



CITIC Securities Company Limited

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ITIC SECURITIES

I. ABOUT THIS REPORT

Introduction

This Report presents the activities and performance of CITIC Securities Co., Ltd. (hereinafter referred to as "the Company", "CITIC Securities", or "We") in its economic, social and environmental responsibility in 2020.

Reporting Scope

Unless otherwise stated, this Report covers the performance of CITIC Securities, CITIC Securities (Shandong) Limited ("CITIC Securities (Shandong)"), CITIC Securities International Co., Ltd. ("CITIC Securities International"), Goldstone Investment Co., Ltd. ("Goldstone Investment"), CITIC Securities Investment Co., Ltd ("CITIC Securities Investment Co., Ltd ("CITIC Securities Investment Co., Ltd. ("CITIC Securities Investment"), CITIC Futures Co., Ltd. ("CITIC Futures"), China Asset Management Co., Ltd. ("CITIC Futures"), and CITIC Securities South China Company Limited ("CITIC Securities South China").

Unless otherwise stated, this Report covers the period from 1 January 2020 to 31 December 2020, and part of the contents of the Report might cover an extended period for better presentation.

Reporting Guidelines

This report is prepared in accordance with the Notice on Strengthening the Social Responsibility of Listed Companies and Issuing the "Guidelines for Environmental Information Disclosure of Listed Companies on the Shanghai Stock Exchange" and the Guidelines for Environmental Information Disclosure of Listed Companies on the Shanghai Stock Exchange ("SSE"), and the Environmental, Social and Governance Reporting Guide, also known as the ESG Reporting Guide, issued by the Hong Kong Stock Exchange and Clearing Limited ("HKEx").

Data

All data in this Report are from official documents and other relevant statistical reports of the Company. PricewaterhouseCoopers Zhong Tian LLP has been engaged by CITIC Securities to conduct a limited assurance on the key environmental data in Chapter VII, Section (IV) of this Report in accordance with the International Standard on Assurance Engagements -Assurance Engagements Other than Audits or Reviews of Historical Financial Information (ISAE) 3000 (Revised).

Reporting Approval and Release

The content and data disclosed in this Report are reviewed and approved by the Company's Board of Directors in March 2021.

This Report is available in the format of PDF on:

The website of SSE:

http://www.sse.com.cn

The website of HKEx: http://www.hkexnews.hk

The website of the Company http://www.citics.com

II. ABOUT THE COMPANY



CITIC Securities Co., Ltd. was incorporated on 25 October 1995. Listed on Shanghai Stock Exchange in 2003 and on the Hong Kong Stock Exchange in 2011, the Company is China's first securities company to be listed in mainland China and Hong Kong.

(I) Company Profile

CITIC Securities was incorporated on 25 October 1995. Listed on Shanghai Stock Exchange in 2003 and on the Hong Kong Stock Exchange in 2011, the Company is China's first securities company to be listed in mainland China and Hong Kong. CITIC Group holds 15.47% of its capital share as the largest shareholder.

The Company offers a wide range of financial services and products including securities, funds, futures, direct investments, equity funds, commodities. Operated with full licenses, the Company offers all-round support for development of the real economy, and provides a variety of financial services to over 75 thousand enterprise clients and 10 million individuals. The Company has 7 principal tire-1 subsidiaries, and branch offices in over 13 countries. The Company is presented in all provinces, municipalities and autonomous regions in China. China AMC, CITIC Futures, Gold Stone Investment and other principal subsidiaries keep maintaining leading positions in their own sectors.

The Company has achieved revenue of RMB 468.4 billion and realized net profits of RMB 158 billion, with dividends allocated to shareholders of RMB 56.2 billion. It has maintained top of the industry on revenue and net profits in the market for more than ten years. The Company has a prominent scale advantage in net capital, net assets and total assets as well as remarkable profitability. With a leading position in the market, the Company has gained reputation and established its brand in domestic market. Over the years, the Company has won awards granted by Asiamoney, Financial Times, Forbes, SSE, SZSE and other domestic and oversea institutions.

The company's vision is to become a domestically leading and internationally first-class Chinese investment bank most trusted by clients around the world. The Company is committed to implementing national strategies, serving the real economy and creating greater value.

(II) Business Scope

The business scope of the Company includes: securities brokerage (for areas other than Shandong Province, Henan Province, Tiantai and Cangnan Counties of Zhejiang Province); securities investment consulting; financial advisory services related to securities trading and securities investment activities; securities underwriting and sponsorship; securities proprietary business; securities asset management; margin financing and securities lending; securities investment fund sales agency; provision of intermediate referral services to futures companies; distribution of financial products; and stock options market making business.

CITIC Securities has expanded its businesses into 13 countries, and owns more local branches in "Belt and Road" countries and regions than any other Chinese investment banks.



(III) Milestones in 25 Years

October 1995	•	CITIC Securities Limited was established.
December 1999		Changed into CITIC Securities Co., Ltd.
January 2003		CITIC Securities was listed on SSE (600030.SH).
December 2004		Acquired Wantong Securities and established CITIC Wantong Securities Co., Ltd.
July 2005	•	Established CITIC Securities (Hong Kong) Co., Ltd.
May 2006		Acquired all equity of Kington Securities and established CITIC Jintong Securities Co., Ltd.
June 2006		Non-publicly issued 500,000,000 A shares to China Life Insurance Group and China Life Insurance Company Limited.
August 2007	•	Publicly issued 334,000,000 A shares.
September 2007		Acquired all equity of Shenzhen Jinniu Futures Brokerage Co., Ltd. and changed its name to CITIC Futures.
October 2007	•	Established Goldstone Investment Co., Ltd.
December 2007	•	Acquired all equity of China Asset Management Co., Ltd.
October 2011		Listed on Hong Kong Stock Exchange for transaction (6030.HK), CITIC Securities became the first Chinese securities company to be listed in mainland China and Hong Kong.
April 2012		Established CITIC Securities Investment Co., Ltd.
July 2013		Acquired all equity of CLSA Asia-Pacific Markets.
May 2015		Acquired 59.04% equity of KVB Kunlun.
June 2015		Non-publicly issued 1,100,000,000 H shares to Kuwait Investment Authority and other institutional investors.
January 2020	+	Acquired all equity of Guangzhou Securities, and had outlets in 31 provinces, municipalities and autonomous regions.

(IV) Summary of Performance 2020



¹ Note: Social contribution per share = earnings per share + value added per share.

Value added per share = (tax paid + salaries paid to employees + interest on borrowings paid to creditors + external donations from the Company + securities investor protection funds + dividends - other social costs due to environmental pollution) ÷number of shares.

Tax amount includes income tax, taxes and surcharges, vehicle and vessel use tax, stamp tax and house property tax according to accrual basis.

III. SOCIAL RESPONSIBILITY MANAGEMENT



CITIC Securities is committed to implementing national strategies, serving the real economy, and creating greater value for society. Our vision is to become a domestically leading and internationally first-class Chinese investment bank most trusted by clients around the world. We will actively fulfil our corporate social responsibilities from the dimensions of robust operation, sustainable finance, employee development, environmental protection, and contribution to society, to create value for customers, shareholders, employees, society and other stakeholders.

(I) Social Responsibility Management Concept

Social Responsibility Concept

CITIC Securities is committed to implementing national strategies, serving the real economy, and creating greater value for society. Our vision is to become a domestically leading and internationally first-class Chinese investment bank most trusted by clients around the world. We will actively fulfil our corporate social responsibilities from the dimensions of robust operation, sustainable finance, employee development, environmental protection, and contribution to the society, to create value for customers, shareholders, employees, society and other stakeholders.

CITIC Securities supports China's pledge to achieve carbon peak and carbon neutrality, and gives full play to the role of financial institutions in vigorously promoting the development of green finance. We have integrated sustainable finance into our corporate social responsibility model.

Social Responsibility Model



(II) Social Responsibility Organizational Structure

The Company has established and continuously improved the social responsibility organizational structure. We integrated the concept of social responsibility into our daily operation and management,

and promote the integration of social responsibility with business development to ensure proper fulfilment of social responsibilities. The Board of Directors is responsible for the decision making in social responsibility management strategies, and the management steers social responsibility work. Departments and subsidiaries work together to implement social responsibilities tasks.



(III) Stakeholder Engagement

The Company values communication with stakeholders. Based on the characteristics of its businesses, management and operation, the Company has established and improved communication channels with main stakeholders including shareholders and investors, governments and regulators, customers, employees, suppliers and partners, community and the public, to ensure the timely and effective communication.

Main Stakeholders	Major Communication Channels	Key Issues Concerned
Shareholders and Investors	Shareholders' general meetings, corporate annual report, shareholders' hotline, email, "E-interaction" platform of SSE, face-to-face communication	Profitability Compliance
Government and Regulators	Major conferences, policy consultations, incident reporting, institution investigation and official correspondence	Compliance Giving Back to Society Environment-friendly
Customers	Customer visit, satisfaction survey and customer complaint hotline	Product Responsibility Customer-Oriented
Employees	Employee suggestion box, labor union, employee satisfaction survey, employee activities	Employee Diversity Employees' Right and Interests Employee Growth Employee Care
Suppliers and Partners	Supplier inspection, communication meetings	Supply Chain Management
Community and the Public	Public welfare activities, community interaction	Giving Back to Society

(IV) Materiality Assessment

The Company maintains effective communication with main stakeholders through the above channels. In 2020, in order to better respond to the demands and expectations of stakeholders, the Company identified and disclosed in the Report the material social responsibility issues that stakeholders are concerned about with reference to external experts' opinions.



The material issues assessed are illustrated below. This Report will elaborate on the management of these issues and the progress.



Materiality to CITIC Securities

(V) Working towards the UN Sustainable Development Goals

The Company supports the United Nations Sustainable Development Goals (SDGs). The Company has identified UN SDGs priories to match its social responsibility concept, and improves its social responsibility management and practices to support the achievement of SDGs.

SDGs	Social Responsibility Concept	Our Practice
	Robust Operation	Enhancing business diversification and serving the real economy;
		Staying customer-oriented for mutual development;
16 PEACE INSTITCE AND STRONG INSTITUTIONS		Strengthening industry exchange and cooperation to promote mutual development;
		Operating in compliance with laws and regulations, and strictly controlling risks;
		Strengthening corporate supply chain management and anti-corruption management.
6 CLEAN WATER AND SANITATION 7 AFERRIDABLE AND CLEAN DEBRY 8 BECENT WORK AND ECONOMIC CROWTH 0 MOUSTRY, UNIVATION NOT INFRASTRUCTURE 10 BEDUCED INCLUSTRY 13 CLIMATE 0 MOUSTRY, UNIVATION NOT INFRASTRUCTURE 0 BEDUCED INCLUSTRY 13 ACTION	Sustainable Finance	Supporting ESG-related transactions and issuing ESG funds to support sustainable development programs;
		Supporting infrastructure development through the issuance of green bonds and promoting financing for low-carbon solutions;
		Conducting ESG analysis to provide professional guidance for investors.
3 GC00 HEALTH ADD WELL-BEIRG 4 GUALTY EDUCATION 4 EDUCATION 6 5 EQUALTY 6 10 8 ECENTWIC GROWTH ECONOMIC GROWTH 10 REDUCATION 9 ECONOMIC GROWTH 10 REDUCATION	Employee Development	Adhering to the people-oriented concept and market-oriented talent management;
		Creating jobs for society and protecting employees' rights and interests in accordance with laws;
		Adhering to the principle of fairness and impartiality, and hiring employees based on job qualifications;
		Providing fair opportunities in appointment, promotion, remuneration and welfare benefits, development and training;
		Providing employees with a healthy and
		safe working environment.

6 CLEAN WATER AND SANITATION 7 ATORNABLE AND CLEAN DESKY 9 AND SATITATION Image: Comparison of the state of the	Environment- friendly	Acting upon the national green development strategy, adopting energy conservation and emission reduction measures to achieve green operation; Purchasing environment-friendly products; Advocating environment-friendly behaviors and raising public awareness of environmental protection.
1 POVERTY 2 ZERO 1 POVERTY 2 ZERO 1 POVERTY 10 REDUCED 4 QUALITY 10 REDUCED 1 Image: Additional state of the power	Giving Back to Society	Promoting inclusive finance to help with national development; Carrying out targeted poverty alleviation and contributing to society in various ways;

Topic I: Fight against COVID-19 through Various Measures

Winning The Fight Against COVID-19

COVID-19 brought huge impacts to the society. CITIC Securities actively takes on the responsibilities as a large securities company to ensure the stable advancement of pandemic prevention and control and security services at the same time. We made active contributions to the pandemic prevention and control and the economic development while providing stable customer services and safeguarding employees' health and safety.

