與風險防範

In order to adapt to the new situation of anti-money laundering, the Company continued to increase investment in technology and continuously optimised the anti-money laundering module in the customer relationship management (CRM) marketing services software. The system sectors include 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 index system and improving 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.

In order to raise awareness and theoretical knowledge of all staffs on anti-money laundering, in 2019, 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 organise the update and upgrade of anti-money laundering system, 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.

為了適應新形勢下的反洗錢工作，公司持續在技術上加大投入，不斷優化營銷服務軟件客戶關係管理(CRM)系統反洗錢模塊，系統模塊包括身份識別、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，通過梳理指標體系、完善操作流程，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。

為了提升全員的反洗錢意識與理論水平，2019年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，組織進行反洗錢系統的更新升級工作，為進一步提升系統運行的穩定性，確保公司充分履行反洗法定義務和社會責任奠定了基礎。



IV. Compliance and Risk Prevention

四、合規與風險防範

3. Establish effective anti-corruption mechanisms

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

In 2019, the Company continued to carry out in-depth work on party members' conduct and uncorrupted government construction, thereby actively practising the value orientation of "integrity and promising" (廉而有為). It always focuses on its main responsibility and main business, to create an uncorrupted political ecosystem, to comprehensively manage the party from the strict governance, and to provide a strong discipline guarantee. The Company actively assisted the Party Committee to implement the main entity's responsibility to comprehensively manage the party from the strict governance by convening 2 conferences regarding uncorrupted government construction and anti-corruption, organised a total of 84 "Responsible for the Comprehensive Management of the Party" (《全面從嚴治黨責任書》) for the middle-level and above cadres of the Company, and implemented "Double Duty for One Post" (一崗雙責) in each level of the organisation.

By further implementing the main entity's responsibility, the party committee of the Company formulated working systems including the "List of Performing the Main Entity's Responsibility to Comprehensively Manage the Party from Strict Governance by the Party Committee" (《黨委履行全面從嚴治黨主體責任清單》), the "Key Points of Party Building in 2019" (《2019年度黨建工作要點》), the "Theoretical Center Group Learning System of the Party Committee" (《黨委理論中心組學習制度》), the Study Plan of 2019 (2019年度學習計劃) and the "Interim Measures for Inspection Work" (《督查工作暫行辦法》). The Discipline Inspection Committee of the Company investigated and formulated working systems such as the "List of Performing Inspection Responsibility to Comprehensively Manage the Party from Strict Governance by the Discipline Inspection Committee of Holly Futures of 2019" (《弘業期貨紀委2019年度履行全面從嚴治黨監督責任清單》), to strictly implement political responsibility.

3. 建立健全反貪污機制

1) 推進、落實黨風廉政建設責任制

2019年，公司持續深入開展黨風廉政建設工作，積極踐行「廉而有為」價值取向，始終聚焦主責主業，為營造風清氣正政治生態、推動公司全面從嚴治黨向縱深發展提供堅強有力的紀律保證。積極協助黨委落實全面從嚴治黨主體責任，召開2次黨風廉政建設暨反腐倡廉專題會議，組織公司中層以上幹部共簽訂了84份《全面從嚴治黨責任書》，層層壓實「一崗雙責」。

進一步落實黨委主體責任，公司黨委研究制定《黨委履行全面從嚴治黨主體責任清單》《2019年度黨建工作要點》《黨委理論中心組學習制度》及2019年度學習計劃、《督查工作暫行辦法》等工作制度；公司紀委研究制定《弘業期貨紀委2019年度履行全面從嚴治黨監督責任清單》等工作制度，壓緊壓實政治責任。



IV. Compliance and Risk Prevention 四、合規與風險防範

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

In 2019, a site visit education at Wang Hebo Memorial Education Base was organised for a total of 74 cadres of the Company, to study the “Accountability Provisions of the CPC” (《中國共產黨問責條例》), “Educational Work Provisions for the Members of the CPC” (《中國共產黨黨員教育工作條例》), etc. By sending the weekly notification of “Integrity Tips – answers to frequently asked questions on the party regulations and party discipline” (清廉錦囊——黨規黨紀常見疑惑問題解答), and taking “Love Integrity” (愛廉說) column as a promotion window to push classic integrity stories, integrity quotes and integrity cartoons monthly so as to deliver the positive energy of integrity. Through meetings, “House of Integrity Wind” (清風之家), a WeChat group of the Discipline Inspection Committee and various online methods to push typical case notifications, various documents and information regarding integrity and festival integrity information builds a solid line of defence for the cadres and a culture of integrity.

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

In 2019, the Working Department of Discipline Inspection published a whistleblowing email address, telephone numbers for disciplinary inspection and supervision and whistleblowing address on the Company website. The Company also provides supervision and reporting box at its headquarters. The use of email, internet and telephone “Trinity” whistleblowing platform helps to ensure a smooth flow of petitioning and whistleblowing channels.

2) 打造多維平台，強化廉政宣傳教育和廉潔文化建設

2019年，組織公司領導幹部共74人赴王荷波紀念館教育基地參觀學習，組織黨員幹部學習《中國共產黨問責條例》《中國共產黨黨員教育工作條例》等；每周推送「清廉錦囊—黨規黨紀常見疑惑問題解答」；以「愛廉說」專欄為宣傳窗口，每月推送經典廉潔故事、廉政格言及清廉漫畫等內容，傳遞廉潔正能量。通過會議、紀委「清風之家」微信群及多種線上方式推送典型案例通報、有關廉潔的各類文件資料和節日廉政信息，築牢幹部思想防線，厚植廉潔文化。

3) 暢通信訪舉報渠道，提高信訪舉報工作的效率

2019年紀檢工作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，以信、網、電「三位一體」舉報平台確保信訪舉報渠道的暢通。





IV. Compliance and Risk Prevention

四、合規與風險防範

4) Perform supervisory duties and disciplined functions

Political supervision was highlighted to continuously promote political theories and knowledge, such as the spirit of comrade Xi Jinping's important speech and the spirit of important meetings, and to further enhance the political literacy and theoretical level of all party members and leading cadres. The theme education activities of "Stay True to Our Original Aspiration and Keep Our Mission Firmly in Mind" were continuously urged to be carried out by the Company, and a "look back" to the implementation of the theme education was organised to ensure the practical implementation of various missions. By adhering to the requirements of strengthening the construction of the Discipline Inspection Committee of the holding group, formalism and bureaucratic centralized rectification work were promoted continuously and completed. The Company is adhered to supervise the integrity and compliance of staffs under the scope of the regulations of the "Provisions on the Integrity Practices of the Securities and Futures Agency and its Employees" (《證券期貨經營機構及其工作人員廉潔從業規定》) of the Securities and Futures Commission. The Discipline Inspection Committee adhered to perform daily supervision work, including the selection and appointment of cadres, carry out integrity testing before appointing cadres, feedback of the field staff's diligence and integrity, duty on holidays and storage of official business vehicles.

5) Strength the team construction and complete the system reform of discipline authority

In 2019, the Company abolished the Department of Discipline Inspection and Supervision and established the Working Department of Discipline Inspection. After the system reformation, the responsibility positioning and system mechanism of discipline work were clarified to further assist the party committee of the Company to comprehensively promote managing the party from the strict governance and to lay a foundation for better performance of supervision responsibility.

4) 履行監督職責，用好執紀職能

突出政治監督，持續推動習近平同志重要講話精神及重要會議精神等政治理論知識學習，進一步提高全體黨員和領導幹部的政治素養和理論水平。持續督促公司開展「不忘初心、牢記使命」主題教育活動，並組織對主題教育整改落實情況開展「回頭看」，確保各項任務落到實處。緊緊圍繞控股集團紀委加強作風建設的要求，不斷推進形式主義、官僚主義集中整治工作。堅持在證監會《證券期貨經營機構及其工作人員廉潔從業規定》的規定範圍內監督從業人員廉潔合規展業。公司紀委堅持在幹部選拔任用、幹部任前考廉、外勤人員勤政廉潔情況反饋、節假日值班、公車封存監督等方面做好日常監督工作。

5) 強化隊伍建設，完成紀檢機構體制改革

2019年，公司撤銷紀檢監察工作審計部，設立紀檢工作部。體制改革後，明確了紀檢工作的職責定位及制度機制，為進一步協助公司黨委推進全面從嚴治黨、更好地履行監督責任奠定基礎。





IV. Compliance and Risk Prevention 四、合規與風險防範

6) Supervision resources sharing and promote the sinking of supervision power

In 2019, the “Discipline Inspection and Supervision Work Grid Management Work Plan (Trial)” (《紀檢監督工作網格化管理工作方案(試行)》) and “Special Supervisor Management Measures (Trial)” (《特約監督員管理辦法(試行)》) were formulated, the pilot units and special supervisors were clarified, the three-level linkage supervision management grid of the Discipline Inspection Committee, branches of each party, sub-branches and subsidiaries of the Company were actively built. Internal supervision resources were integrated to establish the uncorrupted government construction and anti-corruption coordination team, promote the sharing of supervision resources of relevant functional departments, and supervise the sharing of inspection results.

