



HOLLY FUTURES

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

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

STOCK CODE/ 股份代號：3678



2020

ESG REPORT
環境、社會和管治報告

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I. Preparation of this Report

一、報告編製說明

This report is based on the concept of social responsibility and corporate growth of Holly Futures Co., Ltd. (hereinafter referred to as “Holly Futures” or the “Company”, together with its subsidiaries, the “Group”) and elaborates on the specific practice of social responsibility for the period from 1 January 2020 to 31 December 2020 (hereinafter referred to as the “Reporting Period”). All the contents and data disclosed in this report have been examined and approved by the board of directors of Holly Futures Co., Ltd. The contents of this report are explained as follows:

(1) The scope of this report

Organizational scope of this report: The subject entity of this report is Holly Futures Co., Ltd., and covers its major subsidiaries, including Holly Capital Management Co., Ltd., Holly International Financial Holdings Limited, Holly International Asset Management Company Limited and Holly International Fund Series SPC.

Covering period of this report: from 1 January 2020 to 31 December 2020.

This report is published annually.

(2) Principles for the preparation of this report

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

本報告秉承弘業期貨股份有限公司(以下簡稱「弘業期貨」、「本公司」或「公司」，連同其附屬公司簡稱「本集團」)社會責任與企業成長的相統一的社會責任理念，並闡述了2020年1月1日至2020年12月31日期間(以下簡稱「本報告期間」)所履行的社會責任的具體實踐工作。本報告披露的所有內容和數據已經弘業期貨股份有限公司董事會審議通過。關於本報告的披露內容，說明如下：

(1) 本報告範圍

本報告的組織範圍：本報告以弘業期貨股份有限公司為主體，涵蓋旗下重要附屬公司，包括：弘業資本管理有限公司，弘業國際金融控股有限公司，弘業國際資產管理有限公司、弘業國際基金系列SPC。

本報告的時間範圍：2020年1月1日至2020年12月31日。

本報告每年發佈一次。

(2) 本報告編製原則

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



I. Preparation of this Report

一、報告編製說明

(3) Information in this report

The financial information in this report is extracted from the 2020 Annual Report of Holly Futures Co., Ltd. Other data are compiled by the various departments of the Company.

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

(4) The form of publication of this report

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

(3) 本報告數據說明

本報告中的財務數據摘自《弘業期貨股份有限公司2020年年度報告》。其他數據由公司內部各部門整理完成。

本報告中有關數據所涉及貨幣種類及金額，如無特殊說明，均以人民幣為計量單位。

(4) 本報告發佈形式

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

II. Company Profile and Financial Information 二、公司簡介與財務情況

1. Company profile

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

The Group is mainly engaged in commodity futures brokerage, financial futures brokerage, futures investment consulting, asset management business, fund sales, risk management business and overseas business. The Company has second-level risk management subsidiary Holly Capital Management Co., Ltd. (“Holly Capital”), and second-level Hong Kong subsidiary Holly International Financial Holdings Limited, third-level Hong Kong subsidiary Holly International Asset Management Company Limited, fourth-level Hong Kong subsidiaries Holly International Fund Series SPC and Holly International Fixed Income Fund. It has established 45 branches in Beijing, Shanghai, Guangzhou, Shenzhen and other major domestic financial centres and key cities. The Company is currently a member of Shanghai Futures Exchange, Zhengzhou Commodity Exchange and Dalian Commodity Exchange, and a full clearing member of China Financial Futures Exchange, as well as a stock option trading participant of Shanghai Stock Exchange. The Company has won the awards of “National Civilized Unit”, “China’s Best Futures Company” and “Outstanding Member” of various futures exchanges. In October 2020, China Securities Regulatory Commission (“CSRC”) announced the classification results of futures companies in 2020 and the Company was rated as a Class A of the A Category futures company.

1. 公司簡介

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

本集團主要從事商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理業務、基金銷售、風險管理業務、境外業務。公司擁有二級風險管理子公司弘業資本管理有限公司（「弘業資本」）、二級香港子公司弘業國際金融控股有限公司，三級香港子公司弘業國際資產管理有限公司，四級香港子公司弘業國際基金系列SPC及弘業國際固定收益基金，並在北京、上海、廣州、深圳等國內主要金融中心和重點城市設立45家分支機構。公司現為上海期貨交易所、鄭州商品交易所、大連商品交易所全權會員，中國金融期貨交易所全面結算會員，上海證券交易所的股票期權交易參與人。公司先後榮獲「全國文明單位」、「中國最佳期貨公司」以及各期貨交易所「優秀會員」等榮譽稱號。2020年10月，中國證券監督管理委員會（「中國證監會」）公佈了2020年期貨公司分類結果，公司被評為A類A級期貨公司。