Implementing pandemic prevention and control requirements

The Party Committee of CITIC Securities has made quick deployments for pandemic prevention and control, guided by the rules of "staying confident, working together, adopting scientific measures for pandemic prevention and control, and implementing targeted measures properly". CITIC Securities established a COVID-19 Response Team with members from relevant departments such as General Administration, Wealth Committee, IT, HR, Compliance, General Manager Office and Board of Directors Office, and developed business continuity planning and Emergency Plan. Party organizations, departments, business line and subsidiaries & branches at all levels have been performing duties proactively and diligently in accordance with the Company's general requirements, so as to guarantee the regular operation of businesses and the safe running of IT systems.

The Party Committee of CITIC Securities released the Announcement on Allocating Party Membership Dues to Support Grassroot Party Organizations in COVID-19 Prevention and Control in a timely manner, and implemented accordingly to support party organizations in pandemic prevention and control. The Labor Union of CITIC Securities arranged for our Hubei branch to purchase protective supplies immediately, and allocated RMB 3,500,000 for subsidiaries and branches around the nation to procure protective supplies. Our branches across the country purchased all kinds of protective supplies themselves, sparing no efforts to provide employees' health and safety.

Fighting on the front of pandemic prevention and control

CITIC Securities stood firmly at the front line of pandemic prevention and control. After the outbreak of COVID-19, CITIC Securities, together with CITIC Futures, China AMC and other subsidiaries, made immediate donations of RMB 20 million to Wuhan Charity Federation. We have also donated 1,000 goggles and 20,000 surgical masks to CITIC engineers working at the front line of the fight against COVID-19, 1,500 protective suits to Jiangxi Red Cross, 20,000 masks to Xinghe County of Inner Mongolia, and 180,000 disposable protective masks to Jishishan County Education Bureau of Gansu Province. Affiliates of the Company also actively participated in the actions against COVID-19. For example, Goldstone Investment's employees donated a total of more than RMB 40,000 to Red Cross, Charity Federation, public welfare institutions and other organizations, as well as over 1,000 protective suits to relevant hospitals in Wuhan. China AMC donated RMB 1,860,000 and RMB 120,000 to Peking Union Medical College Hospital and Beijing Tongren Hospital respectively as consolations for doctors and nurses fighting against COVID-19.

Ensuring provision of financial services

CITIC Securities has taken active measures to guarantee regular provision of financial services and protection of investors' rights and interests. CITIC Securities System Operation Team made emergency plans for dozens of business links such as entrusted appointment, quick cash withdrawal, scheduled transfer, contract repayment, in-transit businesses, account modification and calculation of default interest, and tested these plans individually in a testing system, to ensure the normal operation of systems. The Customer Service Contact Centre (Hangzhou) coordinated closely with the local government for the resumption of work and guaranteed the normal provision of off-site services. Some employees worked during the pandemic to ensure timely off-site services after the market opens.

CITIC Securities properly planned business hours of sales department, encouraged customers to make transactions online, and informed investors in time of relevant transaction plans through diversified channels such as the Company's official website, SMS platform, App notifications and customer manager phone-calls, so as to protect investors' rights and interests and their health and safety. In response to the delay of A share market opening, CITIC Securities made preparations in advance in the systems for certain businesses such as ordinary transactions, margin trading, stock options and monitoring of abnormal transactions. The company properly postponed business such as the entrusted appointment and securities margin trading contract expiration date and settlement, so as to protect investors' legitimate rights and interests. In addition, we made full use of all available finance technologies to provide online investor educations and online investment consulting services, guide investors to conduct rational and objective analysis of COVID-19 impacts, and encourage investors to develop the concept of long-term and value investment and make investments in compliance with laws and regulations.

Assisting enterprises in financing for pandemic prevention and control

The outbreak of COVID-19 has brought huge impacts to almost all industries. Many entities have suffered in the supply chain and operational cash flow, and seen declines in profitability and cash flow shortage. The market's concerns about the risk of credit defaults were rising, leading to large pressure on corporate bond financing. In active response to the deployments of the CPC Central Committee and the State Council, CITIC Securities supported the fight against COVID-19 by financial means. The Company has supported clients in anti-pandemic construction, production and material sourcing, demonstrating our sense of responsibility as a major player in the finance industry and conveying the positive message of working together to overcome difficulties. In 2020, CITIC Securities, as the lead underwriter, assisted 38 issuers in completing the issuance of 45 pandemic prevention and control bonds, raising a total of RMB 135.3 billion.

The pandemic prevention and control bonds principally underwritten by the Company covered areas such as construction of designated isolation and shelter hospitals in Hubei, provision of medical services and manufacturing of medical products and instruments in major affected areas across the country, procurement and transportation of pandemic prevention and control materials, people's livelihood security, financing services and resumption of work and production. The enterprises that the Company served covered all kinds of major enterprises for pandemic prevention and control such as state-owned enterprises, privately-owned enterprises, commercial banks, securities companies and finance charter companies in 14 provinces/municipalities/autonomous regions, such as Hubei and Beijing, and relevant overseas regions.

CITIC Securities, as the lead underwriter, has underwritten the bonds of a few major enterprises in the industries of material supply and logistics transportation, such as Wu Mart and Yunda Holding, raising a total of RMB 4.1 billion, to guarantee people's livelihood security during the pandemic. Wu Mart, a major provider of pandemic prevention and control materials in Beijing, resolutely implemented the strategy to guarantee people's livelihood and security by maintaining supply at fair prices. CITIC Securities served as the lead underwriter to underwrite Wu Mart's bond "20 Wu Mart 03" and sold credit default swap, helping Wu Mart raise RMB 300 million for pandemic prevention and control. Yunda Holding opened a special logistics and transportation channel during the pandemic to support the pandemic prevention and control in affected areas across the country, transported pandemic prevention supplies to affected regions many times for free, and voluntarily assumed the responsibilities of transporting construction materials to the Huoshenshan and Leishenshan hospitals in Wuhan. The bond "20 Yunda Holding MTN001" principally underwritten by the Company

represented the first pandemic prevention and control bond in the logistics industry, which raised RMB 500 million of pandemic prevention and control funds for Yunda Holding.

In 2020, as the lead underwriter, CITIC Securities assisted 10 issuers to complete the issuance of 10 asset-backed securities ("ABS") for pandemic prevention and control, raising a total of RMB 11.93 billion. The funds raised were used for transportation and purchasing supplies for pandemic prevention and control, environmental protection and water services, infrastructure construction and other affected industries that are essential to the national economy and people's livelihoods. Innovative models such as supply chain ABS were adopted to ease the liquidity pressure of SMEs and tide them over the pandemic.

On 14 February 2020, "CITIC Securities-Linklogis-CCCC SHEC Supply Chain Finance Special Asset-backed Plan (Pandemic Prevention and Control) (Phase II)", as the first anti-pandemic ABS in the market, was successfully booked and issued with a scale of RMB 230 million. The term was 1 year, and the senior coupon rate was as low as 2.80%. CCCC SHEC participated in the fight against the pandemic in Wuhan, and successively undertook the construction of multiple public health projects such as Wuhan Huada Pathogenic Biosafety Laboratory, Wuhan Sports Centre Shelter Hospital and Huoshenshan Hospital. Funds raised in this project were mainly used to assist enterprises participating in the construction of pandemic prevention and control projects such as hospitals in affected areas and scientific research laboratories, and to provide timely financial support to upstream supply chain SMEs to help them resume work in an orderly manner and ensure stable production and operation.

The "20 MCC 01" corporate bond principally underwritten by CITIC Securities was issued with a scale of RMB 2 billion. The funds raised were partly used for China First Metallurgical Group, a subsidiary of China Metallurgical Group Corporation based in Wuhan, to construct shelter hospitals in Wuhan and improve related facilities and equipment of hospitals.

Topic II:

Remain True to Our Original Aspiration Acting upon the National Poverty Alleviation Strategy

Comprehensive Poverty Alleviation

The year 2020 marked a milestone for building a moderately prosperous society in an all-round way, and the end to the battle against poverty. CITIC Securities always remains true to the original aspiration, and acts upon the national poverty alleviation strategy. We have gradually formed our own poverty alleviation philosophy and practices. By pooling the resources at all levels in the Company's system, we act as a reliable adviser for poverty-stricken areas and the poor people on the path to poverty alleviation, focus on targeted poverty alleviation, and seek suitable and feasible methods to give effective help to the front line of poverty alleviation.

Combining forces for poverty alleviation by joint efforts

Targeted poverty alleviation is a project requires joint efforts. By strengthening the leadership of the Party, CITIC Securities has established a responsibility organization structure with clearly defined roles and responsibilities, and people at all levels work together to this end by making full use of the Company's resources.

The Party Committee of CITIC Securities commits on organizational support, and has established a special poverty alleviation team. Each member, on behalf of relevant functions or business line, is responsible for establishing communication channels with poverty-stricken counties. Nearby branches provide regular logistic support for the team. CITIC Securities provides sufficient talent resources for poverty alleviation. Since 2011, the Company has been sending one employee every year to Shenzha County in Tibet to serve as temporary deputy County chief. In 2018, the Company sent two employees to the Finance Bureau of Huichang County, an old revolutionary base area in southern Jiangxi, to serve as temporary officers there, helping with the timely allocation of various resources of the Company to provide support with policies, solutions and technologies. We put great effort on building a collaborative work mechanism that can integrate internal employees, subsidiaries and other poverty alleviation entities of the Company, each with their own focus, to form a joint force.

Giving full play to our financial advantages and strengthening industrial assistance

In 2020, CITIC Securities was one of the first became one of the first to join the "Capital Market Poverty Alleviation Charity Alliance". We gave full play to our advantages of a wide range of business categories and outstanding comprehensive capabilities to provide systematic and multi-channel financial services and industrial support to poor areas. We also followed the "Green Channel" policy of the China Securities Regulatory Commission to provide financing services for poor areas.

The Company participated in multiple agricultural credit asset securitization programs initiated by the China Foundation for Poverty Alleviation (CFPA to leverage the functions of the bond market to support agricultural development. We successively completed the No.1, No.2, No.3 and No.4 special asset-backed plans of CD Finance public petty loans, raising a total of RMB 2,001 million.

Based on our own investment platform, the Company, together with other investors, invested a total of RMB 108 million to help with the technological upgrading, capacity improvement and regulated governance of Jiangxi Huichang Shi Lei Group, so as to support the local characteristic fluoride salt chemical industry.

Recognizing the global leadership of Trina Solar (an investment banking client of the Company) in the photovoltaic module industry, we introduced Trina Solar to the projects of poverty alleviation photovoltaic power plant construction in Huichang County, Jiangxi Province (a poverty-stricken County paired up with the Company under the national poverty alleviation program) and Xi County, Shanxi Province (a poverty-stricken County paired up with the Securities Association of China ("SAC")). The revenue from the grid-connected photovoltaic systems has become a stable source of income for officially registered poverty-stricken households and village collectives.

By cooperating with the local poverty alleviation offices, CITIC Securities also adopted an innovative poverty alleviation model of "insurance + futures" to gradually lift the officially registered poverty-stricken households out of poverty. In 2020, the Company participated in the OTC rubber options poverty alleviation program of Shanghai Futures Exchange ("SHFE") in Baisha and Qiongzhong counties in Hainan, and received a capital support of RMB 1.584 million from SHFE.

Branches of CITIC Futures cooperated with County and township governments and agricultural cooperatives to explore potential business opportunities and establish resource supply relationships, so as to serve "agriculture, rural areas and farmers" and help farmers disperse and transfer the agricultural product price risk. In 2020, CITIC Futures launched a series of OTC corn/dates/egg/apple options and "insurance + futures" poverty alleviation programs in poverty-stricken areas such as Huanan and Fujin Counties in Heilongjiang, Tongwei, Tianshui and Li Counties in Gansu, Leye County in Guangxi, Maigaiti in Xinjiang and Yanchang County in Shaanxi, investing a total of RMB 3.0821 million with own funds. In February 2020, CITIC Futures carried out targeted poverty alleviation activities in Pingxiang city in Jiangxi, and invested a total of RMB 300,000 to support projects such as tea-oil tree planting and processing, poverty alleviation workshop construction, tea planting and processing, renovation and upgrading of nursing homes, etc. in Kengkou Village, Zhangjiafang Town, Luxi County, Jiangbei Village, Hushang Town, Lianhua County, Nanling Village, Wanlongshan Town, Wugongshan District and Shenquan Town, Lianhua County.

CITIC Securities South China actively participated in financial poverty alleviation. It underwrote a special poverty alleviation bond (Phase I and II) non-publicly issued by Guangxi Liuzhou Construction Investment Development Co., Ltd. in 2020, raising a total of RMB 1.52 billion. In May 2020, CITIC Securities South China underwrote the Special Poverty Alleviation Corporate Bond (Affordable Housing) (Phase I) non-publicly issued by Guizhou Huazhushan Real Estate Co., Ltd. for supporting affordable housing in 2020, raising a total of RMB 500 million.