7) Focus on special works and perform in-depth supervision responsibility

In 2019, the Working Department of Discipline Inspection carried out special supervision work such as troubleshooting and remediation activities in production safety and surrounded the six perspectives on production safety to request the responsible departments to carry out self-inspection. Through means such as on-site reminders, mail supervisions and look backs, relevant departments were urged to practically perform its responsibility and eliminate safety hazards.

Integrity risk investigations and prevention and control works were actively carried out. Through mobilization and deployment, refinement and discussion on each integrity risk point, extensively soliciting opinions and multiple rounds of modification and improvement, the “Integrity Risk Prevention and Control Catalog” (《廉潔風險防控目錄表》) was formed to lay a foundation for the implementation and execution of prevention and control measures of integrity risk.

8) Audit on resigned personnel

In accordance with the audit work plan of 2019, 10 resignation audits were completed, of which, there were 1 resignation audit on managers from subsidiary, 7 resignation audits on managers from branches and 2 resignation audits on managers from business department of the head office.

6) 共享監督資源，推動監督力量下沉

2019年，制訂《紀檢監督工作網格化管理工作方案(試行)》《特約監督員管理辦法(試行)》，明確試點單位、聘任特約監督員，積極打造公司紀委、各黨支部、分支機構和子公司三級聯動的監督管理網格。整合內部監督資源，成立黨風廉政建設和反腐敗工作協調小組，推動相關職能部門監督資源共享、監督檢查成果共用。

7) 聚焦專項工作，深入履行監督職責

2019年，公司紀檢工作部開展安全生產大排查大整治專項監督工作，圍繞安全生產的六大方面要求責任部門開展自查，通過現場提醒、郵件督辦、回頭看等方式，督促相關部門切實履行職責，消除安全隱患。

積極開展廉潔風險排查防控工作，經過動員部署、逐個梳理討論廉潔風險點、廣泛徵求意見、多輪修改完善，最終形成《廉潔風險防控目錄表》，為後期廉潔風險防控措施落地執行奠定基礎。

8) 離任審計

根據2019年度審計工作計劃，完成離任審計10項，其中，子公司負責人離任審計1項、分支機構負責人離任審計7項、總部業務部門負責人離任審計2項。



IV. Compliance and Risk Prevention

四、合規與風險防範

9) Economic responsibility audit

In accordance with the audit work plan of 2019, 2 economic responsibility audits on managers from branches were completed.

10) Special audit

In accordance with the audit work plan of 2019, 7 special audits were completed, involving special audits on intermediary businesses, securities investment businesses, labour union funds and anti-money laundering.

11) Rectify audit and urge supervision

The follow-up inspection of the rectification and improvement of the audit problems in 2019 was fully covered, of which, a “look back” rectification and improvement on the audit of 1 branch was carried out.

4. Adherence to tax payment according to laws

The Company has always believed that tax payment according to the 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 2019, Holly Futures paid taxes of RMB10.34 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 2019, Holly Futures contributed RMB180,200 to the Futures Investor Protection Fund.

9) 經濟責任審計

根據2019年度審計工作計劃，完成分支機構負責人經濟責任審計2項。

10) 專項審計

根據2019年度審計工作計劃，完成專項審計工作7項，內容涉及居間業務、證券投資業務、工會經費和反洗錢等專項審計。

11) 審計整改督促跟蹤

對2019年審計問題整改進度跟蹤督查做到全覆蓋，其中，對1家分支機構開展審計整改「回頭看」。

4. 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。2019年全年，弘業期貨共繳納各項稅金合計人民幣1,034萬元。

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。2019年，弘業期貨繳納期貨投資者保障基金人民幣18.02萬元。



V. Investor Rights and Interests Protection and Supplier Management 五、投資者權益保障與供應商管理

1. Improve the internet platform construction to enrich customer experience

The Company uses “Internet +” as an opportunity to improve customer experience and service quality, thus developing 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) runs stably after the launch, and the functions are gradually optimised 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.

1. 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」手機客戶端上線後穩定運行，功能逐步優化，向客戶提供一體化、多樣化的金融服務。

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，着力打造大研究體系，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 五、投資者權益保障與供應商管理

2. Provide diversified services for customers

The Company has introduced various types of asset management programs for investors with different risk appetites, which can assure the investors with lower risk appetite of obtaining steady investment income and provide potential high-yield products for investors with higher risk appetite. Asset management business is undergoing a scale-up and diversified transformation. The Company will launch value-added customer services by taking investment managers and investment capabilities as the key concerns, with “single” specialized investment management and “integrated” products as the starting points, as well as placing importance on nurturing the fund managers and continuously taking the initiative move to improve the asset management level of the 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 CTA, FOF, MOM, QDII, fixed income+, private placement and other products; put more effort on the research and exploration on different industries, especially the emerging industries, and design and customise 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.

2. 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獲得穩健投資收益的需求，也能為較高風險偏好投資者設計和提供獲取潛在高收益的產品。公司資產管理業務向規模化和多樣化轉型，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「單一」專戶資管和「集合」產品兩方面切入，注重孵化基金經理，不斷提升主動管理團隊的資產管理水平。充分發揮期貨公司在衍生品研發、風控等方面的優勢，著力打造期貨、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CTA、FOF、MOM、固收+、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和定制產品，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 五、投資者權益保障與供應商管理

3. 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, as well as guiding investors to participate in securities investment rationally and protecting 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.

3. 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。

公司充分瞭解客戶的身份、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，根據瞭解的金融產品信息，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 五、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 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

五、投資者權益保障與供應商管理

4. 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 prohibited from disclosing, trading and abusing 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.

5. 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 revised the Measures for Administration of Customer Complaint Handling of Holly Futures 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.

4. 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。

5. 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佈的《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年修訂了《弘業期貨客戶投訴處理辦法》。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 五、投資者權益保障與供應商管理

After receiving a customer complaint, the Company conducts an investigation to identify 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 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 2019, there are 3 complaints received by the Company, involving service quality and complaints on mandatory liquidation, respectively. After receiving a customer complaint, the Company strictly conducts handling for the complaint in accordance with the Measures for Administration of Customer Complaint Handling of Holly Futures Co., Ltd., the department involved will provide an explanation to the customers, try to obtain their understanding on the matter, and positively response and solve the customers' demands.

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。

2019年公司受理3件客戶投訴，分別涉及服務質量、強平投訴。在接到客戶投訴後，公司嚴格按照《弘業期貨客戶投訴處理辦法》進行投訴的處理，由被投訴部門向客戶進行解釋，盡力取得諒解，並積極應對和解決客戶的訴求。



V. Investor Rights and Interests Protection and Supplier Management 五、投資者權益保障與供應商管理

6. 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.

7. Supplier management (Given its business nature, the Company has no major suppliers, the followings are suppliers in IT procurement)

Number of suppliers by geographical region	
Region	Number of suppliers
Yangtze River Delta	62
Pearl River Delta	4
Pan Bohai Rim	4
Central	5
Northeast	0
Western	1
Other	0

6. 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。

7. 供應商管理（由於業務性質，公司無主要供貨商，以下為IT採購方面供應商）

按地區劃分的供應商數目	
地區	供應商數目(家)
長江三角洲地區	62
珠江三角洲地區	4
環渤海地區	4
中部地區	5
東北地區	0
西部地區	1
其他地區	0





V. Investor Rights and Interests Protection and Supplier Management 五、投資者權益保障與供應商管理

At the end of 2019, the Group entered into the purchase contracts with 76 suppliers. The Company strengthened standardised management to step up contract performance management of suppliers, thereby significantly improving the quality of suppliers' performance.

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.

2019年末，本集團與境內76家供應商簽訂了採購合同。本公司加強採購管理的規範化和標準化建設，強化對供應商的履約管理，使得供應商履約質量顯著提升。

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 六、促進社會經濟發展

The innovative “five in one” service real economic model was formulated by the Company, which focuses on the construction of industrial customer service system with three main functions of “focus, special and value-added”. According to the corporate characteristics in different industrial chains, six “five in one” product divisions including building industrial product, black building material, non-ferrous metal, agricultural product, etc. were established to accurately focus on real economy and implement “service at the door”.

On 2 November 2019, the Jiangsu Provincial People’s Government convened the 2nd Soviet-Hong Kong Integration Development Summit at Nanjing Jinling Hotel. Zhou Jianqiu, general manager of the Company was invited to participate.