II. Company Profile and Financial Information 二、公司簡介與財務情況

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

During the “14th Five-Year” period, following the guide of Xi Jinping Thought on Socialism with Chinese Characteristics for a New Era, the Company comprehensively implemented the spirit of Nineteenth CPC National Congress, the Second, Third, Fourth and Fifth Plenary Session of Nineteenth CPC National Congress of the Party as well as the Central Economic Work Conference and the spirit of the Ninth Plenary Session of the Thirteenth Session of the Provincial Party Committee, and focused on “striving to be an exemplar, setting an example and being at the forefront”, to base the new development stage, implement the new development concept and build a new development pattern. Adhering to the overall leadership of the Party in state-owned enterprises and the general principle of driving progress whilst maintaining stability, with the theme of promoting high-quality development, the main line of deepening structural reform on the supply side and the driving force of reform and innovation, the Company deepened innovation-driven, talent-strengthening, collaborative development and transformation and openness; with the three-year action plan for reform of state-owned enterprises and the management improvement action plan for benchmarking with domestic top-ranking enterprises as the starting point, the Company accelerated the pace of professionalization of our main business, mechanism marketization and capital securitization, managed the pace of digitalisation and accelerated the transformation and upgrading, continuously enhancing the Company’s overall competitiveness, innovation, control, influence and risk resistance.

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

「十四五」時期，公司要以習近平新時代中國特色社會主義思想為指導，全面貫徹黨的十九大和十九屆二中、三中、四中、五中全會以及中央經濟工作會議、省委十三屆九次全會精神，著眼「爭當表率、爭做示範、走在前列」，立足新發展階段，貫徹新發展理念，構建新發展格局，堅持黨對國有企業的全面領導，堅持穩中求進工作總基調，以推動高質量發展為主線，以深化供給側結構性改革為主線，以改革創新為根本動力，深化創新驅動、人才強企、協同發展、轉型開放，以國企改革三年行動和對標國內一流管理提升行動為抓手，加快主業專業化、機制市場化、資本證券化、管理數字化步伐，加快轉型升級，不斷增強公司整體的競爭力、創新力、控制力、影響力、抗風險能力。



II. Company Profile and Financial Information

二、公司簡介與財務情況

2. Financial information of the Company in 2020

As at 31 December 2020, the Group's total assets amounted to RMB6.349 billion and net assets amounted to RMB1.647 billion. In 2020, the Group achieved operating income of RMB1.561 billion, representing a year-on-year increase of 142%. Net profit attributable to shareholders of the Group was RMB66.32 million, representing a year-on-year increase of 212%, mainly due to the increase in handling fees as a result of the increase in refund and reduction of handling fees from exchanges and the expansion of market trading scale during the Reporting Period; and the increase in investment gains as a result of the expansion of the scale of the financial investment of the Group.

2. 2020年公司財務情況

截至2020年12月31日，本集團總資產人民幣63.49億元，淨資產人民幣16.47億元。2020年，本集團實現營業收入人民幣15.61億元，同比增長142%；實現歸屬於本集團股東的淨利潤人民幣6,632萬元，同比增加212%，主要原因在於交易所手續費返還減收力度的增強及本報告期間市場交易規模的擴大，手續費收入上升；且本報告期間本集團金融投資規模擴大，投資收益上升。



III. Corporate Governance 三、公司治理

1. Establish and improve the governance structure

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

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

1. 建立完善治理結構

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

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



III. Corporate Governance 三、公司治理

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

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

During the Reporting Period, the Company held a total of 24 meetings, including 1 shareholders’ general meeting, 9 Board meetings, 4 meetings of the supervisory committee, 3 meetings of the audit committee, 3 meetings of the nomination committee, 2 meetings of the remuneration committee, and 2 meetings of the risk management committee.

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

公司風險管理的目標是通過實行全面的風險管理體系，確保業務運營遵守相關法律法規，並將業務運營相關的風險控制在可承受的範圍內，從而實現企業價值最大化。公司自2009年監管機構首次推出期貨公司評級以來，過去十一年連續獲中國證監會頒發「A類A級」監管類別。公司已建立內部架構及設計業務流程以分散決策制定部門、執行部門以及檢察與評估部門的權力，並在該等部門間實行適當的制衡。

本報告期內，本公司召開股東大會1次，董事會會議9次，監事會會議4次，審核委員會會議3次，提名委員會會議3次，薪酬委員會會議2次，風險管理委員會會議2次，共計24次會議。



III. Corporate Governance 三、公司治理

2. Strengthen the system process construction and disclose information properly

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

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

2. 強化制度流程建設，做好信息披露工作

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

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



III. Corporate Governance 三、公司治理

The Company has established a standardized information disclosure system, emphasizing active and prompt disclosure, standardized formats and true, accurate, complete and fair contents. The Company attaches great importance to the new changes in the supervision laws and regulations of information disclosure; continuously strengthens self-learning, enhances the normative and effective disclosure of information; meets the domestic regulatory requirements as well as the regulatory requirements of the Hong Kong market and satisfies the needs of investors. All the information disclosure is published on the Company's website and the statutory media simultaneously. In 2020, the Company disclosed a total of 33 documents including H-share announcements, notices and circulars.