Poverty alleviation through education and empowerment

Education is crucial to poverty alleviation. CITIC Securities is committed to poverty alleviation through education support. We provided children in poor areas the access to quality education, strived to end poverty from being passed on to the next generations, laying a good foundation for sustainable development with long-term efforts.

By 2020, the Company donated RMB 8.37 million in supporting high school students in targeted poverty-stricken counties of Hebei Province and Shanxi Province, donated RMB 8.18 million to 6 rural kindergartens in Xainza County, Tibet Autonomous Region, benefiting 2,202 people in 483 families of 12 villages in the surrounding areas, lifted 156 herding families out of poverty through education with funds to "guarantee meals, accommodation and education".

In 2020, CITIC Securities concluded a one-on-one assistance agreement with Jishishan County, Linxia Hui Autonomous Prefecture, Gansu Province, where RMB 2,455,100 were dedicated to the construction of lavatory in local junior high schools for the sake of over 3,000 students and teachers living on campus. In September, CITIC Securities sent employees to Guyuan County in Hebei Province to carry out education and poverty relief activities. Employee representatives and impoverished students formed cross teams to participate in the cultural and sports competition and shared with each other what they had learnt at school and in the society, difficulties they were facing and confusion about the future, helping students build confidence.

In 2020, the Company, in partnership with the National Council for Social Security Fund, donated

medical equipment including color doppler to Xinghe County, Inner Mongolia Autonomous Region, and set up a training program of general medical practitioner to enhance basic medical service and level in Xinghe County, together with a training program for bellwethers of achieving prosperity to promote economic growth in Xinghe County. The Company altogether donated RMB 600,000 to Xinghe County.

CITIC Securities upholds the idea of "teaching a man to fish in addition to giving him a fish". It focuses on developing regional economies of poor areas and makes full use of existing resources, so as to inspire the potential of the impoverished. In light of the invisible hand of the market, CITIC Securities facilitates basic production and living conditions in poor areas apart from simply increasing income, aspires to establish a fair and proper system to promote cooperation among villagers in a well-organized way, invests heavily in collective economy and innovates endogenous development mechanism.

It is our duty of the times to prevail in the fight against poverty and eradicate absolute poverty, an obsession of the Chinese nation for thousands of years. Bearing the original mission in mind, CITIC Securities actively implements the national strategy of poverty alleviation, serves the real economy, and has its share in the building of a moderately prosperous society in all respects.

IV. ROBUST OPERATION



CITIC Securities adheres to the principles of standardized operation, diligence and responsibility, customer first, and practices compliance management, prevents money laundering risks, attaches importance to honest practice, and provides customers with high-quality services. We improve suitability management, deeply promote investor education, and standardize supply chain management to safeguard the company's interests and promote the Company's stable and healthy development.

(I) Standardized Operation

1. Compliance Management

The Securities Law of the People's Republic of China, Compliance Management Measures for Securities Companies and Securities Investment Fund Management Companies and other laws and regulations explicitly stipulate the duties and compliance management responsibilities of securities companies as underwriting institutions, including formulating and implementing compliance management systems, establishing a compliance management mechanism and preventing compliance risks. In 2020, CITIC Securities strictly obeyed the requirements of relevant laws and regulations and take a set of measures to ensure robust operation. In an effort to continuously optimize and regulate the compliance management mechanism, we have set out / revised 44 compliance management systems, including the Measures for Integrity Supervision and management (Exposure Draft), Information Barrier Procedures and Professional Integrity Regulations, in the current year. The Company is committed to strengthening the control over anti-money laundering, professional integrity and compliance, and promoting the implementation of relevant systems and mechanisms by means of process and system construction, promotion and education.

When onboarding, new employees are required to sign the *Legal Responsibility Warning and Commitment Letter*. A special chapter has been set out in the annual training of new employees to underline compliance with the law, honesty, integrity and other ethical requirements, foster compliance awareness in work among employees and effectively prevent from violations of conduct code, laws and regulations. As at the end of the reporting period, the Company was not aware of any significant violations of laws or regulations.

In 2020, the Company sorted out compliance management requirements and adopted a series of measures. In terms of integrating compliance management systems regarding information isolation, anti-money laundering, abnormal transaction detection, etc. with related systems of CITIC Securities South China, upgrading the abnormal transaction monitoring indicator system, establishing the risk assessment system of money laundering, sorting out and formulating the migration plan for the central control room, the Company effectively forestalled risks associated with information isolation, employee operation, interest conflict, anti-money laundering, abnormal transactions, etc.

2. Anti-money Laundering

The Anti-Money Laundering Law of the People's Republic of China and The Rules for Anti-Money Laundering by Financial Institutions stipulate that the financial institutions should build a sound Antimoney laundering internal control system and fulfil the anti-money laundering obligations of financial institution. In the current year, CITICS Securities fully complies with such laws and regulations. In response to regulatory changes and operational management needs, the Company has revised the Antimoney Laundering Rules on Client Identification and Risk Management, Rules for the Reporting of High-value Transactions and Suspicious Transactions, Guidelines on the Assessment of Business Money Laundering Risk, etc. and devised a variety of special systems in relation to performance appraisal, award and punishment, reporting of anti-money laundering, in a bid to enhance internal control over anti-money laundering.

In 2020, the Company conducted self-assessment on money laundering risk of legal entities from the perspectives of inherent risks, effectiveness of money laundering risk control measures, residual risk matrix, etc., so as to evaluate the money laundering risk objectively and fulfil the duties and obligations. Centering on the calculation criteria for customers' money laundering risk level, monitoring logic and suspicious transaction monitoring indicators, the Company upgraded the anti-money laundering monitoring system and the list monitoring system, to ensure effective and efficient anti-money

laundering work henceforth.

3. Professional Integrity

CITIC Securities upholds the code of conduct featuring "observation of the law, honesty and integrity" in strict compliance with the code of ethics. The Company identifies and obeys relevant laws and regulations, such as the *Anti-Unfair Competition Law of the People's Republic of China* and *Regulations on the Integrity of Securities and Futures Operation Institutions and Employees*, advocates and safeguards fair competition, protects legitimate rights and interests of investors and proactively maintains the market order.

The Detailed Rules for the Integrity of Securities Institutions and Employees, issued and taking effect on 12 March 2020, requires securities institutions and their employees to strengthen self-discipline on professional integrity. In line with requirements on anti-commercial bribery, anti-corruption, prevent the tunneling of interests. In accordance with laws and regulations, the Company has established a robust integrity internal control system and formed a management mechanism that covers the entire business process of pre-prevention, intra-event management and post-event accountability. In 2020, the Company revised *Rules of CITIC Securities Co., Ltd. On Integrating* to clarify management objectives and incorporate prevention and control of integrity risks in daily operations and business activities.

The Company attaches great importance to the cultivation of integrity culture and aspires to create a clean environment. The Company posts regulatory trends, articles promoting integrity and cases of breach of integrity and carries out employee integrity management training, by means of intranet, electronic journals, and WeChat public accounts, urging employees to stick to the bottom line of professional integrity. Through the implementation of cadres incorruptible letter inquiry, organization of the disciplinary committee secretary's incorruptible talks and signing of the Probability Letter of Integrity, the leaders' consciousness of responsibility at all levels was strengthened, and an environment of law and discipline, clear boundaries, rules, and integrity was established in the company.

The Company constantly strengthens the monitoring on employees' professional practices and takes disciplinary measures against breach of rules and regulations. The Company has formulated a whistleblower mechanism, the *Employee Compliance Code* and *Customer Complaints and Reporting System*, stipulating rules for internal whistle-blowing and for reporting on violations of the Company and its employees identified by clients, and potential compliance risks. A special whistleblowing hot-line and an e-mail address are in place to provide unimpeded supervision and reporting channel for integrity management, where information of whistle-blowers is kept confidential for safety, retaliation against whistle-blowers is cracked down on and the legitimate rights and interests of whistle-blowers are well protected.

(II) Customer-Oriented

1. Suitability Management and Investor Education

In strict obey the Administrative Measures on the Suitability of Securities and Futures Investors issued by the China Securities Regulatory Commission ("CSRC"), Securities Law of the People's Republic of China, Guidelines for the Suitability Management of Investors in Securities Trading Institutions (Trial) and other laws and regulations, CITIC Securities has amended and refined relevant suitability management systems along with the customer risk assessment questionnaire and scoring rubric, published the calculation criterion for product or service risk level and followed suitability code of conduct when selling products to investors, effectively assuming the "responsibility of sellers" and safeguarding legitimate rights and interests of investors.

In 2020, self-inspections were performed twice a year on suitability management of branches, demanding branches to prepare and submit self-inspection reports and take rectification measures accordingly. We arranged 3 sessions of on-site suitability management training for compliance champions of branches throughout the year. While an array of daily video trainings was conducted in branches on the suitability system, questionnaire revision and implementation of suitability management requirements on new businesses, e.g. STAR Market.

In addition to providing quality service, the Company is committed to further protecting investors' rights and interests, providing proper knowledge of securities, funds and futures, strengthening the awareness of risk prevention, lifting their ability of self-protection, advocating rational investment and pushing forward the steady and orderly growth of the financial sector.



Investor Education

CITIC Securities carried out the activity of "Month of Spreading Financial Knowledge to Households - Helping Customers to Be a Rational Investor and a Good Financial Netizen" to educate students the consequences of campus loans with real cases and advise them to be more vigilant about campus loans and to establish a correct and rational concept of financial management and consumption, with the theme of "Staying Away from Illegal Campus Loans and Adopting Rational Wealth Management Concepts". The Company has prepared and published brochures and a compilation of cases themed "Rational Investment - Escaping Illegal Securities and Futures Traps", the investor education handbook regarding the revised Securities Law of the People's Republic of China, and investor education videos titled "Secret to Equity Investment" and "Rational Investors" on the official website, so as to promote rational investment.

The Company joined hands with CSRC Investor Protection Bureau, Shanghai Stock Exchange and Dada Planet to hold a quiz game themed "Action Now - Learning and Implementing the Revised Securities Law" on the National Investor Protection Day, reinforcing the awareness of rational investment and risk prevention among investors.



2. Customer Service

CITIC Securities devotes itself to provide quality, comprehensive and professional service to its customers. In order to unify service standards and improve service quality, the Company has established a series of systems, processes and specifications for various business line, and compiled the *Compilation of Operational Business Regulations and Processes*, covering customer service, outlets management, and business assessment to effectively improve service. In 2020, the Company took various measures to further improve customer service, built a retail customer classification system and a wealth management customer service system, and upgraded the comprehensive teller

business platform, enabling efficient, high-quality and attentive customer service.

The Company has set up the centralized customer service center to provide clients with all-round standardized business operation services such as online business handling service, securities trading consulting and customer feedback collection. Relying on the Company's powerful information resources and research and development advantages, the services center constantly optimizes industry-leading customer voice and online interactive customer service platform, continues with business innovation, and creates an outstanding online business execution center in the securities industry.

The Company attaches great importance to customer service work, obtains customer feedback on services through various channels, continuously optimizes service processes and improves customer satisfaction. The Company constantly improves the customer complaint protection mechanism, follows closely the requirements of the complaint management system, specifies the responsible departments and persons for complaints handling, files the complaints after closure, conducts regular inspection, includes the assessment of the handling of customer complaints into the Company's compliance assessment system, and rewards and punishes the staff according to relevant measures. Meanwhile, the Company has established a multi-department coordination mechanism to improve the efficiency of claim processing and protect the legitimate rights and interests of customers.

(III) Product Responsibility

1. Information Security and Privacy Protection

The Company strictly obeys the Securities Law of the People's Republic of China, Law of the People's Republic of China on the Protection of Consumer Rights and Interests, Cybersecurity Law of the People's Republic of China and other relevant laws and regulations that set out clear rules on protection of customers' privacy. The Company adheres to the corporate information security policy of "Full Coverage, Prevention First, Classified Protection, Common Engagement and Continual Improvement", and keeps confidential the accounts opened by customers according to law. The Customer Account Business Regulations and Operational Guidelines, Implementing Rules for the Investor Suitability Management in Brokerage Business (Trial) and other systems have been formulated, in addition to security awareness promotion, to ensure data, application and terminal security, thus closely guarding customer privacy.

In the current year, the Company's efforts in sensitive information protection mainly included: establishing a new terminal security management mechanism; launching the employee communication behavior monitoring system at the company level; and deploying sensitive information flow monitoring tools to monitor sensitive information flow in real time and detect leakage incidents. On the grounds of the *Data Classification Guidelines for Securities and Futures Industry*, the Company had launched the sensitive data masking platform to detect and mask sensitive data in an automatic, collective and standardized manner, which was more secure and efficient than manual masking by different systems individually.