On the Soviet-Hong Kong “One Belt One Road” business opportunity forum, Holly Futures and Holly Su Futures (Hongkong) Co., Limited (now known as Holly International Financial Holdings Limited, hereinafter “Holly Su Futures”) entered into the letter of intent. The event received active concern from relevant provincial units. Leaders of provincial development and reform commissions and provincial financial supervision authority attended and witnessed the signing of contract.

公司創新制定「五位一體」服務實體經濟模式，着力構建具有「聚焦、特別、增值」三大功能的產業客戶服務體系。根據不同產業鏈的企業特點，組建工業品、黑色建材、有色、能化等6個「五位一體」品種事業部，精準聚焦實體經濟，實行「送服務上門」。

2019年11月2日，江蘇省人民政府於南京金陵飯店召開第二屆蘇港融合發展峰會。公司總經理周劍秋受邀參加。

在蘇港携手「一帶一路」商機論壇上，弘業期貨、弘蘇期貨(香港)有限公司(現更名為弘業國際金融控股有限公司，以下簡稱「弘蘇期貨」)簽訂合作意向書。本次活動受到省有關單位積極關注，省發改委、省金融監管局領導親自出席並見證。



As an H-share company, the Company and its offshore subsidiary, Holly International Financial Holdings Limited, will build their foundation on the high-end platform of the Jiangsu-Hong Kong Summit to provide more professional and all-rounded services to cater for Jiangsu enterprise enterprises to enter the international market, which in turn is aimed at taking greater steps in the international layout.

作為H股上市公司，公司及其境外子公司弘業國際金融控股有限公司將立足蘇港融合發展峰會這一高端平台，為江蘇企業走向國際市場提供更加專業化、全方位的服務，並以此為契機，在國際化佈局上邁出更大步伐。



VII. Foster Staff Growth 七、促進員工成長

1. 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.

1. 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本，公司公平對待及尊重員工。公司不斷拓寬引人渠道，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、轉職、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晉升制度，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 七、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. The Company also regularly organises the "Receiving Day for Entry Level Employees" activity. Meanwhile, 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，讓公司更多地瞭解他們離職的原因，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。公司還定期組織召開「基層員工接待日」活動。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 七、促進員工成長

Employees' Employment Performance Indicator

員工僱傭績效指標

	Indicator 指標	Unit 單位	2019 2019年
Total number of employees 員工總數			
By gender 按性別劃分	Male 男性	person 人	373
	Female 女性	person 人	284
Classified by employment type 按僱傭類型劃分	Contract employees 合同制員工	person 人	657
	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	236
	31 years old – 40 years old 31歲 – 40歲	person 人	327
	41 years old – 50 years old 41歲 – 50歲	person 人	78
	51 years old – 59 years old 51歲 – 59歲	person 人	16
	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	460
	Employees outside Jiangsu 江蘇省外員工	person 人	197

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 七、促進員工成長

	Indicator 指標	Unit 單位	2019 2019年
Employee turnover 員工流失人數			
By gender 按性別劃分	Male 男性	person 人	58
	Female 女性	person 人	40
By age group 按年齡組別劃分	Below 30 years old 30歲以下	person 人	63
	31 years old – 40 years old 31歲–40歲	person 人	34
	41 years old – 50 years old 41歲–50歲	person 人	1
	51 years old – 59 years old 51歲–59歲	person 人	0
	Above 60 years old 60歲以上	person 人	0
	By region 按地區劃分	Domestic 境內	person 人
Overseas 境外		person 人	0

2. 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.

2. 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 七、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 established training activities. 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，並設工間操等活動。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，更好的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 七、促進員工成長

Occupational Health and Safety Indicator

職業健康與安全績效指標

	Unit	2019
	單位	2019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	0

3. 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 RMB343 thousand for the whole year of 2019. 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 2019.

3. 注重員工培訓與提升

為不斷提升公司幹部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。2019年培訓費用累計投入人民幣34.3萬元。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2019年公司組織的網絡課堂培訓項目。





VII. Foster Staff Growth 七、促進員工成長

員工培訓績效指標

	Indicator 指標	Unit 單位	2019 2019年
Number of trained employees by gender 按性別劃分的受訓僱員人數	Male 男性	person 人	373
	Female 女性	person 人	284
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	52
	Junior staff 基層員工	person 人	598
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	9,700
	Female 女性員工	hour 小時	9,077
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	370
	Middle management 中級管理層	hour 小時	2,009
	Junior staff 基層員工	hour 小時	16,398

4. Give full play to the Labour Union

In 2019, 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 of Holly Futures adopted the theme education of "Stay true to its mission, keeping its goals in mind" as the basis, 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:

4. 充分發揮工會的積極作用

2019年，在公司領導班子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，弘業工會以「不忘初心，牢記使命」主題教育為基準，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。為增強企業凝聚力和戰鬥力，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 七、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 2019, the Labour Union held a reading festival with the theme of “Read-for-pleasure, diligence, proactive thinking and act-for-joy – Reading Festival”. In previous period, the Labour Union of Holly Futures sent notifications about the Reading Festival activity for multiple times by using tools such as emails and QQ. On 23 April, headquarters of Holly Futures and nearly 700 employees in major cities across the country jointly participated in the commencement ceremony of the Reading Festival. During the “You read, I pay” section, apart from receiving the regular book coupons for the Reading Festival, the employees also received “A Message to Garcia”, the special gift from the leaders of the enterprise unexpectedly. The leaders of the Company sent their earnestly hopes to the employees: everyone may have a spontaneous spirit to take the initiative to complete the work and become the one who sent the letter to Garcia. In this way, the enterprise gains talent and the talent gains growth and evolution.

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2019年「4•23世界讀書日」來臨之際，工會舉辦以「悅讀·勤學·善思·樂行—讀書節」為主題的讀書節活動。前期，弘業期貨工會利用電子郵件、QQ等工具，多次發出「讀書節」活動通知。4月23日，弘業期貨總部及分佈在全國各大城市的近700名員工共同參加讀書節啟動儀式。在「你讀書我買單」環節，職工們除了領取常規的「讀書節」購書券外，還意外收穫了企業領導層的特別贈書—《致加西亞的信》。公司領導對員工寄予殷切希望：每個人都能擁有自動自發的精神，主動積極完成工作，成為那個把信送給加西亞的人。這樣，企業獲得人才，人才獲得成長和蛻變。

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 七、促進員工成長

(1) Effectively implementing the system of the congress of employee representatives

Relevant systems of the congress of employee representatives shall be seriously implemented to strengthen the construction of corporate democracy. By leveraging the system of the congress of employee representatives, a platform for employees to participate in democratic management and channels to express interests and demands shall be established to secure the employees' discussion on major matters of the Company' development, employees' acknowledgment on major issues of the Company's production and operation as well as employees' participation in major issues concerning employees' interests. Throughout the year, the Labour Union convened 6 employee representative meetings, extensively listened to employees' opinions on the operation and management of the enterprise and relevant major matters concerning the employees' interests. 10 resolutions were considered and approved, including "Measures for the Management of Revenues and Expenditures of the Labour Union of Holly Futures Co., Ltd.", "Rules on Punishment for Violation of Regulations (Trial)", "Resolution in relation to the Adjustment on Assessment Criteria for Business Staff", etc. The convention of congress of employee representatives fully secured employees' right to know, to participate, to express and to supervise, also fully mobilised employees' production initiative and provided a platform for employees to participate in the democratic management of the enterprise.

(2) Commencing the Receiving Day activity for entry level employees

During the year, the Labour Union, as the lead, convened the Receiving Day activity for entry level employees twice. Through the activity, a platform for the leaders of the Company and the entry level employees to conduct face-to-face communication was built. The entry level employees reflected issues which involve improvement on the working environment, difficulties encountered at work, providing ideas for the Company's development and other perspectives. In response to the issues raised, the responsible leader promptly resolved issues which could be solved on the spot, for those could not be solved on the spot, the acceptance departments and processing deadlines were clarified after the meeting to ensure each issue was delivered and being handled.

(1) 有效落實職代會制度

認真落實職工代表大會相關制度，加強企業民主建設。依托職代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。全年工會組織召開職工代表大會6次，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。審議通過了《弘業期貨股份有限公司工會經費收支管理辦法》《員工違規處分規定（試行）》《關於調整業務人員考核標準的議案》等10項議案。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) 開展基層員工接待日活動

年內工會共牽頭召開基層員工接待日活動2次。通過活動，搭建起公司領導層和基層員工面對面的交流的平台。基層員工反映問題涉及工作環境改善、工作生活中遇到的困難、對公司發展建言獻策等諸多方面。針對提出的問題，負責接待的領導現場能解決的予以迅速解決，對於現場不能解決的問題會後均明確了受理部門和處理期限，確保件件有落實，事事有回音。





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(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 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 needy staff. At the same time, condolences from the Labour Union of the holding group have been applied for 3 needy staffs. In the future, the Labour Union will continue to explore targeted special assistance measures and expand its help and support, so that love and support from 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 more than 40 branches in cities across the country, gifts were also distributed to staff as an appreciative gesture from headquarters.