3. Maintain investors' relations and protect the rights and interests of investors

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

公司建立了規範的信息披露制度，強調信息披露時點的主動性、及時性，格式的規範化及內容的真實性、準確性、完整性和公平性。公司高度重視信息披露監管法規的新變化，不斷加強自身學習，提升信息披露的規範性和有效性，適應國內監管要求、香港市場的監管要求和滿足投資者需求。公司所有的信息披露均在公司網站和法定媒體上同時發佈。2020年，公司H股披露公告、通告、通函等文件共計33個。

3. 維護投資者關係，保障投資者權益

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

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

1. Attach great importance to compliance management according to law

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

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

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

1. 高度重視依法合規經營

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

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

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



IV. Compliance and Risk Prevention

四、合規與風險防範

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

In 2020, the Company revised the internal control system according to the continuous compliance with regulatory policies, business development needs and the actual situation of the Company's business operation. In the daily operation and management, the Company sorted out the existing business process settings and business operations, identified the internal control defects, proposed corresponding improvement suggestions, and promptly initiated the rectification according to the internal control defect suggestions, and improved the relevant internal control policy and measures in practical work.

In 2020, the Company's Compliance Risk Control Department continued to focus on compliance inspection and risk investigation of the Company's branches, and carried it out as a regular duty. During the year, some branches of the Company were selected to conduct compliance inspections. At the same time, special anti-money laundering inspection, compliance and anti-money laundering on-site training were conducted. In the third quarter, all branches of the Company were organized to complete the annual compliance self-inspection work. These two methods were used to achieve full coverage of compliance checks.

In 2020, the Company focused on the philosophy of "giving priority to compliance, everyone in compliance, to be proactively in compliance, creating values from compliance", continued to foster the compliance awareness of all staffs, raise the compliance standard for all staffs and establish a sound and long-term compliance management mechanism through various forms of exclusive training of compliance which involved the implementation of laws and regulations, compliance management practices, integrity education, and warning and education of cases.

In 2020, the Company continued to carry out in-depth work on party members' conduct and uncorrupted government construction, actively practice the value orientation of "probity and efficiency" (廉而有為), always focus on its main responsibility and main business, to create an uncorrupted political ecosystem, to comprehensively manage the party in strict governance, and to provide a strong discipline guarantee.

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

2020年，公司根據持續滿足監管政策、業務發展需要和公司展業實際情況，對內控制度彙編再次進行了完善修訂。在日常經營管理中，公司通過對現有業務流程設置和業務運行情況的梳理，查找內控缺陷，提出相應的改善建議，同時根據內控缺陷整改建議，及時啟動整改實施工作，在實際工作中完善了相關內控制度和控制措施。

2020年，公司合規風控部持續重點進行對公司分支機構的合規檢查、風險排查，作為常態性工作予以開展。年內重點抽取公司部分分支機構進行了合規飛行檢查，同時進行了反洗錢專項檢查、合規和反洗錢現場專項培訓，三季度組織公司所有分支機構完成了年度合規自查工作，結合兩種方式實現合規檢查全覆蓋。

2020年，公司圍繞「合規優先、人人合規、主動合規、合規創造價值」的理念，繼續通過各種形式的合規專項培訓、涉及法律法規制度宣貫、合規管理實務、廉潔從業教育、案例警示教育等內容，培育全員合規意識，提升全員合規展業水平，建立良好的合規管理長效機制。

2020年，公司持續深入開展黨風廉政建設工作，積極踐行「廉而有為」價值觀，始終聚焦主責主業，為營造風清氣正政治生態、推動公司全面從嚴治黨向縱深發展提供堅強有力的紀律保證。

IV. Compliance and Risk Prevention

四、合規與風險防範

The Company actively assisted the Party Committee to implement the main entity's responsibility to comprehensively manage the party in strict governance, assisted in organizing and convening relevant meetings and warning education sessions to comprehensively manage the party in strict governance, assisted in the signing of "Letter of Responsibility for the Comprehensive Management of the Party" for middle-level and above cadres of the Party Committee, and implemented "Dual Duties for One Post".

The Party Committee of the Company was supervised in formulating the rectification plan for the list of common problems found during the inspection and took further steps for improvement; the Company assisted the Party Committee to cooperate with the inspection team of the holding group to carry out inspection work, prepared relevant information and made presentation on special topics; the Company also cooperated with the Party Committee to make immediate improvements to the problems observed by the inspection team.

The Company firmly held on to our primary responsibility of political supervision, strictly enforced the Party's political discipline and rules, strengthened the supervision and inspection on the implementation of the Party's theoretical guidelines and policies as well as major decisions and deployments, and strengthened the supervision and inspection of the implementation of the Party's rules and regulations as well as constitutional laws and regulations. The Company has focused on the implementation of the spirit of the Fifth Plenary Session, the implementation of the 14th Five-Year Plan, and other decision-making deployments in the course of supervision and inspection. Meanwhile, the Company has been supervising the ideological work and the political life of the Party. By adhering to the requirements of strengthening the construction of the Discipline Inspection Committee of the holding group, formalism and bureaucratic centralized rectification work were promoted continuously and completed. The Company is adhered to supervise the integrity and compliance of staffs under the scope of the regulations of the "Provisions on the Integrity Practices of the Securities and Futures Agency and its Employees" (《證券期貨經營機構及其工作人員廉潔從業規定》) of the CSRC. The Discipline Inspection Committee adhered to perform daily supervision work, including the selection and appointment of cadres, carrying out of integrity testing before appointing cadres, feedback of the field staff's diligence and integrity, duty on holidays, and storage of official business vehicles.