2. Protection of Intellectual Property

CITIC Securities strictly complies with the Advertising Law of the People's Republic of China, Trademark Law of the People's Republic of China, the Copyright Law of the People's Republic of China and other laws and regulations related to intellectual property. Such laws and regulations prohibit the Company from infringing the exclusive right to use a registered trademark of a trademark registrant or infringing the copyright of a copyright owner, bringing a significant impact on the Company's intellectual property protection. The Company has formulated relevant management measures for its trademark and copyright protection, such as the Trademark Management Measures (*Trial*) and *Copyright Management Measures (Trial*). The aforementioned management measures clearly stipulate the administrative departments and responsibilities of relevant intellectual property rights, as well as the ownership, exercise and protection of rights and interests, and designate the legal departments to instruct and supervise the implementation of the actual management. When the rights and interests of the Company are infringed upon, the legal department of the Company will safeguard its legitimate rights and interests in accordance with relevant national and local laws and regulations.

In 2020, in a bid to deepen employees' understanding of trademark management and intellectual property, the Company prepared the *Special Issue of Regulatory Policy Information Updates of CITIC Brand Management System*, in which the Company provided insight into the *Trademark Management Measures* of CITIC Group and relevant regulations of the Group on CITIC brand management. In addition, self-inspections were performed on usage of pictures in WeChat public accounts, Weibo and other we-media to forestall risk arising from infringement upon pictures.

3. Advertisement Compliance

In line with the *Advertising Law of the People's Republic of China* and *Interim Measures for the Administration of Internet Advertising*, advertisers are responsible for the authenticity of the advertising content, and the advertisement publishers shall check the relevant certification documents and the advertising content according to the laws and administrative regulations. We strictly comply with the provisions of these laws and regulations, and conduct strict examination and verification on the advertising content to avoid false publicity or misleading content.

(IV) Supply Chain Management

The Company carries out the procurement work with the spirit of fair and open cooperation and aims to standardize supply chain management, strengthen supply chain supervision, control supply chain risks, ensure procurement quality and safeguard the Company's interests.

The Company's Procurement Management Committee is the highest decision-making body of the Company's procurement management, and the Company's Executive Committee exercises the functions of the Procurement Management Committee. The Company strictly abides by the *Procurement Management System, Operation Rules of Procurement Management* and other relevant rules for procurement work and establishes the expert reviewer database, where internal and external experts provide honest and reliable opinions related to procurement and monitor the fulfilment of environmental and social responsibilities of suppliers.

The Company requires its suppliers or contractors to submit proof for their certain qualification at the stage of open bid. For example, bidders must provide ISO9001 Quality Management System and ISO14001 Environment Management System certification, as well as credit reference, balance sheets and operational performance for the last three years. By reviewing the qualifications and assessing the supply capacity and market position of the suppliers and contractors, the Company is able to minimize negative impact on the Company arising from potential environmental and social management risks.

According to the *Measures for the Management of Information Technology of Securities Fund Management Institutions*, the Company revised the procurement management system, such as *Information System Procurement Management Measures* and carried out a comprehensive combing of information technology service agencies, supervision and management, which defines the supplier and provide important information system services management process, admittance, personnel management, performance assessment and other specific management rules, so as to ensure effective supplier risk management. In actual procurement, the Company requires suppliers to provide quality, safety and environmental friendliness certificates, for example, EPEAT for environmental protection,

CNAS for noise control and quality reliability test (Mean Time Between Failures, MTBF).

The Company has established a complete set of IT project and manpower outsourcing supplier management processes, and has adopted a series of measures for supplier risk management:

Information Security Risk Management

In addition to signing contracts and confidentiality agreements with selected suppliers, the Company also signs *Information Security Confidentiality Agreements* and *Third-party Personnel Information Security Operations Notifications* with on-site personnel;



Safety Risk Management

The Company signs the *Safety Fire Protection Responsibility Letter* with the project personnel and on-site outsourcing personnel to further clarify the safety fire protection responsibility;



Supplier Employee Rights Management

The Company signs promotion, salary, bonus and other terms with the shortlisted human outsourcing suppliers to protect the legitimate interests of outsourcing employees.

After a supplier is included in the supplier database, the responsible management department conducts periodic review and removes unqualified suppliers. Where there are major changes of suppliers' basic information, the Company determines whether such supplier should remain in the database according to the supplier management rules.

V. SUSTAINABLE FINANCE



CITIC Securities is committed to sustainable economic growth and recognizes the important role of the financial sector for this end. We take the initiatives to make responsible investment and issue green bond in support of sustainable economic society.

Over the years, the concept of responsible investment is becoming increasingly popular in capital markets, as environmental and social issues are gaining increasingly attention. As a leader in domestic securities industry, CITIC Securities is committed to promoting and implementing the concept of responsible investment, and actively assumes responsibilities for the nation, the society and the natural environment.

Green financing aims at promoting the green development of real economy by means of finance, which has important economic, social and environmental effects. Following the National Carbon Neutralization goal, CITIC Securities actively supports green industry projects and assists a number of financial and non-financial enterprises to carry out green equity financing projects.

In 2020, CITIC Securities supported environmental protection technology enterprises and new energy enterprises to raise RMB 22.95 billion through green equity financing. The funds were all used for green industrial projects in accordance with laws and regulations and the approval from regulatory authorities. We assisted a number of enterprises in issuing green bonds with a total of RMB 7.8 billion for financing and leasing funds of green projects, hydropower project construction, and business development in green industry. We issued a total of RMB 4.75 billion of green asset-backed securities, and all of the projects were certified by green certification institutions.

CITIC Securities research department carried out research on responsible investment. By studying the impact of enterprises on the environment, social responsibility performance and corporate governance, the research department provides corresponding suggestions for investors and other participants in the capital market, and listed companies to make investment decisions, and helps them avoid ESG risks and obtain long-term sustainable investment returns. We released a series of articles entitled *Panorama of Carbon Neutralization* to provide guidance and suggestions for capital market participants from the aspects of carbon neutralization path, industry outlook and risk analysis, in response to the national pledge of peaking carbon emissions in 2030 and achieving carbon neutral in 2060.

In 2020, CITIC Securities won its second "China ESG Golden Award - Best Securities Company for Responsible Investment". China AMC, a subsidiary of CITIC Securities, is one of the first among China's fund management companies approved by the CSRC, and has made significant achievements in responsible investment.

Responsible Investment of China AMC

Management Framework

As a public fund company and an UN PRI Signatory, China AMC owns a robust ESG risk management framework, a designated investment research team and ESG Business Committee chaired by the general manager. The Committee consisting of heads of investment, sales, product and risk control departments convenes regularly to decide development goals and detailed plans of responsible investment.



At the end of the reporting period, China AMC had incorporated ESG concepts into investment of over RMB 40 billion of actively managed equity funds.



• China AMC became the first public fund company in China signing UN PRI in March 2017.

• China AMC devotes itself to apply the six Principles for Responsible Investment and systematically incorporates SEG issues into investment processes.



• China AMC is the first Chinese asset management institution joining Climate Action 100+ and aspires to facilitate interaction with listed companies in China and disseminate knowledge in relation to climate issues and sustainable development.

• China AMC, as the first Chinese asset management institution joining CA100+ Asia Advisory Group, takes active part in formulating CA100+ strategies targeting Asia.



• China AMC is a proponent of TCFD under Financial Stability Board, which facilitates climate-related disclosures with the aid of the internationally-recognized framework.



• China AMC was honored as "China ESG Golden Award -Best Fund Management Company for Responsible Investment" in 2019 and 2020.

In 2020, China AMC was among the first in China's asset management companies to be awarded the top score "A+" in the section of "Strategy and Governance" in the annual PRI signatory assessment, for its practice in responsible investment system.



Investment Policies

China AMC has a sophisticated ESG investment research processes with consideration to significant ESG risks. The Responsible Investment System of China Asset Management Co., Ltd. and ESG Communication System of China Asset Management Co., Ltd. are in place to advice the Company and employees on responsible investment practice.

China AMC is the first to directly include the ESG research team in the investment department and actively applies 6 ESG investment processes of strategy formulation, fundamental analysis, portfolio management, risk control, dialogue with listed companies, and portfolio monitoring and reporting, for the purpose of proper control over ESG risks and long-term returns.

Backed by international mainstream ESG evaluation systems, the ESG research team of China AMC has developed a set of ESG fundamental analysis framework applicable to the domestic market, with reference to features of Chinese public companies. The risk control department has constructed an internal negative information screening system across the Company to identify and warn of ESG risks of investing the underlying in a timely manner by virtue of capture and filtering of key words. On a quarterly basis, ESG researchers report ESG risk exposure of portfolios to respective fund managers, drawing their attention to adjust position size or follow up the reported risks. Also, the ESG team makes in-depth exchanges with over 20 major public companies on ESG practice, where all reported positive results and some got a higher third-party ESG rating.



ESG Fund Products

In 2020, an ESG UCITS fund managed by China AMC was launched in Luxembourg and the Netherlands, which was the first of its kind worldwide targeting China's equity market. The fund is the inaugural ESG-integrated UCITS product managed by Chinese fund management companies, targeting companies with leading position, ongoing cash flows, higher valuation level, sound corporate governance, responsible business mode and large market value, as at 31 December 2020, the yield of the fund since its foundation registered 87.92%, way beyond the benchmark index yield of 31.87%, while the MSCI ESG rating of the fund was BB, a level higher than that of the benchmark index.

In addition, China AMC issued two ESG public funds targeting the new energy industry chain, i.e. China AMC Energy Innovation Equity Fund and China AMC Energy Saving and Environmental Protection Equity Fund, with cumulative returns of 189.70% and 117.14% and annualized rate of return of 34.22% and 25.32% respectively. As at 31 December 2020, China AMC offered CSI New Energy Vehicles Index ETF tracking CSI Index with a cumulative return since its foundation of 71.39% and an annualized return of 81.14%.

VI. EMPLOYEE DEVELOPMENT



CITIC Securities focuses on caring for employees and is committed to providing a comfortable workplace for employees. The Company sets up a strong career development platform for employees to achieve a common progress between the Company and employees.
Being people-oriented, the Company gives full play to employees' knowledge, skills, talent and professionalism. The Company strictly obeys *Labour Law of the People's Republic of China* and the *Labour Contract Law of the People's Republic of China* and regulations that have significant impact for employment management. Such laws and regulations require the Company to recruit employees in a fair and equitable manner and to enter into labor contracts with employees that specify the duration of employment and the reasons for termination. These laws and regulations also require the Company to determine wage distribution method and wage level according to law, pay employees on time according to law, and guarantee workers' rights to take rest and leaves.

The Company formulates the *Attendance Regulations* and the *Labour Contract Regulation* and other internal regulations and implementation rules according to relevant laws and regulations. During the recruitment process, the Company strictly reviews the information of the new employees and handles the recruitment procedures according to the laws. The Company fully respects the dignity and personal equality of every employee, forbids any form of insulting discrimination, and firmly prohibits forced, threatening, abusive or exploitative labor behaviors and the employment of employees under 18 years old. In 2020, the Company was not aware of any major violation of employment laws and regulations.

(I) Employee Diversity

The Company values fairness and diversity. The diversity in race, gender, age, skill, educational background, industry experience and other qualities of the employees lay a foundation for the Company in creating a diversified and inclusive corporate culture.

Overview of Employment Structure	2018	2019	2020
Number of employees of the parent company (including brokers and dispatched employees)	9,245	9,135	10,976
Number of employees in major subsidiaries (including brokers and dispatched employees)	6,597	6,773	8,036
Total number of employees on active duty	15,842	15,908	19,012
Number of retired employees whose expenses are borne by the parent company and major subsidiaries	243	305	368
By Business Category			
Business Personnel	12,675	12,925	15,638
Information Technology	1,027	1,049	1,133
Finance Planning	601	497	508
Administration	357	313	355
Others (including liquidation, risk control, legal, compliance, supervision, audit, etc.)	725	771	1,378
By Educational Background	1		
PhD	226	246	290
Master	5,096	5,554	7,019
Bachelor	9,288	9,131	10,663

As of the end of the reporting period, the composition of the Company's employees was as follows:

College and below	1,232	977	1,040
			1

(II) Protecting Employees' Rights and Interests

The Company continuously optimizes policies for the personal management, improves human resource management systems in the headquarters and branches, and formulates administrative implementation rules and operating procedures, so as to attract and retain talents. The Company also provides competitive salary, welfare and incentive mechanism for employees, reasonably arranges employees' work and vacation time, thus protecting employees' health and safety and providing warm-hearted care to them.