(5) Organising health clinics for employees

In order to care for employees' health, the Company invited the health managers from the Health Research Institute of Traditional Chinese Medicine to the Company to carry out consultation with Chinese medicine practitioners, the physiotherapy activities with the theme of "Care for the employees, care for the health", which aims to help employees get rid of occupational diseases and strengthen their physique so as to get on their work in a better way.

(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，在公司年會期間總經理周劍秋、工會主席賈國榮等親自向困難員工發放慰問金(人民幣2,000元/人)並贈送慰問品。同時，為3名困難職工申請了控股集團工會慰問。未來，工會將以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40多個城市營業部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。

(5) 為員工舉辦健康義診

為關愛職工健康，公司邀請中醫研究院健康研究所健康管理師來公司進行主題為「關愛職工•關注健康」的中醫問診診療活動。旨在幫助員工擺脫職業病困擾，強健體魄，更好地投入工作。





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(6) Commencing “Deliver Coolness” activity during summer times

During the midsummer period, the Company’s Labour Unions equipped all branches of the headquarters and other branches with heatstroke prevention and cooling kits, refreshing supplies were distributed in place to the branches during the mid-year summary meeting. In August, the Company’s team members braved the heat, accompanied by the Labour Union staffs, went to 8 branches to carry out cool activities in the summer, 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 process, 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.

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 this year, 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 boost the spirit of the employees which shows the enterprise’s high-spiritedness and vigorous vitality.

(1) Commenced a series of event of “Goddess Day” by the “38 Women’s Day” organisation

On 9 March 2019, the Labour Union of Holly Futures organised a series of event of the “Goddess Day” to enrich the cultural life of female employees, which included hiking in Lishui Tiansheng Bridge View Area, strawberry picking in Fu Jia Bian and floral design. While sending holiday blessings to female employees, the event further created a good convention on caring women and let everyone spend a memorable and meaningful Women’s Day.

(6) 在夏日酷暑時期開展「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，對分支機構的清涼用品在年中總結大會期間分發到位。在8月份，公司班子成員冒著酷暑，在工會工作人員的陪同下，遠赴8家分支機構開展夏日送清涼的活動，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。

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、娶、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，今年以來，工會組織舉辦了多項大型職工文體活動，提振了員工精神，展現了企業昂揚向上，銳不可當的勃勃生氣。

(1) 「38婦女節」組織開展「女神節」系列活動

2019年3月9日，為豐富女職工文化生活，弘業期貨工會組織了「女神節」系列活動，活動包括，溧水天生橋景區麗人踏青、傅家邊採草莓和「女神」插花活動。本次活動在向女員工們送去節日祝福的同時，進一步營造了關愛女性的良好風尚，讓大家度過了一個難忘的、有意義的婦女節。





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(2) Organised “15 March Investor Protection Health Running Event” for employees’ participation

On 10 March 2019, the Company, being the representative of futures company and the co-organisation unit, organised the “15 March Investor Running Event for health” for employees. The theme of the health running event is “Pursuing the Chinese Dream, Be a Rational Investor”. The participated athletes departed from the “eyes of Nanjing” pedestrian bridge and returned at Bailu Square for a total distance of 10 kilometres. In the end, Yan Zhigao of the Company won the eleventh place in the competition group. With the responsibility of safeguarding the stability of the financial market, the Company performed the obligation to secure the interests of small and medium-sized investors by taking this event as the opportunity to actively guide investors to establish the correct concept of financial consumption, so as to achieve comprehensive right to know, positive executive power and legal authority, and contribute its power to the creation of a harmonious, orderly, stable and healthy ecological environment of capital market in Jiangsu.

(3) Organised the “Spring hiking – Huang Longxian” activity

On 13 April, an approximately 60 cadres of the Company went to Huang Longxian, Jiangning District to carry out a spring hiking activity organised by the Labour Union. Under the leadership of Zhou Jianqiu, the general manager, and Jia Guorong, chairman of the Labour Union and deputy general manager, they came to the picturesque, beautiful countryside – Huang Longxian. The colleagues visited the tea field, had a tour in the characteristic pedestrian street, and enjoyed the views on the hillside, bamboo forest and the reservoir. During the activity, some of the party committee members also visited the local community’s party member service centre and carried out exchange studies on how to better commence the establishment of party committee. The hiking activity helps the employees to relax physically and mentally, and to have a closer relationship to devote themselves into the next stage of work in a better condition.

(4) Commencing the Spring Health Walk activity in Xuanwu Lake

In order to enrich the cultural and sports life of the Company’s employees, promote physical exercise and enhance physical fitness of the employees, on 27 April 2019, the Labour Union organised the “spring walk in Xuanwu, enjoy the scenery of the cloud” walking around the lake activity. Under the leadership of Jia Guorong and Zhao Dong, deputy general managers of the Company, nearly 100 employees departed from the Liberation Gate and walked around the lake to the Lovers Park. People laughed all the way, admired the scenery, felt the beauty of the view and the warmth of the Holly Futures family which released their pressure and delighted the body and mind.

(2) 組織員工參加「3·15投資者保護健康跑活動」

2019年3月10日，公司作為在寧期貨公司代表及協辦單位，組織員工參加「3·15投資者保護健康跑活動」。本次健康跑活動主題為「追逐中國夢做理性投資者」。參賽運動員從「南京眼」步行橋出發，至白鷺廣場折返，全程共計10公里。最終，公司鄒志篙獲得了競賽組第十一名的成績。公司肩負維護金融市場穩定的責任，履行保障中小投資者權益的義務，以本次活動為契機，積極引導廣大投資者樹立正確的金融消費理念，做到全面知權、積極行權、依法維權，為創建江蘇資本市場和諧有序、穩定健康的生態環境貢獻力量。

(3) 組織「春遊踏青－黃龍峴」活動

4月13日，工會組織公司幹部職工一行60餘人赴江寧區黃龍峴開展春遊踏青活動。在總經理周劍秋，工會主席、副總經理賈國榮的帶領下，大家來到風景如畫的美麗鄉村－黃龍峴，同事們參觀茶場，遊覽富有特色的步行街，在山坡上、竹林中、水庫旁盡情享受春光。活動中，部分黨員同志還參觀了當地社區黨群服務中心，對如何更好開展黨建工作進行了交流學習。本次踏青活動幫助員工們放鬆了身心、密切了感情，以更好的狀態投身下一階段的工作。

(4) 開展春季環玄武湖健康行活動

為豐富公司職工文體生活，促進職工鍛煉身體，增強體質，2019年4月27日，工會組織開展「春遊玄武·吟賞煙霞」環湖健康行活動。近100名職工在公司副總經理賈國榮、趙東的帶領下，從解放門出發，環湖而行至情侶園。大家一路笑談，欣賞風景，感受春光的美妙和弘業大家庭的溫暖，釋放了壓力，愉悅了身心。





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(5) Participating the 2019 spring employee hiking activity of SOHO Holding Group

In the morning of 17 May 2019, the Labour Union of SOHO Holding Group commenced the 2019 spring employee hiking activity with 60 employees' participation. Under the leadership of the management of the Company, employees climbed to the peak with "braving hardship, keeping on fighting and marching", the spirit of people of Holly Futures. After a fierce competition, Holly Futures won the Morality Award, Bao Mingxiao, an employee of International Business Department won the third place of women's competition group.

(6) Commencing the climbing and singing activities of Double Ninth Festival

Given Chongyang of 2019, and the 70th anniversary of the founding of the People's Republic of China, in order to celebrate the upcoming Double Ninth Festival and the birthday of the Motherland, on the afternoon of 29 September, the Labour Union of the Company held the "Celebrating the National Day and Double Ninth Festival by climbing to enjoy the view at Zijin Mountain" climbing activity. Zheng Peiguang, deputy general manager, Jia Guorong, chairman of the Labour Union and deputy general manager, Zhao Dong, deputy general manager and Chu Kairong, deputy general manager led nearly hundreds of employees to participate in the activity. People stepped up, walked briskly and casually along the path, slightly enjoyed the stunning view of Zijin Mountain while talking about life and work perceptions, being close to the nature and enjoyed the job of climbing. Lastly, employees took a group photo for memory at the front square of Zijin Mountain Observatory and loudly sang the song "Singing to the Motherland", celebrated the 70th anniversary of the founding of the New China by their singing voices.