積極協助黨委落實全面從嚴治黨主體責任，協助組織召開全面從嚴治黨有關會議及警示教育會，協助黨委組織中層以上幹部簽訂《全面從嚴治黨責任書》，層層壓實「一崗雙責」。

督促公司黨委制定巡察發現共性問題清單整改方案，做到舉一反三；協助黨委配合控股集團巡察組開展巡察工作，準備相關資料，做好專題工作匯報；配合公司黨委對巡查組反饋的問題立行立改。

牢牢守住政治監督首要職責，嚴明黨的政治紀律和政治規矩，加強對黨的理論路線方針政策以及重大決策部署貫徹落實情況進行監督檢查，強化對黨章黨規黨紀和憲法法律法規執行情況的監督檢查。聚焦貫徹五中全會精神、實施「十四五」規劃等決策部署等情況做好監督檢查。同時做好對意識形態工作情況、黨內政治生活情況等開展監督。堅持在證監會《證券期貨經營機構及其工作人員廉潔從業規定》的規定範圍內監督從業人員廉潔合規展業。公司紀委堅持在幹部選拔任用、幹部任前考廉、外勤人員勤政廉政情況反饋、節假日值班、公車封存監督等方面做好日常監督工作。

IV. Compliance and Risk Prevention

四、合規與風險防範

In 2020, the Company organized a visit to the Provincial Party-style Integrity and Political Warning Education Base for the Company's leading cadres as well as full-time and part-time discipline inspection personnel to receive on-site integrity awareness education. To steadily promote the educational activities with the theme of "adhere to probity and efficiency, create the Holly Futures of integrity", the Company issued the order of national mobilization, performed integrity skits, and launched the "I Speak for Integrity" collection campaign with prizes and other activities to promote the implementation of the plan, more than 30 pieces of paintings, pictures, poems, aphorisms, and other works were collected and a special exhibition of these collections was held through the Company's official WeChat account to further promote the corporate integrity culture. The Company adhered to the weekly "Integrity Tips" and singing of "Good Voice of Integrity" in its monthly "Love Integrity" event. On the eve of festivals, the Company timely delivered notices from the superior Discipline Inspection Committee and the Company on creating an ethical culture through SMS, WeChat, e-mails, and other online platforms, requiring party members and cadres to further build a firm ideological and moral line of defense on anti-corruption and integrity.

2. Pay attention to anti-money laundering

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

2020年，組織公司領導幹部及專兼職紀檢人員赴省黨風廉政警示教育基地實地接受廉政警示教育。穩步推進「堅持廉而有為、打造清廉弘業」主題教育活動，以發佈動員令、表演廉潔小品、開展「我為廉潔代言」有獎徵集等活動推動方案落實，徵集到書畫、圖片、詩歌、警句類等作品30餘件，並設置專題展覽，通過公司公眾微信號線上同步展出，進一步弘揚企業廉潔文化。堅持以每週「清廉錦囊」、每月「愛廉說」唱響「廉政好声音」。節日前夕，通過短信、微信、郵件等線上平台，及時傳達上級紀委和公司有關作風建設的通知要求，促使黨員幹部進一步築牢反腐倡廉的思想道德防線。

2. 重視反洗錢工作

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

IV. Compliance and Risk Prevention

四、合規與風險防範

In 2020, the Company fulfilled all statutory obligations pertaining to anti-money laundering in strict compliance with the laws and regulations, strengthened the inspection, supervision and direction of anti-money laundering activities in all business departments and branches as required. The Company performed key inspections on the implementation of anti-money laundering in daily compliance inspection, specifically organized and implemented a number of special publicity and training activities at the inspection site, and conducted on-site testing and understanding of the knowledge of branch personnel in anti-money laundering, and addressed all deficiencies found during inspections in a timely manner. The Company has strengthened the identification of the actual controlling person and beneficiaries of non-natural person customers in accordance with the requirements of the Yinfa No. [235] Document by the People's Bank of China. Meanwhile, the Company conducted self-examination and rectification in response to the feedback received from the on-site evaluation by the Nanjing Branch of the People's Bank of China in December 2019.

In 2020, the Company strengthened the construction of the anti-money laundering system, completed the compilation and distribution of the Company's anti-money laundering practice manual, refined the Company's internal control system in accordance with the regulatory requirements and the Company's actual situation, and established and implemented the Compilation of Internal Control Systems of Holly Futures Co., Ltd. on Anti-money Laundering.

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

In order to ensure the stable operation of the anti-money laundering system, the Company actively coordinated with the anti-money laundering system suppliers to address the problems identified in the process of the operation. Meanwhile, in order to improve the effectiveness of anti-money laundering to prevent the risk of money laundering, the Company acquired the Dow Jones Blacklist database to ensure the Company's fulfillments in its anti-money laundering obligations and social responsibilities.