1. Employee Communication

The Company has set up departments for protecting employees' rights and interests, such as the trade union and employees' congress, and established democratic management mechanisms to collect and address feedbacks on a timely basis. At the same time, the Company also conducted investigation at the primary level, including seminars, to understand the development of businesses at the primary level, and collect opinions and suggestions from the primary level on the Company.

The Company has carried out employee satisfaction surveys for years, and generated "Employee Satisfaction Report" to provide feedback to departments. This contributes to an efficient and collaborative organizational atmosphere for the mutual development of employees and the Company.

2. Compensation and Benefits, Leaves and Working Hours

The Company's employee compensation consists of salary, annual bonus, special reward and insurance benefits. The Company adopts a bonus incentive principle of sharing system and bonus is always linked to business performance of the Company. The Company recognizes that the profits are mainly directly made by the business departments, and distributes bonus based on "more bonuses to business lines, more to profitable business lines, and more to important and innovative business lines". In bonus distribution, the Company also recognizes the role and value of middle and back office.

The Company has established a comprehensive welfare and security system. In addition to basic social insurance, such as basic ageing care, basic medical care, unemployment, work injury, and maternity, the Company provides supplementary commercial insurance, including major illness insurance and accident injury insurance, etc. The Company also provides other benefits such as corporate annuities.

The Company formulated *Attendance Management* to standardize the leave management. The types of leave include national holiday, paid annual leave, personal leave, sick leave, occupational injury leave, marriage leave, funeral leave, maternity leave, maternity incentive leave, paternity leave, family planning leave and breast-feeding leave.

3. Protecting Employees' Health and Safety

The Company insists on prioritizing the people orientated standard and valuing to life. The Company regards protecting the safety and health rights of employees as the fundamental responsibility to employees.

Under the policy of safety first, prevention first and comprehensive management, the Company strictly abides by the *Labour Law of the People's Republic of China*, the *Fire Control Law of the People's Republic of China* and other laws and regulations. The Company establishes and improves labour safety and health systems, strictly implements national labour safety and health regulations and standards, and provides employees with trainings on labour safety and health. The Company actively fulfils its obligations to maintain fire safety, protects fire facilities, prevents fire accidents, and reports

fire alarms to ensure fire safety. The Company has established *CITIC Securities Co., Ltd. Fire Management Regulations, CITIC Securities Co., Ltd. Security Management Regulations, CITIC Securities Co., Ltd. Tenants and Visitors Management Regulations, CITIC Securities Co., Ltd. Office Building Item Entry and Exit Regulation and other related rules and regulations. Adhering to the security work principals of "Individual Protection, Physical Protection, and Technical Protection", the Company comprehensively strengthens various security Leadership Group, and assigned the safety of operations. The Company has also established a Security Leadership Group, and assigned the safety officer for each department to carry out various safety work, and comprehensively covers the safety tasks within the Company.*

In 2020, the Company carried out fire safety inspections, arranged fire drills and fire extinguisher operation trainings for employees, and regularly pushed fire safety knowledge and emergency skills through official WeChat public account to improve employees' emergency handling and self-rescue capabilities. The Company developed intelligent building system, and installed facial recognition system in all gates to efficiently and conveniently manage incoming and outgoing employees and visitors.

Every year, the Company organizes all employees to get medical examination and provides benefits such as free influenza and hepatitis B vaccine. The Company has cooperated with Dingxiang Health Service to provide employees with services such as health assessment, health consultation, and health science popularization, and actively conduct training seminars that are beneficial to the physical and mental health of employees to help release pressure.

(III) Empowering Employee

1. Employee Training

The Human Resources Department of the Company makes annual training plans according to the existing training system and in combination with business requirements every year, and provides comprehensive or professional training courses for employees at different positions and levels, in order to help employees achieve their own development, implement the goal of training talents, and achieve common growth of employees and the Company.

Management Training

The Company has launched the "Voyage Plan" and "Sailing Plan" for the middle-level management to broaden their visions, and organized cross-border visits and exchanges on innovative topics with high-tech companies. Third-party consulting companies have also been invited to assess the leadership style of the participants, provide professional evaluation, and guide the participants to comprehensively use diversified management styles and methods in management so as to meet the development needs of the Company.



Backup Management Training

The Company has launched the "Sailing Plan" targeted at backup management. The training is conducted in the form of online courses and case studies, which selects trainees to act as internal instructors so as to develop their leadership skills. In addition, department heads are also invited to act as mentors to give daily training and guidance, facilitating the development of backup management.

New Employee Training

For new employees, the Company has adopted an approach combining "live broadcast + online push" based on the overall course framework, and applied the "4321" training system ("Four steps training system", "Triple teamwork", "Two major challenges" and "A growth profile") to help new employees acquire basic skills and rapidly grow into combat-capable professionals. The Company has built an interactive platform within and between the trainee groups, and launched new teamwork programs such as the "Charm Display and Design Competition" and "Grief Grocery Store" to fully motivate new employees, increase cohesion among them, and cultivate teamwork spirit.



2. Employee Promotion

The Company has a scientific rank system for employees' promotion and performance evaluation, and

provides equal development opportunities for all employees.

Case

Promotion Ceremony for ED/MD Employees

In order to enhance the sense of responsibility and honour among the newly promoted senior employees, the Company promotes horizontal communication among employees from different departments. In 2020, the Company held promotion ceremony and communication meeting for newly promoted ED (Executive Director)/MD (Managing Director). Zhang Youjun, Chairman of the Company, attended the meeting and sent cheerful message to newly-promoted senior employees and expressed his hope.



(IV) Employee Care

The Company promotes healthy working methods, attaches great importance to care of employees, provides a good working environment for employees, and strives to improve employees' well-being. In 2020, the Company launched a variety of employee activities to enrich employees' work and life, strengthen communication among employees, and enhance team cohesion.



Walkouts to Celebrate the Company's 25th Anniversary

At the 25th anniversary of the Company, CITIC Securities organized walkout activities to encourage employees to enjoy the sunshine and fresh air outdoors. Departments, subsidiaries and branches actively participated in the activity. The activity also integrated learning of Party building, company development history, discipline inspection, compliance and trade union, through online and offline activities.



Grassroot Labor Unions Activities

In 2020, the Company continued to strengthen its support to the activities of grassroot trade unions, by promoting the construction of "Home to Staff".

Care for Female Employees

The Company cares about the physical and mental health of female employees. It organizes activities and protects their rights and interests. In 2020, the Company further reviewed and updated the special collective contract for the protection of the rights and interests of the Company and female employees, and set up breastfeeding rooms and "mummy huts" for their convenience. During Women's Day, the Company carried out "On-line Fitness Activity" and "Learning a Classical Dance" activity for female employees.

Employee Mutual Fund

The Company adheres to the concept of "No One is Left Behind Along the Road to Well-off" with focus on three major groups, including those with serious illness, whose families in need and single mothers in need. The Company set up Employee Mutual Fund. In 2020, the Company allocated RMB 542,500 to help nine qualified employees from families in need and eight employees with serious illnesses.

VII. ENVIRONMENT-FRIENDLY



CITIC Securities actively implements the green operation concept and adopts a series of environmental protection measures to save energy and reduce emissions in offices and data centers to minimize the environmental impact of its operations. The Company implements green procurement and gives priority to environment-friendly products. The Company encourages employees to set up environmental protection consciousness and adheres to the philosophy of ecological civilization in an effort to promote living in harmony with nature. It is China's national policy to conserve resources and protect the environment. The *Energy Conservation Law of the People's Republic of China* requires all units and individuals to perform energy conservation obligations in accordance with the law. The *Environmental Protection Law of the People's Republic of China* emphasizes that all units and individuals have the obligation to protect the environment, and enterprises should prevent and reduce environmental pollution and ecological damage. CITIC Securities strictly abides by these laws and regulations, and continuously promotes and improves green operations, environmental protection and other related measures to ensure the effective implementation of energy conservation and emission reduction work.

(I) Green Operation

The Company actively adopts green office measures and continues to implement energy-saving plans through saving electricity consumption for lighting, banning installing or changing electric wire without permission, setting air conditioners in public space to a proper temperature, saving water in toilets, encouraging paperless office, etc. By replacement of traditional illumination with LED lightings, the power consumption and heat emission of office illumination were reduced, and hazardous waste, such as fluorescent lamps were also reduced. In 2020, the Company upgraded its access control system with new face identification panel machines to reduce the consumption of temporary visitor cards and then avoid waste generation. The Company reasonably adjusts the heating water temperature according to the indoor and outdoor temperature, and the energy consumption of headquarters building during the heating season in 2020 decreased by 1,148 GJ compared to the same period in 2019.

The Company actively responds to the national call on water conservation, and makes water-saving plans according to the actual operation and puts them into practice. In order to achieve the goal of saving water, we renovated the water purification system in Beijing headquarters building for wastewater recycling, where the filtered wastewater from the main unit is collected into an underground water tank through new pipelines for further reuse. In 2020, the water consumption in Beijing Office of CITIC Securities Headquarters reduced by 12,000 tons compared to 2019.

The total usable area of the Company's Beijing data center is about 3,000 square meters, and the construction standard is Tier 4, which has reached the first-class level in China and the leading level in the industry. It has won many highest awards in data center design and construction in China.

CITIC Securities International is committed to reducing effects on environment and became one of the first financial companies in Asia to obtain ISO14001 certification in 2007. CITIC Securities International has established an Environmental Management System (EMS) in accordance with ISO14001, under which, CITIC Securities International reduces the use of natural resources such as materials, energy and water, pays attention to indoor air quality, and takes active actions to reduce carbon emissions.

(II) Green Procurement

The Company attaches importance to green procurement, actively implements environmental protection requirements during the selection process of the Company's suppliers and contractors, and proposes environmental protection requirements for the purchased products and construction environment from material selection, furniture selection, and construction management:

Material selection	Selecting qualified materials that meet national environmental protection standards, providing relevant reports on environmental testing, and strictly managing the procedures for on-site inspection and acceptance testing.
Furniture selection	Choosing qualified products that meet national environmental protection standards, and follows high environmental protection standards in the industry especially for the main materials, such as sheet materials, cloth, etc.
Construction management	Construction procedures that produce pollutants are scheduled for weekends and holidays, and are moved outside the building. Newly renovated floors will only be put into use after testing shows that the air quality meets standards.

(III) Strengthening Environmental Protection Consciousness

Many places put forward higher policy requirements for waste sorting. In 2020, the Company launched campaigns of waste sorting and recycling, such as replacement with sorting bins and bags, posting related marks and labels, setting up bulletin board for "Waste Sorting", and launching the Q&A campaign themed as "Leading in Waste Sorting, Green Life Accompanies Us" through internal OA system, in order to enhance employees' environmental consciousness and advocate a eco-friendly way of life. The office building in Beijing has achieved 100% waste sorting.

CITIC Securities International formulates environmental policies, takes various initiatives, actively participates in major events such as the Earth Hour and the World Earth Day, and organizes employees to participate in environment-related community activities such as tree planting and beach cleaning programs.

(IV) Table of Key Environmental Data

In 2020, the data covers the head offices of CITIC Securities, CITIC Securities (Shandong), CITIC Securities International, Goldstone Investment, CITIC Securities Investment, CITIC Futures, China AMC and CITIC Securities South China. Compared with 2019, the scope expanded to include CITIC Securities (Shandong), CITIC Securities International and CITIC Securities South China.

Emissions

Indicator	2019	2020
Total GHG emissions (Scope 1 and 2) (tonnes)	23,630.65	26,912.66
Direct emissions (Scope 1) (tonnes)	667.35	633.55
Gasoline	88.28	124.12
Diesel	31.15	28.41
Natural gas	547.92	481.02
Indirect emissions (Scope 2) (tonnes)	22,963.30	26,279.11
Purchased electricity	22,963.30	26,279.11
GHG emissions per square meter (tonnes per square meter)	0.17	0.16
Hazardous waste (tonnes)	49.65	1.15

Hazardous waste per capita (tonnes per capita)	0.0109	0.0002
Non-hazardous waste (tonnes)	7.38	13.90
Non-hazardous waste per capita (tonnes per capita)	0.0016	0.0019

Note:

(1) Based on the business nature, the main emissions are greenhouse gases (GHG) produced by fuel and purchased electricity converted from fossil fuel.

(2) The Company's GHG inventory includes carbon dioxide, methane and nitrous oxide. Greenhouse gas emission is presented as carbon dioxide equivalent. It is calculated according to *Baseline Emission Factors for Regional Power Grids in China (2019)* released by Ministry of Ecology and Environment of the PRC, carbon intensity data from CLP Holdings Limited 2020 Sustainability Report Summary Review and HK Electric Investments Sustainability Report 2019, and IPCC Guidelines for National Greenhouse Gas Inventories (2006, 2019 Edition) by the Intergovernmental Panel on Climate Change (IPCC).