(7) Organised the Whipped Egg Game competition

On the afternoon of 17 September 2019, the Labour Union of the Company held the 2019 Employee Whipped Egg Competition and Holding Group Whipped Egg Selection Competition at the training room, 3/F. This competition received positive responses from all members of the Company with a total of 34 groups of contestants' participation. After a fierce competition, 1 group of contestants won the first place, 5 groups of contestants and 9 groups of contestants won the second place and third place, respectively. This activity built a good platform for employees to communicate with each other and enhance friendship, which stimulated everyone's enthusiasm, strengthened the corporate cohesion, promoted corporate culture and gained the unanimous recognition and praise from employees.

(5) 參加蘇豪控股集團2019春季職工登山活動

2019年5月17日上午，蘇豪控股集團工會組織開展2019春季職工登山活動，工會組織60名員工參加。在公司領導班子的帶領下，發揮弘業期貨人「不畏艱難、百折不撓、勇往直前」的精神，向山頂攀登。經過激烈的角逐，弘業期貨榮獲「道德風尚獎」，國際業務部員工包鳴曉獲得女子競賽組三等獎。

(6) 開展重陽節登高獻歌活動

2019年重陽，又喜逢中華人民共和國成立70周年華誕，為迎接即將到來的重陽節和慶祝祖國生日，9月29日下午，公司工會舉行「慶國慶迎重陽、登紫金覽勝景」登高活動。副總經理鄭培光，工會主席、副總經理賈國榮，副總經理趙東，副總經理儲開榮率近百名職工參加活動。大家拾級而上，沿途或健步如飛，或閒庭信步，領略紫金勝景，暢談生活和工作感悟，親近自然，悅享登高之樂。最後，在紫金山天文台前廣場，職工們合影留念，並放聲高歌《歌唱祖國》，用歌聲向新中國成立70周年獻禮。

(7) 組織攆蛋比賽

2019年9月17日下午，公司工會在三樓培訓室舉辦2019職工攆蛋比賽暨控股集團攆蛋大賽選拔賽。此次比賽得到了公司上下的積極響應，共有34組選手參加。經過激烈角逐，1組選手奪冠，另有5組選手、9組選手分別獲得二等獎和三等獎，本次活動為職工們搭建了一個相互交流、增進友誼的良好平台，激發了大家的熱情，增強了企業凝聚力，弘揚了企業文化，得到職工的一致認可和好評。



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(8) Organised visit to “Jiangsu Province Celebrating the 70th Anniversary of the Founding of the People’s Republic of China Achievement Exhibition”

On the afternoon of 11 October 2019, the Labour Union and the party office organised nearly 170 employees of headquarters of the Company to Nanjing International Exhibition Centre to visit the “Jiangsu Province Celebrating the 70th Anniversary of the Founding of the People’s Republic of China Achievement Exhibition”. The photo exhibition showcased the great course and tremendous achievement of the liberation, construction, reform and development of Jiangsu Province, as well as representative major historical events, decision-making deployment and construction results of each historical period. Through the visit, employees deeply felt the tremendous achievements made by our province since the founding of the new China, and expressed their desire to unite around the Central Party Committee with Comrade Xi Jinping at the core, stay true to its mission, keeping its goals in mind, striving to promote the comprehensive high standard establishment of Jiangsu into a well-off society.

(9) Organised employees to watch patriotism video “Me and my Motherland”

In order to celebrate the 70th anniversary of the founding of the new China, further promote the education of patriotism, carry forward the national spirit, and enhance employees’ self-confidence and pride to the nation, on the afternoon of 12 October 2019, the Labour Union of the Company organised the employees to watch the patriotism video “Me and my motherland”. This video-watching event built up the patriotic awareness of the employees, strengthened the corporate cohesion, also enriched the spare time of the employees which eased their pressure and tension and conducive to the commencement of future work.

(10) Organised football team and basketball team to achieve outstanding results at the competitions of the Group

The football team of the Company fought hard to win the third place in the “SOHO Asset Management Operation Football Competition”. Under the influence of unfavourable conditions such as injury and inadequate training, the basketball team of the Company managed to get into the semi-final and won the outstanding results of the third place of “SOHO Shares 40th Anniversary Cup” by deploying the spirit of Holly Futures, without being afraid of difficulties, indomitable and keep pushing forward.

(8) 組織參觀「江蘇省慶祝中華人民共和國成立70周年成就展」

2019年10月11日中午，由工會聯合黨辦組織公司總部近170名員工，赴南京國際展覽中心參觀「江蘇省慶祝中華人民共和國成立70周年成就展」。圖片展展示了江蘇省解放、建設、改革和發展的偉大歷程和巨大成就，以及各個歷史時期具有代表性的重大歷史事件、決策部署、建設成果。通過參觀，員工們深刻感受到新中國成立以來我省取得的巨大成就，紛紛表示要更加緊密地團結在以習近平同志為核心的黨中央周圍，不忘初心，牢記使命，為推動江蘇高水平全面建成小康社會而努力奮鬥。

(9) 組織職工觀看愛國主義影片《我和我的祖國》

為慶祝新中國成立70周年，進一步推動愛國主義教育，弘揚民族精神，增強職工民族自信心和自豪感，2019年10月12日下午，公司工會組織職工集中觀看愛國主義影片《我和我的祖國》。本次觀影築牢了職工們的愛國意識，增強了企業凝聚力，也豐富了職工們的業餘生活，緩解了他們的壓力和緊張情緒，有利於今後工作的開展。

(10) 組織足球隊、籃球隊在集團比賽中勇奪佳績

公司足球隊在控股集團舉辦的「蘇豪資產運營杯足球賽」中奮勇爭先奪得季軍。公司籃球隊在隊員受傷、訓練不足等不利條件影響下，依然發揮不畏艱難、百折不撓、勇往直前的弘業精神，最終殺入半決賽，取得了「蘇豪股份40周年杯」第三名的好成績。



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(11) 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. This year, branch activities supported by the union are: badminton competition held between Jiangyin branch and Jiangyin Rural Commercial Bank; On 15 June, all employees of Nanning Sales Department participated in the “Building a self-regulatory institution, casting a brand of integrity” health walk activity held by Guangxi Securities and Futures Industry Association. On 31 August, Fuzhou Sales Department participated in the 2019 male basketball competition within the jurisdiction of the Securities and Futures Industry, after a fierce competition, Fuzhou Sales Department’s Fuzhou Futures Alliance won the championship. On 22 September, Yixing Sales Department organised a visit to Yixing Museum for employees and carried out a film-watching activity, everyone relaxed physically and mentally despite of their intense and busy working life, and enjoyed a healthy life. In the morning of 12 October, all employees of Suqian Sales Department spontaneously visited Zhou Enlai Memorial Hall. Through this visit, employees learnt about Premier Zhou’s great and extraordinary life, as well as his outstanding achievements for the Party, the people, the country and the army. On 20 October, Liyang Sales Department organised a hiking activity to Nanshan Zhuhai for all employees, walking into the nature to feel a refreshing deep breathe in the woods. This hiking activity not only promoted the communications and cooperation between employees, but also enriched everyone’s time after work.

In addition, the Labour Union also actively selects personnel to participate in various activities organised by the holding group.

This year, the Labour Union continues 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 continues to support the activities of the badminton club, football club and table tennis club and encourages 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. Throughout the year, the Labour Union also supported the successive establishment of book corner of various branches, and strived to create a strong reading atmosphere throughout the Company.