2020年公司嚴格按照法律法規規定履行反洗錢法定義務，強化對各業務部門、各分支機構反洗錢工作的指導與檢查監督。在日常合規檢查中重點對反洗錢工作落實情況進行了核查，有針對性地在檢查現場組織實施了多場專題宣傳、培訓活動，並對分支機構人員反洗錢知識掌握情況進行現場測試瞭解，對檢查中發現的不足及時予以落實完善。公司結合中國人民銀行銀發【235】號文件通知精神強化了對非自然人客戶的實際控制人與受益人身份穿透識別工作，同時針對2019年12月人行南京分行現場評估反饋的情況進行了自查整改落實工作。

2020年公司加強了反洗錢制度建設工作，完成了公司反洗錢工作實務手冊的編製與發放，並結合監管要求與公司實際情況修訂完善了公司反洗錢內控制度，建立了《弘業期貨股份有限公司反洗錢內控制度彙編》並下發實施。

為了提升全員的反洗錢意識與理論水平，公司加強了反洗錢工作指導、專項培訓力度，組織了多場次的反洗錢宣傳、專項培訓等活動，具體貫徹反洗錢監管精神、指導具體工作實務、督促推進反洗錢工作實效和進度，起到了積極的作用。公司總部及分支機構全年累計組織開展各類反洗錢宣傳、培訓達數十次，進一步提升了公司有效開展反洗錢工作能力，促進公司合規執業發展。

為確保反洗錢系統穩定運行，公司積極與反洗錢系統供應商協調溝通反饋使用過程中出現的問題，同時為了提高反洗錢工作的有效性防範洗錢風險發生，公司採購了道瓊斯黑名單數據庫，確保公司充分履行反洗法定義務和社會責任奠定了基礎。

IV. Compliance and Risk Prevention

四、合規與風險防範

3. Establish effective anti-corruption mechanisms

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

In 2020, the Company continued to carry out in-depth work on party members' conduct and uncorrupted government construction, thereby actively practising the value orientation of "probity and efficiency" (廉而有為). It always focuses on its main responsibility and main business, to create an uncorrupted political ecosystem, to comprehensively manage the party from the strict governance, and to provide a strong discipline guarantee. Throughout the year, 2 conferences regarding uncorrupted government construction and anti-corruption were convened, the Company organized the signing of a total of 86 "Uncorrupted Government Construction Target Responsibility Letters" by the middle-level and above cadres of the Company, conveying the observance of such responsibility in each level of the organization.

By further implementing the subject entity's responsibility, the Party Committee of the Company formulated working systems including the "List of Performing the Subject Entity's Responsibility to Comprehensively Manage the Party from Strict Governance by the Party Committee" (《黨委履行全面從嚴治黨主體責任清單》), the "Key Points of Party Building in 2020" (《2020年度黨建工作要點》), the "Study Plan of 2020 of Theoretical Center Group Learning System of the Party Committee" (《黨委理論中心組2020年學習計劃》). The Discipline Inspection Committee of the Company investigated and formulated systems such as the "List of Performing Inspection Responsibility to Comprehensively Manage the Party in Strict Governance by the Discipline Inspection Committee of Holly Futures of 2020" (《弘業期貨紀委2020年度履行全面從嚴治黨監督責任清單》), to strictly implement its political responsibility.

3. 建立健全反貪污機制

1) 推進、落實黨風廉政建設責任制

2020年，公司持續深入開展黨風廉政建設工作，積極踐行「廉而有為」價值取向，始終聚焦主責主業，為營造風清氣正政治生態、推動公司全面從嚴治黨向縱深發展提供堅強有力的紀律保證。全年召開黨風廉政建設暨反腐倡廉專題會議2次，組織公司中層以上幹部層層簽訂黨風廉政建設目標責任書86份，將壓力層層傳導，把責任壓緊壓實。

為進一步落實黨委主體責任，公司黨委研究制定《黨委履行全面從嚴治黨主體責任清單》《2020年度黨建工作要點》《黨委理論中心組2020年學習計劃》等制度；公司紀委研究制定《弘業期貨紀委2020年度履行全面從嚴治黨監督責任清單》等制度，壓緊壓實政治責任。

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

2) Continuously deepen integrity publicity education and promote the building of the culture of integrity

In 2020, the Company organized the theme of “adhere to probity and efficiency, create the Holly Futures of integrity” educational activities, and more than 30 pieces of paintings, pictures, poems, aphorisms, and other works were collected. The Company also organized a visit to the Provincial Party-style Integrity and Political Warning Education Base for nearly 30 leading cadres to carry out warning education in daily life meeting and attend lectures by party committee secretary on special party-related topics. Throughout the year, 2 conferences regarding warning education were convened, whereas the party members and cadres watched warning education videos. Meanwhile, The Company adhered to the weekly “Integrity Tips” and the signing of “Good Voice of Integrity” through the monthly “Love Integrity” event. On the eve of festivals, the Company timely delivered the notice requirements of the superior discipline inspection committee and the Company on creating ethical culture through SMS, WeChat, e-mails, and other online platforms, requiring party members and cadres to further build a firm ideological and moral line of defense on anti-corruption and integrity, and create a good atmosphere for integrity in everyone’s mind.

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

In 2020, the Company made use of a new the means of discipline inspection. By setting up the “code supervision” two-dimensional code reporting platform, the efficiency of supervision was improved to spread the supervision to the grassroots. The Company posted a whistle-blowing email address, telephone numbers for disciplinary inspection and supervision and whistle-blowing address on the Company website. It also provided supervision and reporting box at its headquarters. The use of email, Internet and telephone “three-in-one” whistle-blowing platform helps to ensure a smooth flow of petitioning and whistle-blowing channels.