(3) Hazardous waste from operation mainly includes used toner cartridges, ink cartridges, fluorescent tubes and waste lead-acid accumulators. Used toner cartridges and ink cartridges are collected by the printer suppliers for recycling, while used fluorescent tubes are replaced by the office property management company, who handles these tubes over to eligible recyclers. Waste lead-acid accumulators are disposed of by qualified vendors.

(4) Non-hazardous waste mainly includes waste electronic devices and office furniture, which are collected and disposed of by recyclers.

Use of Resources

Indicator	2019	2020
Total energy consumption (MWh)	36,104.19	40,557.58
Direct energy consumption (MWh)	3,281.23	3,075.08
Gasoline	360.63	507.03
Diesel	118.48	108.05
Natural gas	2,802.12	2,460.00
Indirect energy consumption (MWh)	32,822.96	37,482.5014
Purchased electricity	32,822.96	37,482.50
Energy consumption per square meter (MWh/square meter)	0.25	0.24
Water consumption (tonnes)	145,192.00	128,369.00
Water consumption per square meter (tonnes/square meter)	1.02	0.89

Note:

(1) Energy consumption is calculated using the consumption of electricity, gasoline, diesel and natural gas and the conversion factors provided in the PRC national standard, *General Principles for Calculation of Total Energy Consumption* (GB/T 2589-2008).

(2) Water is sourced from municipal supply, and there is no issue in sourcing water for operation. As the water charges of CITIC Securities Shanghai Office, CITIC Securities South China Headquarters and CITIC Securities International Headquarters are included in the property fee and cannot be accounted separately, the scope of water consumption data does not cover these areas.

(3) Due to the business nature, we do not use packaging materials. Data of packaging materials is not applicable.

VIII. GIVING BACK TO SOCIETY



CITIC Securities is committed to improving people's livelihood, actively fulfils its social responsibilities, responds to national policies and development strategies, and enthusiastically supports social welfare undertakings to serve the public with financial services. The Company gives full play to business advantages and empowers national development with financial services, enthusiastically supports social welfare undertakings, and actively fulfils social responsibilities by means such as donating funds to support education, helping the poor, paying attention to socially disadvantaged groups, and engaging in environmental protection.

(I). Inclusive Finance

The Company is committed to giving back to society to achieve harmonious co-existence and sustainable development. As a leading securities company in the industry, CITIC Securities actively supports inclusive finance in an effort to contribute to national development through specialized financial services.

Committed to promoting inclusive finance, the Company has participated in multiple agricultural credit asset securitization programs initiated by the China Foundation for Poverty Alleviation (CFPA), and successively completed the No.1, No.2, No.3 and No.4 special asset-backed plans of CD Finance public petty loans, raising a total of RMB 2,001 million. In 2020, CITIC Securities - CD Finance inclusive finance No. 1 Trust Beneficial Asset-backed Special Plan and CITIC Securities - CD Finance Public Petty Loans No. 11 Asset-backed Special Plan underwritten by the Company headquarters were issued, raising RMB 500 million in each issuance. CD Finance is a small and micro financial service provider rooted in poor rural areas. It aims to solve the loan problems for medium and low-income rural groups who have no access to the services of traditional financial institutions, and help them develop production and increases income. In this round of financing, CD Finance will provide more financing channels to meet the diversified financial needs of rural people in an all-round way, and promote the rapid and sound development of small and micro financial services in rural areas.

(II). Public Welfare Donations

The Company strives to be an excellent corporate citizen, enthusiastically supports social welfare undertakings by means such as leveraging financial strengths to support industries and rural revitalization; providing educational assistance to left-behind children so as to contribute to the development of education in rural areas. Overseas subsidiaries are also actively engaged in public welfare programs all over the world, and proactively fulfil our social responsibilities.

CITIC Securities has been engaged in the frontline of epidemic prevention and control. According to incomplete statistics, CITIC Securities and its subsidiaries including CITIC Futures and China AMC, donated approximately RMB 22 million in emergency assistance to Wuhan Charity Federation and follow-up support to medical workers in the fight against COVID-19 in Wuhan. CITIC Securities in active response to relevant deployments of the CPC Central Committee and the State Council. In order to support the overall development of financial anti-epidemic efforts, we supported clients in anti-epidemic construction, production and material sourcing, and made every effort to maintain the stability of the capital market. In 2020, CITIC Securities, as the principal underwriter, assisted 38 issuers in completing the issuance of 45 epidemic prevention and control bonds, raising RMB 135.3 billion in total.

In 2020, keeping social responsibilities in mind. CITIC Securities provided systematic and multichannel financial services through our own investment platform and customer bases, to support targeted poverty alleviation through ways such as asset securitization and "Insurance + Futures" to help the economic development of poor areas and improve people's livelihood.

CITIC Securities is deeply engaged in poverty alleviation through education, and strives to make the children in poor areas receive good education. In 2020, the Company signed the "Business-to-County" pairing action agreement with Jishishan County to help improve sanitation facilities for local middle school teachers and students; and, in cooperation with the National Council for Social Security Fund, donated medical equipment to Xinghe County and set up a general medical practitioner training program.

CLSA Chairman Trust Fund ("Trust Fund") is committed to providing financial and human support to

vulnerable groups and communities in Asia, Australia, Europe and the Americas. The core objective of the Trust Fund is to reduce poverty and provide subsidies to small and medium-sized NGOs in a range of fields including education, health and welfare, business and environmental corporates to support quantifiable and sustainable projects. Since its establishment in 2007, the Trust Fund has set up 7,000 campus scholarships and 1,372 university scholarships, and funded a cumulate number of 4,000 free medical operations, with a donation of more than USD 27.96 million. The Trust Fund has carried out in-depth cooperation with 130 grassroots NGOs, benefiting more than 500,000 people worldwide.



Educational Donations

Since 2012, CITIC Securities has cooperated with Guyuan County Government to sponsor 100 high school freshman students from needy families every year. By 2020, we have provided a total of RMB 2.72 million donation funds.In September 2020, CITIC Securities organized employees to carry out poverty alleviation activities in Guyuan County, to share their learning experience with students and encourage them to strengthen their confidence, overcome difficulties and study hard.



Empowering Farmers

The Trust Fund has been supporting the independent cultivation and production of organic tea products by poor farmer households in Tengchong, Yunnan. With the help of the cooperative programme, local farmers in Tengchong, Yunnan, upgraded tea processing equipment to improve processing efficiency and tea quality; expanded the scale and acquired knowledge and skills of farming, thus raising household income.



APPENDIX I: LIST OF HONORS

1. The Company

Issued by	Award
SSE	2019 Excellent Options Market Maker 2020 Special Award for Epidemic Prevention and Control, Excellent Underwriter of Financial Bonds, Excellent Underwriter of Local Government Bonds, Excellent Underwriter of Corporate Bonds, Excellent Underwriter of Corporate Bond Innovative Products, Excellent Manager for Asset Securitization Business, Excellent Manager for Asset Securitization Innovative Business, Excellent Bond Dealer, Excellent Bond Investment Institution (Proprietary, Asset Management), Excellent Participating Institution for Bond Lending, Excellent Participating Institution in Credit Protection Tool Business, Excellent Trustee
SZSE	2019 Excellent ETF Liquidity Service Provider 2020 Excellent Corporate Bond Underwriter, Excellent Asset Backed Special Plan Manager, Excellent Bond Duration Management Institution, Excellent Private Enterprise Financing Supporting Institution, Outstanding Underwriter Award in Interest Rate Bonds, Excellent Bond Investment Trading Institution, Positive Contribution Award to Bond Trading Mechanism Optimization, Excellent Cross-market Bond Underwriting Transferred to Custodian Institution
Shenzhen Municipal Government	Runner-up Prize of 2019 Shenzhen Financial Innovation Award: CITIC Securities Quantitative Trading Platform
National Interbank Funding Centre	Core Dealer, Excellent Dealer in the Bond Market, Excellent Dealer in the Derivatives Market, Outstanding Contribution in Opening Up, Market Innovation Award, Trading Mechanism Innovation Award, Automated Trading Innovation Award
Insurance Asset Management Association of China	2019 Most Popular Securities Institution in Insurance Asset Management 2019 Most Popular Securities Institution in Insurance Asset Management
China Development Bank	Excellent Underwriter in the Exchange Market, Outstanding Underwriter in the Interbank Market, Excellent Market Maker in the Interbank Market, Overseas Market Promotion Award, Best Research Cooperation Institution, Buy and Sell Excellent Institution
Agricultural Development Bank of China	Excellent Underwriter Award, Best Broker Institution Award, Outstanding Contribution Award for Anti-epidemic, Excellent Secondary Market Maker of Agricultural Development Bonds, Excellent Bond Connect Market Maker of Agricultural Development Bonds, Outstanding Underwriter of Exchange

	Financial Bonds, Best Cooperative Underwriter
	Award for Overseas Bonds (CLSA Limited)
Bond Connect Company	Top Market Maker 2020, Marketing Award
Limited SRP	Best Domestic House, Best Distributor, Best Index Provider, Best Performance
	2020 Achievement Award
Finance Asia	Best M&A Project of the Year: Assets Restructuring of China Oil & Gas Pipeline Network Corporation
	2020 Best Corporate Finance and Investment Bank in China
	Best Broker in China, Best Domestic Equity Financing Broker, Best Domestic Debt Financing Broker
	2020 China ABS Leader Award
Asiamoney	Best ABS Underwriter for Auto Loan, Most Innovative Securitization Business
	Best MBS Deal of the Year: Gongyuan Yiju First Tranche of Personal Housing Mortgage Loan Asset-backed Securities in
	2020 (The first LPR linked RMBS)
	2020 China Enterprise M&A Award
	Best M&A Deal of the Year: Asset Restructuring of China Oil & Gas Pipeline Network Corporation
Merger Market	Best Consumer Industry M&A Deal of the Year: Wumart's Acquisition of Metro
	Best Financial Services Industry M&A Deal of the Year: Restructuring of Baoshang Bank
	Triple A Country Awards 2020
	Best Consultant for Local Corporates and Institutions, Best Local Equity Consultant, Best M&A Consultant
The Asset	Best Anti-epidemic Project: Wumart's Bonds for Epidemic Prevention and Control
	Best IPO Project: Cambricon
	Best Asset-backed Securitization Project: DEBAO TIANYUAN ZHIXIN First Tranche of Personal Auto Mortgage Loan
	Asset-backed Securities in 2020
	2019/2020 Triple A Sustainable Investing Awards
	Best Domestic Trustee Award (Broker Category — Rising Star Award)

	Coinin Conital Market Askingmant Assessed for 2010
Caixin Media	Caixin Capital Market Achievement Awards for 2019
	No. 1 Best Investment Bank, No. 1 Best Investment Bank for Financial Industry, No. 2 Best Investment Bank in Industries,
	No. 3 Best Investment Bank in TMT Industry
	Best Stock Underwriting Broker No. 1, Best Bond Underwriting Broker No. 1, Best A-Share Underwriter No. 1, Best
	A-Share IPO Underwriter No. 1, Best A-Share Non-public Issuance Underwriter No. 2
	Best Financial Bond Underwriter No. 1, Best Asset Securitization Underwriter No. 2, Best Corporate Bond Underwriter
	No. 2, Best Onshore Green Bond Underwriter No. 2, Best Corporate Bond No. 3
	The 13th New Fortune Best Investment Bank
	Best Local Investment Bank No. 1, Best Investment Bank in Equity Underwriting No. 1, Best Investment Bank in Debt
	Underwriting No. 1, Best Refinancing Investment Bank No. 1, Best STAR Market Investment Bank No. 1, Best IPO
	Investment Bank No. 2, Best Investment Bank in Mergers and Acquisitions No. 2, Best Investment Bank in Serving
	Overseas Markets No. 2, Best NEEQ Investment Bank No. 3, Best Investment Bank in Aerospace and Military Industry
	No. 1, Best Investment Bank in Finance & Real Estate No. 2, Best Investment Bank in Medicine & Health No. 3, Best
	Investment Bank in TMT No. 4
	Best IPO Project: No. 1 (PSBC), No. 2 (CZ Bank), No. 4 (Baofeng Energy)
New Fortune	Best Refinancing Project: No. 1 (Non-public Issuance of Preferred Shares of the Bank of China), No. 2 (Non-public
	Issuance of Preferred Shares of the ICBC), No. 4 (Restructuring and Listing of Easyhome New Retail), No. 5 (Non-public
	Issuance of Preferred Shares of the Industrial Bank), No. 6 (Overall Listing of the CITIC Special Steel), No. 8 (Non-public
	Issuance of China Eastern)
	Best STAR Market Project: No. 1 (CRSC), No. 3 (Montage Technology)
	Best Overseas Project No. 2 (COFCO Property's Acquisition of Joy City Property)
	Best Corporate Bond Project: No. 1 (Public Issuance of 2019 green exchangeable corporate bond of China Three Gorges
	Corporation), No. 3 (Non-public Issuance of 2019 First Tranche exchangeable corporate bond of China Merchants Group
	Co., Ltd.)
	Best Convertible Bond Project No. 1 (Ping An Bank — Convertible Bond)
Soon without Times	2020 Jun Ding Award for Investment Bank in China
Securities Times	Full-Service Investment Bank in China, STAR Market Investment Bank in China, SSE SME Board Investment Bank in