(11) 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。今年由工會支持的分支機構活動有：江陰營業部與江陰農商行進行的羽毛球比賽；6月15日，南寧營業部全體員工參加了廣西證券期貨業協會舉辦的「建自律機構，鑄誠信品牌」健步走活動；8月31日福州營業部參加轄區證券期貨行業2019年男子籃球比賽，經過激烈的角逐，福州營業部所在的福州期貨聯隊奪冠。9月22日，宜興營業部組織員工參觀宜興博物館並開展觀看電影活動，使大家在緊張繁忙的工作之餘，身心得以放鬆，享受健康的生活；10月12日上午，宿遷營業部全體員工自發組織參觀周恩來紀念館。通過本次參觀，瞭解周總理偉大而不凡的一生，以及他為黨、人民、國家和軍隊建立的卓著功勳；10月20日，溧陽營業部組織全體員工前往南山竹海登高望遠，走進自然，感受一場沁人心脾的「森呼吸」。本次登高活動促進了員工彼此間的交流合作，也豐富了大家的業餘生活。

除此之外，工會還積極選派人員參加控股集團組織的其他各類活動。

今年，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，工會繼續支持羽毛球、足球、乒乓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一系列輕鬆健康的活動，更快地融入公司氛圍。工會年內還支持多家分支機構陸續設立了圖書角，在全公司範圍內努力營造濃厚的讀書氛圍。



VII. Foster Staff Growth 七、促進員工成長

4) Establishing a dedicated Labour Union

In order to promote the traditional virtues of the Chinese nation of "respecting, loving, respecting, and caring for the elderly", the Chairman and deputy general manager, Jia Guorong, of the Labour Union of the Company led a total of 18 representatives from the cadres of the party, the Labour Union and the Youth League Committee to the Nanjing Guoyue Support Service Centre to carry out love and condolence activities on the afternoon of 15 March 2019. The Company brought a lot of condolences and had sincere communication with the elderly, a comrade also improvised a song for the elderly. During the activity, the elderly's faces with vicissitudes were filled with happy smiles. The launch of the activity greatly demonstrated the sense of social responsibility of the party members and cadres of Holly Futures. The Company insists on devoting itself to participating in public welfare activities, constantly disseminating positive social energy of taking care of the elderly and contributing its own strength to the harmonious development of society.

4) 創建奉獻型工會

為了弘揚「尊老、愛老、敬老、養老」的中華民族傳統美德，2019年3月15日下午，公司工會主席、副總經理賈國榮帶隊，總部黨員幹部、工會和團委代表共計18人來到南京國悅頤養服務中心敬老院開展愛心慰問活動。公司一行為老人們帶去了豐富的慰問品，並同老人們進行親切交流，一位同志還即興為老人獻歌一首。活動中，老人們滄桑的臉上寫滿了幸福的微笑。本次活動的開展，大大彰顯了弘業期貨黨員幹部的社會責任意識。公司堅持投身公益事業，不斷傳播關注老人、關愛老人的社會正能量，為社會的和諧發展貢獻自己的力量。





VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、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 八、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 八、綠色環保，節能減排

Environmental Data Performance Summary¹

環境類績效表現概述¹

	Indicator 指標	Unit 單位	2019 2019年
A. Environment 環境			
A1. Emissions 排放物			
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	3.35
	emissions of sulfur oxide, per capita 硫氧化物人均排放量	kg 千克	0.01
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	95.8
	per capita emissions of greenhouse gases 溫室氣體人均排放量	ton 噸	0.34
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	-
	per capita amount of ink cartridge 墨盒人均量	piece 支	-
	toner cartridge 硒鼓	item 個	120
	per capita amount of toner cartridges 硒鼓人均量	item 個	0.43
	lamp 燈管	piece 支	273
	per capita amount of the lamp 燈管人均量	piece 支	0.97
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	-
	per capita amount of electronic equipment 電子設備人均量	set 台	-

¹ The statistics are from headquarters of Holly Futures

¹ 統計口徑均為弘業期貨總部



VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排

	Indicator 指標	Unit 單位	2019 2019年
A2. Use of resources 資源使用			
A2.1	energy consumption and density 能源消耗量及密度		
	power consumption 耗電量	kwh 千瓦時	1,357,956
	per capita electricity consumption 人均耗電量	kwh 千瓦時	4,832.58
	gasoline consumption 汽油消耗量	kl 千升	31.2
	total amount of gasoline per capita 人均汽油總用量	kl 千升	0.11
	diesel consumption 柴油消耗量	kl 千升	-
	per capita consumption of diesel 人均柴油消耗量	kl 千升	-
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	4,936.30
	per capita consumption of diesel 人均辦公室耗水量	ton 噸	17.57





IX. Public Welfare Undertakings and Social Service 九、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 talent cultivation and education construction.

1. 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.

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，在人才培育、教育建設方面，弘業期貨也做出自己的努力。

1. 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 九、公益事業與社會服務

In 2019, supported by the Shanghai Futures Exchange, the order of 2019 Xishuangbanna natural rubber “insurance + futures” project in Mengla County jointly implemented by Holly Futures, Anxin Agricultural Insurance and Yunnan Branch of CPIC was successfully launched. The total scale of this project is 1,000 tons, covering more than 12,000 mu of rubber plantation area and more than 546 rubber farmers, of which more than 400 are registered poverty-stricken households with cards.

2019年，由上海期貨交易所支持，弘業期貨聯合安信農險及太保雲南分公司共同實施的2019年西雙版納勐臘縣天然橡膠「保險+期貨」項目試點順利出單。此次項目規模共計1,000噸，覆蓋橡膠種植面積12,000餘畝，種植膠農546餘戶，其中建檔立卡貧困戶400餘戶。





IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務

Natural rubber is an important strategic material in China. The dual nature of agricultural products and industrial products has led to large price fluctuations. The "insurance + futures" model was proved to not only stabilize the market price, but also promote the enthusiasm of rubber farmers to plant rubber, ensuring the sustainable development of the rubber industry in China.

Mengla County is a national poverty-stricken counties and one of the main natural rubber producing areas in Yunnan, unfavourable price fluctuations have caused great losses to local rubber farmers. To effectively benefit local rubber farmers, Holly Futures has communicated with local government departments and insurance companies to design an optional proposal that meets the actual needs of rubber farmers. At the same time, Holly Futures entered into the "Cooperation Letter of Intent of "Poverty Alleviation Insurance of Natural Rubber Futures Price Index" in 2019" with the Mengla County Government and the Yunnan Branch of CPIC to carry out financial poverty alleviation cooperation. In the design of insurance products, the 2001 futures price of rubber is taken as the guarantee target, and the Asian-American option structure was adopted for the OTC Options. The initial full amount of the insurance premiums of the farmers will be borne by Holly Futures, supported by the previous period.

The project is a concrete practice of the "insurance + futures" targeted poverty alleviation project of the last period of 2019, as a state-owned enterprise and a "National Model Unit of Civilization", Holly Futures has always paid attention to fulfilling its social responsibilities and actively responded to the poverty alleviation strategies of China in the recent years in order to devote to targeted Poverty Alleviation.

天然橡膠是我國重要的戰略物資，農產品與工業品的雙重屬性導致其價格波動幅度較大。實踐證明，「保險+期貨」模式不僅穩定了市場價格，也促進了膠農種膠的積極性，確保我國橡膠產業的可持續發展。

勐臘縣為國家級貧困縣，是雲南天然橡膠主產地之一，價格的不利波動給當地膠農帶來了極大損失。為切實讓當地膠農得到實惠，弘業期貨經過與當地政府部門、保險公司多次溝通，設計了貼合膠農實際需求的期權方案。同時弘業期貨與勐臘縣政府、太保雲南分公司共同簽訂了《2019年「天然橡膠期貨價格指數扶貧保險」合作意向書》，多方面開展金融扶貧合作。在保險產品設計方面以橡膠2001期貨價格作為保障目標，場外期權採取亞美式期權結構。農戶保費先期全額由弘業期貨承擔，上期所提供支持。

該項目是2019年上期所「保險+期貨」精準扶貧項目的具體實踐，弘業期貨作為國有企業，「全國文明單位」，素來注重履行社會責任，近年來更是積極響應國家脫貧攻堅戰略的號召，投身精準扶貧事業。



IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務

On 17 December 2019, Holly Futures held the closing and Compensation Ceremony for the natural rubber targeted poverty alleviation project "insurance + futures" in Mengla County of Yunnan Province, a national poverty-stricken county and Zheng Peiguang, deputy general manager of Holly Futures, attended the Ceremony. After the closure of the poverty alleviation project, the participating rubber farmers received a compensation of RMB699,000, with a loss ratio of 78%.

The targeted poverty alleviation project "Insurance + Futures" implemented in Guanlei Town of Mengla County from 30 June to 15 November 2019 was approved by the Shanghai Futures Exchange, underwritten jointly by Anxin Agricultural Insurance and Pacific Property Insurance, jointly coordinated by the government of Mengla County of Yunnan Province and relevant departments, Holly Futures and its subsidiary Holly Capital as its applying entity and was accomplished jointly by the rubber farmers of Guanlei Town of Mengla County as a participant.

The project underwrites 1,000 tons of local dry rubber, which covers an area of 12,000 mu, and an insurance amount of RMB12 million, which achieved full coverage of rubber growers and poor households in the town, involving 546 rubber growers in Guanlei Town, of which 425 are registered poverty-stricken households with cards, with poor households accounting for 78% and ethnic minorities for 95%. The project successfully avoided the impact of falling rubber prices on the income of rubber growers, leveraged the professional advantages of futures companies, resolved market risks, realized targeted poverty alleviation, contributed to local poverty alleviation works, and effectively give play to its function of futures to serve real economy. After the closure of the project, the compensation effect is good and participating farmers are very satisfied with it.