2) 持續深化廉政宣傳教育，推進廉潔文化建設

2020年，公司組織開展「堅持廉而有為、打造清廉弘業」主題教育活動，徵集「我為廉潔代言」書畫、圖片、詩歌、警句類等作品30餘件。組織近30名黨員領導幹部參觀廉政警示教育基地，開展警示教育專題組織生活會，黨委書記講專題黨課等活動。全年召開2次警示教育專題會議，黨員幹部集中觀看警示教育片。同時，堅持以每週發送「清廉錦囊」、每月發表「愛廉說」等形式唱響「廉政好聲音」。節日前夕，通過短信、微信、郵件等線上平台，及時傳達上級紀委和公司有關作風建設的通知要求，促使黨員幹部進一步築牢反腐倡廉的思想道德防線，營造人人思廉、全面尚廉的良好氛圍。

3) 暢通信訪舉報渠道，提高信訪舉報工作的效率

2020年，公司創新紀檢監督工作手段。開通「碼上監督」二維碼信訪舉報平台，提高監督工作效率，助力監督觸角向基層延伸。在公司網站公示舉報郵箱、紀檢監督電話、舉報通訊地址等信息，並在公司總部大樓內設置信訪舉報箱，以信、網、電「三位一體」舉報平台確保信訪舉報渠道的暢通。



IV. Compliance and Risk Prevention

四、合規與風險防範

4) Improve the quality and efficiency of supervision based on the positioning of duties

The Company firmly held on to our primary responsibility of political supervision, strictly enforced the Party's political discipline and rules, strengthened the supervision and inspection on the implementation of the Party's theoretical guidelines and policies as well as major decisions and deployments, and strengthened the supervision and inspection of the implementation of the Party's rules and regulations as well as constitutional laws and regulations. The Company has focused on the implementation of the spirit of the Fifth Plenary Session of the 19th session of the Party, the implementation of the 14th Five-Year Plan, and other decision-making deployments in the course of supervision and inspection. Meanwhile, the Company has been supervising the ideological work and the political life of the Party. The Company is adhered to supervise the integrity and compliance of staffs under the scope of the regulations of the "Provisions on the Integrity Practices of the Securities and Futures Agency and its Employees" (《證券期貨經營機構及其工作人員廉潔從業規定》) of the CSRC. The Discipline Inspection Committee adhered to perform daily supervision work, including the selection and appointment of cadres, carry out integrity testing before appointing cadres, feedback of the field staff's diligence and integrity, duty on holidays and storage of official business vehicles.

5) Continue to strengthen the team construction

By launching the in-depth special action of "To forge iron, one must be strong", the Company organized special learning for full-time and part-time discipline inspection cadres to learn the spirit of the Fifth Plenary Session of the 19th session of the Party, as well as actively participate in the learning and working meetings. The 9th session of the "Weekly Lecture on Practice of Holly Futures" activity was rolled out to promote learning through lectures on stages and exchanges at meetings, strengthening the effectiveness of learning. An integrity knowledge test was organized and carried out to promote the political quality and business ability of the discipline inspection cadres. At the beginning of the year, the Company formulated a plan with an accumulated 239 person-times participation in various learning and training programs. The learning effect was enhanced in the form of "cloud charging" on various online platforms. Special lesson was conducted to learn the requirements of "eight strict prohibitions" of Jiangsu discipline inspection cadres and the warning education of discipline inspection cadres was carried out.

4) 立足職責，提升監督質效

牢牢守住政治監督首要職責，嚴明黨的政治紀律和政治規矩，加強對黨的理論路線方針政策以及重大決策部署貫徹落實情況進行監督檢查，強化對黨章黨規黨紀和憲法法律法規執行情況的監督檢查。聚焦貫徹黨的十九屆五中全會精神、實施「十四五」規劃等決策部署等情況做好監督檢查。同時對意識形態工作情況、黨內政治生活情況等開展監督。堅持在證監會《證券期貨經營機構及其工作人員廉潔從業規定》的規定範圍內監督從業人員廉潔合規展業。公司紀委堅持在幹部選拔任用、幹部任前考廉、外勤人員勤政廉潔情況反饋、節假日值班、公車封存監督等方面做好日常監督工作。

5) 持續強化隊伍建設

深入開展「打鐵必須自身硬」專項行動，組織專兼職紀檢幹部專題學習黨的十九屆五中全會精神，積極參加學習和工作會議；開展9期「弘業期貨實務周周講」活動，通過上台輪講和會上交流，以講促學，有效強化學習成效；組織開展廉政知識測試，促使紀檢幹部提升政治素質和業務能力；年初制定計劃，各項學習培訓累計參加人數達239人次。運用各類線上平台以「雲充電」的形式增強學習效果。專題學習江蘇紀檢監察幹部「八嚴禁」要求並開展紀檢幹部警示教育。



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

(6) Deepen the grid management and create a closely connected supervision network on grassroots

Through the convening of discipline inspection and supervision grid management leadership group meetings, collective discussions, training exchanges, the compilation and printing of the “Know-hows for Special Supervisors”, special supervisor monthly work list reporting and other methods, the management and guidance on grid supervision work were strengthened to effectively improve the comprehensive quality of the grid members and ability to perform their duties, effectively enhancing the daily supervision of the grassroots units.