	China, Main Board Investment Bank in China
	STAR Market Project in China: Montage Technology IPO
	ChiNext Project in China: Non-public Issuance of Eve Energy
	SSE SME Board Project in China: IPO of Bank of Qingdao
	Main Board Project in China: 2019 Convertible Bond of CITIC Bank
	2020 Jun Ding Award for Wealth Management Institution in China
	Jun Ding Award for Asset Management Broker, Jun Ding Award for Equity Investment Team, Jun Ding Award for Top 10
	Innovative Products
	2020 Jun Ding Award for Securities Broker in China
	Jun Ding Award for Full-Service Securities Broker, Jun Ding Award for Retail Securities Broker
	2020 Listed Companies Ranking List in China
	Top 50 in the Total List of Market Value List, Top 50 Most Popular Listed Companies by Institutions, Top 5 in the
	Diversified Financial Industry
	2019 Wind Best Investment Bank
Wind Info	Best Equity Underwriter, Best IPO Underwriter, Best Refinancing Underwriter, Best Preferred Stock Underwriter, Best
wind into	NEEQ Select Tier Equity Underwriter, Best Bond Underwriter, Best Credit Bond Underwriter-Excellent Securities Trader
	Award, Best Financial Bond Underwriter-Excellent Securities Trader Award, Best Asset-backed Securities Underwriter,
	Best Credit ABS Underwriter, Best Enterprise ABS Underwriter, Best Underwriter of Company Bonds, Best Underwriter
	of Corporate Bonds, Best Underwriter of Convertible Bonds, Best Underwriter of Exchangeable Bonds
	2020 Golden Bull Award in Chinese Securities Industry
	Golden Bull Award of Top Ten Securities Companies, Golden Bull Award of Social Responsibility of Securities
	Companies, Golden Bull Asset Management Team Award
	2019 Golden Bull Wealth Management Product Selection
	Three-Year Golden Bull Broker's Collective Asset Manager, Golden Bull Broker's Social Responsibility on Asset
China Securities	Management Award
Journal	Three-Year Golden Bull Broker's Collective Asset Management Plan: CITIC Securities Dividend Value for One Year
	Holding Hybrid Collective Asset Management Plan, CITIC Securities Selected Equities Collective Asset Management Plan
	Five-Year Golden Bull Broker's Collective Asset Management Plan: CITIC Securities Selected Value Growth Hybrid
	Collective Asset Management Plan (former CITIC Securities Equity-bond Hybrid), CITIC Securities Quantitative Optimal

	Equity Collective Asset Management Plan (former CITIC Securities TaoLiBao #1) Innovative Award for Golden Bull Broker's Collective Asset Management Plan: CITIC Securities Six-Month Rolling Bond Collective Asset Management Plan
China Fund News •Yinghua Award	Best Asset Management Broker Award, Best Fixed Income Broker Asset Management Award, Best Equity Broker Asset Management Award Best Broker Asset Management Innovation Products Award: CITIC Securities Six-Month Rolling Bond Collective Asset Management Plan Best Private Funds Custody Broker
Financial Times	2020 Best Securities Company
Shanghai Securities News	2020 Gold Quality Award (Social Responsibility Award)
Yicai	Top 10 Investment Banks of the Year of China Financial Value Ranking 2020
International Financial News	2020 Pioneer Investment Bank, 2020 Asset Management Pioneer Broker, 2020 Best Securities APP
Sina Finance	2020 China Enterprise ESG "Golden Responsibility Award": Best Securities Company for Responsible Investment
JRJ.com	2020 "Pilot China" Annual Selection: Thirty Years of Mighty • Outstanding Securities Company in China
www.caishiv.com	The 10th Fund and Wealth Management •Jiefu Awards: Outstanding Custodian

2. CITIC Securities/CLSA Limited

Issued by	Award
Agricultural Development Bank of China	Best Cooperative Underwriter Award of Overseas Bonds
Asiamoney	 2020 China Outstanding Corporate Finance and Investment Bank Award Best for Cross-border M&A 2020 Asiamoney Brokers Poll 2020 No. 2 Best Research & Sales in Asia (Excluding Australia & Japan) No. 2 Sales in Asia (Excluding Australia & Japan) No. 2 Research in Asia (Excluding Australia & Japan) No. 2 Overall Combined Research & Sales in China (A & B Shares) No. 2 Best Broker in China (A & B Shares), No. 2 Best Research, No. 1

Best Analyst for Banks, No. 2 Best Overall
Salesperson, No. 3 Best Salesperson, No. 2 Best Execution, No. 2 Best CA Servicer
No. 2 Best Broker in China (H Shares), No. 1 Best Analyst for
Semiconductors & Semiconductor Equipment, No. 2 Best
Overall Salesperson, No. 1 Best Salesperson, No. 2 Best Executive, No. 2
Best CA Servicer
No. 1 Best Analyst for Small/Mid Caps Stock in Hong Kong, China, No. 3
Best Overall Salesperson of Local Stocks, No. 3
Best Salesperson, No. 3 Best Executive, No. 3 Best CA Servicer
No. 3 Overall Combined Research & Sales in Australia
Awards in Asia (Excluding Japan)
Research: No. 3 Best Economist/No. 1 Best Technical Analyst (Quantitative) /No. 1 Best Analyst for Banks/No. 2 Best
Analyst for Consumer Staples/No. 3 Best Analyst for Real Estate/No. 1
Best Analyst for Healthcare/No. 2 Best Analyst for
Insurance/No. 1 Best Analyst for Semiconductors & Semiconductor
Equipment/No. 2 Best Analyst for Technology Hardware
& Equipment/No. 2 Best Analyst for Software & Internet Services/No. 3
Best Analyst for Telecommunication Services
Sales: No. 1 Best Regional Salesperson
Japan
Research: No. 1 Best Strategist
Sales and Trading: No. 1 Best Salesperson/No. 3 Best Salesperson/No. 3
Best Sales Trader
Australia Research: No. 1 Best Economist/No. 1 Best Analyst for Small/Mid
Caps/No. 1 Best Analyst for Banks/No. 1 Best Analyst
for Consumer Staples/No. 1 Best Analyst for Energy/No. 1 Best Analyst
for Financials (Non-banking) /No. 1 Best Analyst
for Healthcare/No. 1 Best Analyst for Industrials/No. 1 Best Analyst for
Software & Internet Services/No. 1 Best Analyst
for Technology Hardware & Equipment/No. 1 Best Analyst for
Transportation & Logistics/No. 1 Best Analyst for Utilities
Sales and Trading: No. 2 Best Overall Sales Services/No. 1 Best
Salesperson/No. 2 Best Salesperson/No. 1 Best Sales
Trader/No. 2 Best Sales Trader/No. 3 Best Sales Trader/No. 2 Best for Execution
Indonesia
Research: No. 2 Best for Overall Research/No. 1 Best Analyst for
Automobiles & Components/No. 1 Best Analyst for
Consumer Discretionary/No. 1 Best Analyst for Real Estate
Sales and Trading: No. 2 Best Overall Sales Services/No. 1 Best
Salesperson/No. 1 Best Sales Trader/No. 2 Best for
Execution/No. 2 Best CA Servicer
Malaysia
Research: No. 3 Best for Overall Research/No. 1 Best Analyst for
Construction & Engineering/No. 1 Best Analyst for
Consumer Discretionary/No. 1 Best Analyst for Semiconductors &
Semiconductor Equipment/No. 1 Best Analyst for Technology Hardware & Equipment
Sales and Trading: No. 2 Best Overall Sales Services/No. 1 Best
Sales and Trading. No. 2 Best Overan Sales Services/No. 1 Best Salesperson/No. 2 Best Salesperson/No. 1 Best Sales
Trader/No. 3 Best for Execution/No. 3 Best CA Servicer
The Philippines
Research: No. 1 Best for Overall Research/No. 1 Best Strategist/No. 1
Best Economist/No. 1 Best Analyst for Small/mid

	Caps Stock/No. 1 Best Analyst for Banks/No. 1 Best Analyst for Casinos & Gaming/No. 1 Best Analyst for Construction & Engineering/No. 1 Best Analyst for Consumer Staples/No. 1 Best Analyst for Consumer Discretionary/No. 1 Best Analyst for Energy/No. 1 Best Analyst for Financials (Non-banking)/No. 1 Best Analyst for Industrials/No. 1 Best Analyst for Materials/No. 1 Best Analyst for Real Estate/No. 1 Best Analyst for Software & Internet Services/No. 1 Best Analyst for Telecommunication Services/No. 1 Best Analyst for Transportation & Logistics/No. 1 Best Analyst for Utilities Sales and Trading: No. 1 Best Overall Sales Services/No. 1 Best Salesperson/No. 2 Best Salesperson/No. 1 Best Sales Trader/No. 1 Best Analyst for Banks/No. 1 Best Analyst for Transportation & Logistics Sales and Trading: No. 3 Best Salesperson/No. 3 Best for Execution Thailand Research: No. 1 Best for Overall Research/No. 1 Best Strategist/No. 1 Best Analyst for Agriculture/No. 1 Best Analyst for Construction & Engineering/No. 1 Best Analyst for Discretionary/No. 1 Best Analyst for Financials (Non-banking) Sales and Trading: No. 1 Best Analyst for Soles Analyst for Discretionary/No. 1 Best Analyst for Financials (Non-banking) Sales and Trading: No. 1 Best Analyst for Soles Sales Sales and Trading: No. 1 Best Analyst for Soles Sales Services/No. 1 Best Strategist/No. 1 Best Analyst for Agriculture/No. 1 Best Analyst for Construction & Engineering/No. 1 Best Analyst for Consumer Discretionary/No. 1 Best Analyst for Financials (Non-banking) Sales and Trading: No. 1 Best Overall Sales Services/No. 1 Best Salesperson/No. 2 Best Salesperson/No. 2 Best Sales
	Trader/No. 3 Best Sales Trader/No. 2 Best for Execution/No. 1 Best CA Servicer
Finance Asia	Country Awards for Achievement 2020 (China) Best Securities Broker in China Best Deal in China/Hong Kong: JD's Hong Kong secondary listing (CITIC Securities/CLSA Limited as one of the sponsors) Equity Deal of the Year: JD's Hong Kong secondary listing (CITIC Securities/CLSA Limited as one of the sponsors)
The Asset	 Triple A Country Awards 2020 (China) Best Equity Deal: JD.com US\$3.9 billion Hong Kong secondary listing (CITIC Securities/CLSA Limited as one of the sponsors) Best IPO: Hangzhou Tigermed US\$1.38 billion Hong Kong IPO (CITIC Securities/CLSA Limited as one of the sponsors, global coordinators, bookrunners and lead managers) Best Privatization: US\$2 billion privatization of Huaneng Renewables Corporation (CITIC Securities/CLSA Limited as financial adviser) Best LGFV Bond: Yunnan Provincial Energy Investment Group Company US\$300 million senior unsecured notes and unsubordinated perpetual securities (CITIC Securities/CLSA Limited as one of the bookrunners and lead managers) Best Liability Management: Guangzhou R&F Properties Company senior bond issuance (CITIC Securities/CLSA Limited as one of the global coordinators) Best Bank Capital Bond: Bank of Communications (Hong Kong) Limited US dollar perpetual non-cumulative subordinated as one of the bookrunners and lead managers) Best Bank Capital Bond: Bank of Communications (Hong Kong) Limited us one of the bookrunners and lead managers) Best Corporate Bond: China National Travel Service Group Corporation Limited dual-tranche senior secured notes (CITIC Securities/CLSA Limited as one of the bookrunners and lead managers)