2019年12月17日，弘業期貨在國家級貧困縣雲南省勐臘縣舉行天然橡膠「保險+期貨」精準扶貧項目結項暨理賠儀式，弘業期貨副總經理鄭培光出席。本次扶貧項目結項後，參保膠農獲賠69.9萬元，賠付率為78%。

本次「保險+期貨」精準扶貧項目於2019年6月30日－11月15日在勐臘縣關累鎮具體實施，由上海期貨交易所立項，弘業期貨及其子公司弘業資本作為申報主體，安信農保與太平洋產險聯合承保，雲南省勐臘縣政府及相關部門協調，勐臘縣關累鎮橡膠種植戶作為參與主體共同完成。

項目承保當地1,000噸乾膠，覆蓋面積12,000畝，保險金額1,200萬元，實現了該鎮橡膠種植戶及貧困戶的全覆蓋，涉及關累鎮橡膠種植戶546戶，其中425戶為建檔立卡貧困戶，貧困戶比例高達78%，少數民族比例達到95%。該項目成功規避了橡膠價格下跌給橡膠種植戶收入帶來的影響，發揮了期貨公司的專業優勢，化解了市場風險，實現了精準扶貧，為當地脫貧攻堅工作作出貢獻，切實發揮了期貨服務實體經濟的功能。項目結項後，賠付效果良好，參保膠農對此很滿意。



IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務



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 County to win the fight against poverty, and seamlessly connect financial poverty alleviation and service for agriculture, rural areas and farmers.

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，助力縣打贏脫貧攻堅戰，將金融扶貧和服務三農工作無縫對接。

2. Talent cultivation, serving the society

In order to deeply implement the spirit of the Nineteenth National Congress of the Party and the concept of Xi Jinping, the general secretary of “Alleviating poverty through education and put great effort in providing education to people in poverty”, on 27 March 2019, with the theme of “Working hand in hand to build a beautiful new campus”, Holly Futures Co., Ltd. donated a batch of computer and school supplies to Huaxing Public School of Taihu County and organised trainings on internet knowledge.

2. 人才培育、服務社會

為深入貫徹黨的十九大會議精神和習近平總書記提出的「扶貧必扶智，治貧先治愚」的理念，2019年3月27日，弘業期貨股份有限公司，以「大手拉小手，構建美好新校園」為活動主題，赴太湖縣華興公學捐贈了一批電腦和學習用品，並組織了網絡知識的培訓。



IX. Public Welfare Undertakings and Social Service 九、公益事業與社會服務



By fully deploying its professional advantages, the Company carried out a series of precision poverty alleviation, including the natural rubber “insurance + futures” precision poverty alleviation projects by Shanghai Futures Exchange, the “Farmer’s Income Protection Plan” county coverage projects by Dalian Commodity Exchange, decentralised pilot projects, etc., which achieved a total of claims of approximately RMB6.6 million. The Company also won the bid for the “insurance + futures” government poverty alleviation project of apple in Qin’an County of Gansu Province. The “insurance + futures” poverty alleviation project of soybean implemented in Zhenlai County of Jilin Province, a national poverty-stricken county, was selected for the second time in the list of Nanjing Financial Innovation Projects and won the second prize. The Company also participated in the poverty alleviation organised by the China Futures Association in Maigaiti County of Xinjiang and donated RMB500,000; participated in the poverty alleviation organised by Shanghai Futures Exchange in Tiahu County of Anhui Province and donated RMB200,000; participated in the targeted poverty alleviation organised by the Provincial State-owned Assets Supervision and Administration Commission in Shaanxi, donated RMB150,000 and donated RMB50,000 to the provincial Red Cross. On 5 September, the day of “Chinese Charity Day”, the party committee of the Company took the lead to carry out the “Precision Poverty Alleviation – Charity One-day Donation” activity, with the active participation of all party members, the total amount of more than RMB40,000 was raised. The third branch of the Company also contacted the Jiming Temple Tongtai Foundation to donate a batch of books to the school for children of migrant workers, which was well received by the school and the foundation.

公司充分發揮專業優勢，開展系列精準扶貧工作，包括上期所天然橡膠「保險+期貨」精準扶貧項目、大商所「農民收入保障計劃」縣域覆蓋項目、分散試點項目等，實現理賠總額近660萬元。中標甘肅秦安蘋果「保險+期貨」政府扶貧項目。在國家級貧困縣吉林省鎮賚縣實施的大豆收入「保險+期貨」扶貧項目第二次入選南京市金融創新項目名單，獲得二等獎。公司還參加了中國期貨業協會組織的新疆麥蓋提縣扶貧，捐贈50萬元；參加上期所組織的安徽省太湖縣扶貧，捐贈20萬；參加省國資委組織的陝西定向扶貧，捐贈15萬元，向省紅十字會捐款5萬元。在9月5日「中華慈善日」當天，公司黨委牽頭組織開展了「精準扶貧·慈善一日捐」活動，全體黨員踴躍參與，總籌集善款超4萬元。公司第三支部還聯繫了雞鳴寺同泰基金會，向外來務工人員子女學校捐贈一批圖書，受到校方和基金會的好評。



X. Prospects of Social Services and Awards of the Company 十、公司社會服務展望與獲獎情況

1. Continue to advance public welfare and poverty alleviation

During the computer donation ceremony, Jia Guorong, deputy general manager of Holly Futures and chairman of the Labour Union, Zhou Jun, deputy mayor of Taihu County, Anhui Province, Xiong Yushuang, deputy director of Taihu County Education Bureau, and Lu Jingping, principal of Huaxing Public School gave speeches respectively.

“Alleviating poverty through education”, drawing on the bright prospects of the village, “Getting rich through heart healing”, bringing fresh blood to the infrastructure of the village. Holly Futures supports the building of village by taking actual actions, and will work hard to build a beautiful home. “A man shall be taught how to fish instead of being given fish”, staff from the Company’s Information Technology department also given lectures on internet knowledge to students. Taihu County is the target of “one company for one county” precise poverty alleviation and assistance, while accumulating wealth, the Company never forgets to give back to the society, and perform social responsibility by taking actual actions, while is comprehensively demonstrating the leading role as a provincial civilised unit.

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.

1. 繼續推進公益扶貧

在電腦捐贈儀式上，弘業期貨副總經理、工會主席賈國榮，安徽省太湖縣副縣長周軍、太湖縣教育局副局長熊玉霜和華興公學校長呂敬平分別予以致辭。

扶貧先扶志，勾畫鄉村建設美好前景，致富先治心，給鄉村基礎建設注入新鮮血液。弘業期貨用實際行動支援鄉村建設，將努力工作建設美好家園。授人以魚更要授人以漁，公司信息技術部的工作人員還為學校學生進行了網絡知識專題授課。太湖縣是公司「一司一縣」精準脫貧幫扶的對象，公司在積累財富的同時，不忘回饋社會，以實際行動踐行社會責任，充分發揮了我司省級文明單位示範帶動作用。

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。



X. Prospects of Social Services and Awards of the Company 十、公司社會服務展望與獲獎情況

The Company has taken an active role in the poverty alleviation work organized by the China Futures Association. The list of futures companies participating the pilot project for 2019 of Dalian Commodity Exchange, the "Farmer's Income Protection Plan", was released. Holly Futures participated in 4 county-covered pilot projects and filed one decentralized pilot project, involving more than 5,300 poor households. This is another major effort in professional poverty alleviation and special poverty alleviation of Holly Futures in 2019 following the two "insurance + futures" precision poverty alleviation projects of natural rubber in Mengla County of Yunnan Province and Apple in Qin'an County of Gansu Province.

The county-covered pilot project is an innovative project for this year of Dalian Commodity Exchange with better economy of scale as compared with previous decentralized pilot project, the coverage area is not less than 60% of the corn or soybean planting area in principle, which can better serve the national "Rural Revitalization Strategy". In Shuangyang District of Jilin Province, Holly Futures guarantees the income of 30,000 tons of corn for farmers in poverty in the form of income insurance, basis trading introduced allows 2,710 farmers to have an abundant harvest, but a reduction in production does not result in a reduction in income. Dongliao County of Jilin Province is also a major corn planting county, with 2,620 farmers in poverty. Holly Futures has implemented an 80,000-ton "insurance + futures" income insurance project in the district comprehensively covering farmers in poverty who work for corn plantation, so that farmers can grow and harvest with ease. The other two county-covered projects are soybean income insurance project of Jiexiang County of Shandong Province and Zhaoguang Farm of Heilongjiang Province, involving 11,000 tons of soybeans. One decentralized pilot project is the "insurance + futures" project of eggs in Liaoyang County of Liaoning Province, involving 4,000 tons of eggs. This project is a testing ground for the county-covered project of eggs, which paves the way for larger-scale and higher-quality service to farmers in the coming year.