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

In 2020, the Company carried out special inspection on the implementation of the systems in its subsidiaries. The Company formed a special inspection team by organizing functional departments including the head office, human resources, finance, compliance, audit and legal, and securities departments to formulate a checklist for the inspection. Through examination of information, listening to reports, and conducting individual interviews, the Company conducted special supervision and inspection on the implementation of the systems in two subsidiaries, further improving the systems by its subsidiaries and strengthening the rigidity of system implementation.

The Company also launched special supervision on tender procurement. During the year, the Company carried out special inspection on procurement of information technology and special inspection on procurement of renovation tender of branch offices, and formed work reports.

6) 深化網格化管理，織密基層監督網

通過召開紀檢監督工作網格化管理領導小組會議、集體座談、培訓交流、編印《特約監督員應知應會》、特約監督員月度工作清單式匯報等方式，強化對網格化監督工作的管理指導，有力提升各網格成員的綜合素質和履職能力，有效增強了基層單位日常監督力量。

7) 聚焦專項工作，深入履行監督職責

2020年，公司對子公司制度執行情況進行專項督查。組織辦公室、人事、財務、合規、審法、證券等職能部門成立專項檢查工作組，制定排查工作清單，通過查閱資料、聽取匯報、個別訪談等方式對兩家子公司制度執行情況進行專項監督檢查，進一步促進子公司完善制度體系、強化制度執行的剛性。

開展招標採購專項監督。年度內，分別開展了信息技術採購專項督查和分支機構裝修招標採購專項督查工作並形成工作報告。

IV. Compliance and Risk Prevention

四、合規與風險防範

The Company also further deepened the construction of integrity risk prevention and control system. The Company sorted out the duties and risks of each position by on-site surveying of 6 departments taking into account the actual situation of the Company. Based on the feedback from each unit, the Company played the role of coordinating the creation of ethical culture and integrity construction as well as anti-corruption to further optimize and update the “Integrity Risk Inspection, Prevention and Control Catalog”, ensuring the revised preventive and control measures are more stringent, rigorous and can be operated. The “Integrity Risk Prevention and Control Catalog of Holly Futures” was issued for implementation by all units.

8) Audit on resigned personnel

In accordance with the internal audit work plan of 2020 and entrusted by the human resources department of the Company, the audit and legal department completed 7 resignation audit projects, which were all resignation audits on branch managers.

9) Economic responsibility audit

In accordance with the internal audit work plan of 2020, the audit and legal department completed 4 economic responsibility audits on branch managers.

10) Special audit

In accordance with the internal audit work plan of 2020 and the work plan of the Company, the audit and legal department completed 9 special audit projects, of which 7 special audits were on anti-corruption work of branches, 1 special audit on intermediary businesses, and 1 special audit on securities investment business.

11) Rectify audit and follow-up supervision

The follow-up inspection of the rectification and improvement of the audit problems from 2015 to 2020 was fully covered, of which, “hindsight” rectification and improvement on the audits of the 2 branches in Haikou and Xi’an were carried out.

進一步深化廉潔風險防控體系建設。現場調研6個部門，結合公司實際，梳理各崗位職權和風險點，根據各單位反饋意見，發揮黨風廉政建設和反腐敗工作協調小組作用，對《廉潔風險排查防控目錄表》進一步優化調整，確保修訂後的防控措施更嚴謹、嚴密、具有可操作性。印發《弘業期貨廉潔風險防控目錄表》，督促各單位對照執行。

8) 離任審計

根據2020年度內部審計工作計劃及受公司人力資源部委託，審計法律部共完成7個離任審計項目，均為分支機構負責人的離任審計。

9) 經濟責任審計

根據2020年度內部審計工作計劃，審計法律部共完成4個分支機構負責人經濟責任審計項目。

10) 專項審計

根據2020年度內部審計工作計劃及公司工作部署，審計法律部共完成9個專項審計項目，其中7個為分支機構反洗錢專項審計，1個為居間業務專項審計，1個為證券投資業務專項審計。

11) 審計整改督促跟蹤

對2015年至2020年審計問題整改進度跟蹤督查做到全覆蓋，其中，對海口、西安2家分支機構現場開展審計整改「回頭看」督查。



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

4. Adherence to tax payment according to laws

The Company always believes that tax payment according to the law is an overall reflection of corporate social responsibility. Since its establishment, the Company has adhered to the concept of paying tax lawfully and honestly, and declared its payment of various taxes truthfully and promptly. For the whole year of 2020, Holly Futures paid taxes of RMB22.1341 million in total.

In accordance with the relevant provisions, the Company paid the Futures Investor Protection Fund to the PRC Futures Exchange and implemented the important work of the regulatory authorities to resolve the futures market risk and make contributions to the stable development of the futures market. In 2020, Holly Futures contributed RMB196,200 to the Futures Investor Protection Fund.