	2020 STARMINE Analyst Awards
	Asia
	No. 1 Stock Selection in Banks/No. 1 Profit Forecast in Equity Real Estate Investment Trusts (REITs)/No. 1 Profit
	Forecast in Financial Services/No. 3 Stock Selection in Financial
	Services/No. 2 Profit Forecast in Interactive Media &
	Services/No. 10 Overall Analyst Awards: Metals & Mining, Energy &
	Chemicals and Construction & Engineering
	China (including Hong Kong)
	No. 4 Overall Analyst Awards: Real Estate/No. 1 Stock Selection in
	Financial Services/No. 2 Profit Forecast in Financial
	Services/No. 2 Profit Forecast in Interactive Media & Services/No. 2
	Stock Selection in Materials/No. 3 Profit Forecast in
	Materials/No. 2 Stock Selection in Transportation & Industrials/No. 3
	Profit Forecast in Transportation & Industrials
	Australia and New Zealand
Refinitiv	No. 1 Stock Selection in Energy/No. 3 Profit Forecast in Energy/No. 1
	Profit Forecast in Food, Beverage and Tobacco/
	No. 1 Stock Selection in Hotels, Restaurants & Leisure/No. 1 Profit
	Forecast in Hotels, Restaurants & Leisure/No. 3 Profit
	Forecast in Interactive Media & Services/No. 2 Profit Forecast in
	Transportation & Infrastructure/No. 2 Profit Forecast
	in Real Estate/No. 3 Overall Analyst Awards: Energy and Utilities/No. 10
	Overall Analyst Awards: Retail and Consumer
	Goods, Food, Beverage & Tobacco and Hotels, Restaurants & Leisure India
	No. 2 Stock Selection in Utilities/No. 3 Profit Forecast in Banks/No. 3
	Profit Forecast in Energy/No. 3 Profit Forecast in
	Real Estate/No. 9 Overall Analyst Awards: Banks/No. 10 Overall Analyst
	Awards: Information Technology
	Japan
	No. 1 Profit Forecast in Software & IT Services/No. 2 Profit Forecast in
	Entertainment
	SINA FINANCE HONG KONG FINANCIAL INSTITUTIONS
Sina Finance	AWARDS (HKFIA)
~	The Best IPO Financial Advisor of the Year

3. Goldstone Investment

Issued by	Award	
China Securities Journal	Golden Bull Broker's Equity Investment Annual Winner, Golden Bull Best IPO Case	
Zero2IPO Group	IPO Case 2020 Top 20 Private Equity Investment Institutions in China, 2020 Top 10 Investment Institutions in Advanced Manufacturing Field in China, 2020 Top 10 Best Investment Institutions in Scientific Innovation Enterprise in China, 2020 Top 50 China State-owned Investment Institutions in China, 2020 Top 10 Securities Company Equity Investment Institutions in China Member of 10 Billion Club of Equity Investment Market in China for 20 Years	

Issued by	Award	
	2019 Excellent Member, Excellent Risk Management Company, Excellent Member in Talent Cultivation, Excellent	
Thongshow	Member in Industrial Service, Excellent Member in White Sugar Variety Service, Excellent Member in Methyl Alcohol	
Zhengzhou Commodity Exchange	Variety Service, Excellent Member in Glass Variety Service, Excellent Member in PTA Variety Service, Excellent	
	Member in Cotton Variety Service, Excellent Member in Vegetable Variety Service, Excellent Member in Ferroalloy	
	Variety Service, Excellent Member in Apple Variety Service, Excellent Member in Thermal Coal Variety Service	
	Gold Award for Outstanding Member, Outstanding Institutional Service Award, Outstanding Chemical Product Service	
Dalian Commodity Exchange	Award, Outstanding International Market Service Award, Outstanding Black Product Service Award, Outstanding	
Literininge	Agricultural Product Service Award, Outstanding Industrial Service Award, Outstanding Option Market Service Award,	
	Outstanding Technical Support Award	
China Financial	Platinum Award for Outstanding Member, Technology Management Award, Business Innovation Award, Outstanding	
Futures Exchange	Investment Education Award, Product Development Award (Stock Index Options, Stock Index Futures, Treasury Futures)	
Shanghai Futures	2019: Outstanding Member (Gold), Industry Service Award (bronze, fuel oil, asphalt, zinc, lead, steel, tin, gold, silver,	
Exchange	aluminum, natural rubber, nickel, energy and chemical, stainless steel, pulp)	
Insurance Asset Management	2019 Most Popular Futures Company for Insurance Assets, 2019 Most Popular Futures Company for Insurance Assets	
Association of China	(Research Services), 2019 Most Popular Futures Company for Insurance Assets (Stock Index Futures Business)	
	Best Futures Company in China, 2020 Junding Award for Excellent Wealth Management Institution, Best Service Award	
	for Commodities Futures Industry, Best Service Award for Financial Futures, Best Targeted Poverty Alleviation and	
Securities Times,	Charity Award, Best Asset Management Leading Award, Annual Best Investor Education Model Innovation Award,	
Futures Daily	Best Futures IT System Construction Award, Best Futures Derivatives Comprehensive Service Innovative Award,	
	Emerging Future Company Award for Internationalization Process, Best Corporate Branding Development Award, Best	
	Risk Management Subsidiary Service Innovation Award (CITIC Securities Capital Management Co., Ltd.), Best Futures	
	Operation Branch in China (CITIC Futures Shanghai Branch Office),	

	China Golden Futures Research Institute (Research	
	Consulting Department of CITIC Futures)	
hexun.com	The 18th China's Financial Annual Champion Awards — 2020 Poverty Alleviation Award for Futures Industry	
www.caishiv.com	Excellent FOF Product Revenue Award: CITIC Wings All Weather FOF No. 1	

5. China AMC

Issued by	Award	
China Securities Journal	Golden Bull Award for Passive Investment Fund Managers	
	Three-Year Open-ended Index Continuous Excellent Golden Bull Fund: ChinaAMC SSE 50 Index ETF	
	2019 Best Index Development Fund Company, Best Marketing Planning Case	
Securities Times, China Fund News	Best Social Commonweal Practice Case: China AMC Education Charity Program 2019 Best Stock ETF: ChinaAMC SSE	
	50 Index ETF	
Securities Times	ETF Management Star Fund Company,	
Securities Times	Five -Year Continuous Return Absolute Return Strategy Star Fund: China AMC Return Mix	
National Business Daily	ETF Most Popular Fund Company, Most Competitive Fund Company (Special Account Institutional Business)	
Zunj	ETF Best Ten Top-selling Products: China AMC 5G ETF	
International Financial News	2020 Pioneer Securities Investment Institution	
Global Banking & Finance Review	2020 Best Asset Management Company in China, Fastest Growing Fund Management Company in China	
Finance Derivative	Best Asset Management Company China 2020	
Insights & Mandate	Best RMB Fund House in Asia, Best Fund House (Market - Mainland), Best Retail House in China, Best ETF Sponsor (Market - Mainland), Best Responsible Investor in China	

APPENDIX II: ESG REPORTING GUIDE INDEX

Subject Areas	Contents and Indicators	Remarks
Environmental		
A1 Emissions	 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. A1.1 The types of emissions and 	VII. ENVIRONMENT- FRIENDLY >(I) Green Operation VII. ENVIRONMENT-
	A1.1 The types of emissions and respective emissions data.	FRIENDLY >(IV) Table of Key Environmental Data
	A1.2 Greenhouse gas emissions in total (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	VII. ENVIRONMENT- FRIENDLY >(IV) Table of Key Environmental Data
	A1.3 Total hazardous waste produced (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	VII. ENVIRONMENT- FRIENDLY >(IV) Table of Key Environmental Data
	A1.4 Total non-hazardous waste produced (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	VII. ENVIRONMENT- FRIENDLY >(IV) Table of Key Environmental Data
	A1.5 Description of measures to mitigate emissions and results achieved.	VII. ENVIRONMENT- FRIENDLY >(IV) Table of Key Environmental Data
	A1.6 Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved.	VII. ENVIRONMENT- FRIENDLY >(IV) Table of Key Environmental Data

A2 Use of Resources	 Policies on the efficient use of resources, including energy, water and other raw materials. 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). A2.2 Water consumption in total and intensity (e.g. per unit of production volume, per facility). A2.3 Description of energy use efficiency initiatives and results achieved. A2.4 Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved. A2.5 Total packaging material used for finished products (in tons) and, if 	VII. ENVIRONMENT-FRIENDLY>(I) Green OperationVII. ENVIRONMENT-FRIENDLY>(IV) Table of KeyEnvironmental DataVII. ENVIRONMENT-FRIENDLY>(IV) Table of KeyFRIENDLYSRIENDLY>(IV) Table of KeyFRIENDLY>(IV) Table of KeyEnvironmental DataVII. ENVIRONMENT-FRIENDLY>(I) Green OperationVII. ENVIRONMENT-FRIENDLY>(I) Green OperationVII. ENVIRONMENT->(IV) Table of KeyFRIENDLY>(IV) Table of KeyANA
A3 The Environment and Natural Resources	produced.Policies on minimizing the issuer's significant impact on the environment and natural resources.A3.1 Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them.	Please refer to disclosures for A1 and A2 Please refer to disclosures for A1 and A2
Social	taken to manage them.	
B1 Employment	 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. 	VI. EMPLOYEE DEVELOPMENT >(I) Employee Diversity

	B1.1 Total workforce by gender, employment type, age group and geographical region.	VI. EMPLOYEE DEVELOPMENT >(I) Employee Diversity
	B1.2 Employee turnover rate by gender, age group and geographical region.	
	Information on:	VI. EMPLOYEE
	(a) the policies; and	DEVELOPMENT
	(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.	>(II) Protecting Employees' Rights and Interests
B2 Health and Safety	B2.1 Number and rate of work-related fatalities.	
	B2.2 Lost days due to work injury.	-
	B2.3 Description of occupational health and safety measures adopted, how they	VI. EMPLOYEE
	are implemented and monitored.	DEVELOPMENT
		>(II) Protecting Employees'
		Rights and Interests
	Policies on improving employees' knowledge and skills for discharging	VI. EMPLOYEE
	duties at work. Description of training activities.	DEVELOPMENT >(III) Empowering Employee
B3 Development and Training	B3.1 The percentage of employees trained by gender and employee category (e.g. senior management, middle management).	-
	B3.2 The average training hours completed per employee by gender and employee category.	-
	Information on:	VI. EMPLOYEE
	(a) the policies; and	DEVELOPMENT
	(b) compliance with relevant laws and regulations that have a significant impact	>(II) Protecting of
B4 Labor Standards	on the issuer relating to preventing child and forced labor.	Employees' Rights and Interests
	B4.1 Description of measures to review	VI. EMPLOYEE
	employment practices to avoid child and forced labor.	DEVELOPMENT
		>(II) Protecting of
		Employees' Rights and Interests
	B4.2 Description of steps taken to eliminate such practices when discovered.	-

B5 Supply Chain Management	 Policies on managing environmental and social risks of the supply chain. B5.1 Number of suppliers by geographical region. B5.2 Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored. 	IV. ROBUST OPERATION >(IV) Supply Chain Management VII. ENVIRONMENT- FRIENDLY >(II) Green Procurement - IV. ROBUST OPERATION >(IV) Supply Chain Management
B6 Product Responsibility	 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. B6.1 Percentage of total products sold or shipped subject to recalls for safety and health reasons. B6.2 Number of products and service related complaints received and how they are dealt with. B6.3 Description of practices relating to observing and protecting intellectual property rights. B6.4 Description of quality assurance process and recall procedures. B6.5 Description of consumer data protection and privacy policies, how they are implemented and monitored. 	IV. ROBUST OPERATION>(III) Product ResponsibilityDue to the business nature,"label" does not applicable tothe Company.NAIV. ROBUST OPERATION>(III) Product Responsibility-IV. ROBUST OPERATION>(III) Product Responsibility-IV. ROBUST OPERATION>(III) Product Responsibility
B7 Anti- corruption	 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. B7.1 Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during 	IV. ROBUST OPERATION >(I) Standardized Operation -

	the reporting period and the outcomes of the cases.	
	B7.2 Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored.	IV. ROBUST OPERATION >(I) Standardized Operation
	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.	Topic I: Fight against COVID-19 through Various MeasuresTopic II: Remain True to OurOriginal Aspiration Acting uponthe National Poverty AlleviationStrategyVIII. GIVING BACK TOSOCIETY
B8 Community Investment	B8.1 Focus areas of contribution (e.g. education, environmental concerns, labor needs, health, culture, sport).	Topic I: Fight against COVID- 19 through Various Measures Topic II: Remain True to Our Original Aspiration Acting upon the National Poverty Alleviation Strategy VIII. GIVING BACK TO SOCIETY
	B8.2 Resources contributed (e.g. money or time) to the focus area.	Topic I: Fight against COVID-19 through Various MeasuresTopic II: Remain True to OurOriginal Aspiration Acting uponthe National Poverty AlleviationStrategyVIII. GIVING BACK TOSOCIETY