At present, the insurance policies of "insurance + futures" for 10,000 tons of soybeans in Zhaoguang Farm, Heilongjiang Province and 1,000 tons of eggs in Liaoyang County, Liaoning Province have been issued. Holly Futures will organize the implementation of the "Farmer's Income Protection Plan" of DCE, actively serve the "three rural issues", help and support the poor in order to contribute to the achievement of a prosperous society on the 100th anniversary of the party's establishment.

積極參與中國期貨業協會組織的扶貧工作。大連商品交易所2019年「農民收入保障計劃」試點項目參與期貨公司名單出爐，弘業期貨參與4個縣域全覆蓋試點項目，備案1個分散試點項目，共涉及貧困戶5,300多戶。這是2019年弘業期貨繼雲南省勐臘縣天然橡膠、甘肅省秦安縣蘋果兩個「保險+期貨」精準扶貧項目之後專業扶貧、特色扶貧的又一力舉。

縣域覆蓋試點項目是今年大商所的創新項目，較之往年實施的分散試點項目更具規模效應，覆蓋範圍原則上不低於縣級區域玉米或大豆種植面積的60%，能夠更好地服務國家「鄉村振興戰略」。在吉林省雙陽區，弘業期貨為貧困農戶保障3萬噸玉米的收入，採用收入險的形式，引入基差交易，讓2,710戶農民豐產即豐收，減產不減收。吉林省東遼縣也是玉米種植大縣，有貧困戶2,620戶。弘業期貨在此地實施了80,000噸「保險+期貨」收入險項目，全面覆蓋玉米種植貧困戶，讓農民種得安心，收得放心。另外兩個縣域全覆蓋項目分別為山東省嘉祥縣、黑龍江趙光農場大豆收入險項目，涉及大豆1.1萬噸。1個分散試點項目則是遼寧省遼陽縣雞蛋「保險+期貨」項目，涉及4,000噸雞蛋。該項目是雞蛋縣域全覆蓋項目的試驗田，為來年更大規模、更高質量地服務好養殖戶鋪好道路，做好準備。

當前，黑龍江趙光農場1萬噸大豆、遼寧省遼陽縣1,000噸雞蛋「保險+期貨」保單已出單。弘業期貨將組織實施好本次大商所「農民收入保障計劃」，積極服務「三農」，扶貧助困，為建黨一百年之際全面實現小康社會貢獻力量。



X. Prospects of Social Services and Awards of the Company 十、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.

2. Shoulder more social responsibilities along with its own development

In 2019, 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.

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。

2. 以自身發展推動社會責任建設

2019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。



X. Prospects of Social Services and Awards of the Company 十、公司社會服務展望與獲獎情況

3. Awards of the Company

The Company was granted the following awards during 2019:

3. 公司所獲獎項

於2019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
Company 公司	Excellent Member General Golden Prize 優秀會員綜合獎—金獎	China Financial Futures Exchange 中國金融期貨交易所
Company 公司	"Excellent Member in Variety Service (Ferrous)" 「品種服務優秀會員(鐵合金系)」	Zhengzhou Commodity Exchange 鄭州商品交易所
Internet Business Department 互聯網業務部	"Excellent Sales Department in Variety Service (Ferrous)" 「品種服務優秀營業部(鐵合金系)」	Zhengzhou Commodity Exchange 鄭州商品交易所
Company 公司	Excellent Member Prize 優秀會員獎	Dalian Commodity Exchange 大連商品交易所
Holly Capital Management Co., Ltd. 弘業資本管理有限公司	Excellent Risk Management Subsidiary 優秀風險管理子公司	Dalian Commodity Exchange 大連商品交易所
Company 公司	Excellent Member Silver Prize 優秀會員銀獎	Shanghai Futures Exchange 上海期貨交易所
Company 公司	Social Responsibility Contribution Award 社會責任貢獻獎	Shanghai Futures Exchange 上海期貨交易所
General Manager Zhou Jianqiu 總經理周劍秋榮	Junding Prize for Chinese Wealth Management Leader in 2019 2019中國財富管理領軍人物君鼎獎	STCN 證券時報
Company 公司	Futures hedging helping with stable development of iron alloy enterprise in 2019, Jun Ding Award for Futures Company with Innovative Industry Service in China 期貨套期保值助力鐵合金企業平穩發展2019 中國期貨創新產業服務項目君鼎獎	STCN 證券時報
Company 公司	Best Futures Company in China 中國最佳期貨公司	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Precision Poverty Alleviation Charity Outstanding Contribution Award 最佳精準扶貧突出貢獻獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Assets Management Leadership Award 最佳資產管理領航獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Brand Establishment Prize 最佳品牌建設獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Risk Management Subsidiary Service Award 最佳風險管理子公司服務獎	Futures Daily, Securities Times 期貨日報、證券時報
	"Best Futures IT System Establishment Prize 最佳期貨IT系統建設獎	Futures Daily, Securities Times 期貨日報、證券時報



X. Prospects of Social Services and Awards of the Company 十、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
Company 公司	Best Futures IT System Establishment Prize 最佳期貨IT系統建設獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Commodity Futures Industry Service Prize 最佳商品期貨產業服務獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	WeChat public account was recognized as the most popular official account for futures operation institution 微信公眾號獲評最受歡迎的期貨經營機構公眾號	Futures Daily, Securities Times 期貨日報、證券時報
Zhenjiang Branch, Nantong Branch 鎮江營業部、南通營業部	Best Futures Branch 最佳期貨經營分支機構	Futures Daily, Securities Times 期貨日報、證券時報
General Manager Zhou Jianqiu 總經理周劍秋	Best Future Leader in 2019 2019最佳期貨掌舵人	Futures Daily, Securities Times 期貨日報、證券時報
Wang xiaobei, Zhang yongge of Financial Academy 金融研究院王曉蓓、張永鵬	Best Analyst in China 中國最佳分析師	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Second Prize for Financial Innovation in Nanjing 南京市金融創新二等獎	Nanjing government 南京市政府
Company 公司	Excellent (A-level) evaluation by the Department of Finance of Jiangsu Province 省財政廳優秀(A級)	Performance evaluation of local financial enterprises in Jiangsu Province 江蘇省地方金融企業績效評價
Company 公司	Excellent Investor Education Award in the real trading contest 實盤大賽優秀投資者教育獎	Futures Daily 期貨日報



Appendix: Index on Environmental, Social and Governance Reporting Guide of the Stock Exchange 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
Subject Area A. Environmental 主要範疇A.環境		
Aspect A1. Emissions 層面A1.排放物		
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： (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。	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
Aspect A2. Use of Resources 層面A2.資源使用		
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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Aspect A3. The Environment and Natural Resources 層面A3.環境及天然資源		
General Disclosure A3 一般披露A3	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	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Key Performance Indicator A3.1 關鍵績效指標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	VIII. Green Environmental Protection and Energy Conservation and Emission Reduction 八、綠色環保，節能減排
Subject Area B. Social Employment and Labour Practices 主要範疇B.社會僱傭及勞工常規		
Aspect B1. Employment 層面B1.僱傭		
General Disclosure B1 一般披露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. 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。	VII. (I) Safeguard employees' rights and interests effectively VII. (II) Establish a sound employees' labour welfare system 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 關鍵績效指標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	VII. (I) Safeguard employees' rights and interests effectively 七、1切實保障員工權益
Key Performance Indicator B1.2 關鍵績效指標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	VII. (I) Safeguard employees' rights and interests effectively 七、1切實保障員工權益



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Aspect B2. Health and Safety 層面B2.健康與安全		
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
Aspect B3. Development and Training 層面B3.發展及培訓		
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



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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
Aspect B4. Labour Standards 層面B4.勞工準則		
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, the Company did not have any relevant violations 不適用，本年公司無相關違規情況
Subject Area B. Social Operating Practices 主要範疇B.社會營運慣例		
Aspect B5. Supply Chain Management 層面B5.供應鏈管理		
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。	V. (VII) Supplier management 五、7供應商管理
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。	V. (VII) Supplier management 五、7供應商管理





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Aspect B6. Product Responsibility 層面B6.產品責任		
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, the Company's main business is futures business 不適用，本公司主營業務為期貨經濟業務
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, the Company's main business is futures business 不適用，本公司主營業務為期貨經濟業務
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



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Aspect B7. Anti-corruption 層面B7.反貪污		
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, there was no corruption lawsuit against the Company 不適用，公司無相關貪污訴訟案例
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
Aspect B8. Community Investment 層面B8.社區投資		
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. 有關以社區參與來瞭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