4. 堅持依法納稅

公司一貫認為，依法納稅是企業社會責任的集中體現。公司自成立以來，始終堅持依法納稅、誠信納稅的理念，如實、及時申報繳納各項稅額，作為履行社會責任、回報社會的方式。2020年全年，弘業期貨共繳納各項稅金合計人民幣2,213.41萬元。

公司根據有關規定，向中國期貨交易所繳納證券投資者保護基金，真正落實監管部門化解期貨市場風險的重要部署，為促進期貨市場穩定發展做出貢獻。2020年，弘業期貨繳納期貨投資者保障基金人民幣19.62萬元。

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

1. Improve the internet platform construction to enrich customer experience

The Company uses “Internet +” as an opportunity to improve customer experience and service quality, thus developing the profit model by online-offline joint development and organic combination. The customer expansion business model through operating outlets is progressively changed into internet-based customer service model. Our customer mobile terminal “Holly Easy” (弘運通) runs stably after the launch, and the functions are gradually optimized to provide customers with integrated and diversified financial service solutions.

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

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

1. 完善互聯網平台建設，提高客戶體驗

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

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

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

V. Investor Rights and Interests Protection and Supplier Management

五、投資者權益保障與供應商管理

2. Provide diversified services for customers

The Company has introduced various types of asset management programs for investors with different risk appetites, which can assure the investors with lower risk appetite of obtaining steady investment income and provide potential high-yield products for investors with higher risk appetite. Asset management business is undergoing a scale-up and diversified transformation. The Company will launch value-added customer services by taking investment managers and investment capabilities as the key concerns, with “single” specialized investment management and “integrated” products as the starting points, as well as placing importance on nurturing the fund managers and continuously taking the initiative move to improve the asset management level of the management team. The Company will leverage the futures company’s advantages on research and development, arbitrage trades and risk control of derivatives to design characterized, actively managed products for derivatives markets such as commodity futures and options markets; lay stress on the innovation of the form of product and keep on exploring and issuing of CTA, FOF, fixed income+, arbitrage enhancement and other products; put more effort on the research and exploration on various strategies, especially the new products and strategies, and design and customize products according to the specific needs of customers by shifting from product-focused to customer-centric approach and establish a risk management system suitable for these products, so as to create value for the customers.

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

2. 為客戶提供多樣化服務

公司面向不同風險偏好的投資者推出了各類型的資產管理計劃，既能滿足較低風險偏好投資者獲得穩健投資收益的需求，也能為較高風險偏好投資者設計和提供獲取潛在高收益的產品。公司資產管理業務向規模化和多樣化轉型，推出客戶增值服務，主抓投資經理人、投資能力兩個關鍵點，從「單一」客戶資管和「集合」產品兩方面切入，注重孵化基金經理，不斷提升主動管理團隊的資產管理水平。充分發揮期貨公司在衍生品研發、套利交易、風控等方面的優勢，著力打造期貨、期權等衍生品市場的特色化主動管理型產品。重視產品形式的創新，繼續探索開展CTA、FOF、固收+、套利增強等產品的發行。加大對各策略特別是新產品、新策略的研究挖掘，從以產品為中心向以客戶為中心轉變，從客戶的特定需求出發來設計和定制產品，同時著力建設與之相適應的風險管理體系，真正做到為客戶創造價值。

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

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

3. Investor education

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

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

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

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

3. 投資者教育工作

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

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

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

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

V. Investor Rights and Interests Protection and Supplier Management

五、投資者權益保障與供應商管理

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

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

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

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

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

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

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

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

V. Investor Rights and Interests Protection and Supplier Management

五、投資者權益保障與供應商管理

4. Pay attention to customer information security and transaction network security

To protect customer's information security and its legitimate rights and interests is the Company's corporate social responsibility. Employees of the Company are required to strictly comply with the relevant requirements to protect customer information security, and are prohibited from disclosing, trading and abusing customer information.

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

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

5. Strengthen customer complaint management and improve complaint handling mechanism

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

4. 重視客戶信息安全及交易網絡安全保障工作

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

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

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

5. 加強客戶投訴管理，完善投訴處理機制

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

V. Investor Rights and Interests Protection and Supplier Management

五、投資者權益保障與供應商管理

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

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

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

In 2020, the Company received 10 complaints and handled 1 mediation case.

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

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

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

2020年我司受理投訴10件，調解1件。

V. Investor Rights and Interests Protection and Supplier Management

五、投資者權益保障與供應商管理

6. Protection of intellectual property rights

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

7. Supplier management

Number of suppliers by geographical region	
Region	Number of suppliers
Yangtze River Delta	66
Pearl River Delta	4
Pan Bohai Rim	5
Central	5
Northeast	6
Western	0
Other	0

6. 知識產權保護

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

7. 供應商管理

按地區劃分的供應商數目	
地區	供應商數目(家)
長江三角洲地區	66
珠江三角洲地區	4
環渤海地區	5
中部地區	5
東北地區	6
西部地區	0
其他地區	0

V. Investor Rights and Interests Protection and Supplier Management

五、投資者權益保障與供應商管理

By the end of 2020, the Group entered into the purchase contracts with 86 technology-related suppliers. The Company strengthened standardised management to step up contract performance management of suppliers, thereby significantly improving the quality of suppliers' performance.

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

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

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

In terms of social risk management for suppliers, we urge suppliers to strengthen their employment management and protect labour health and safety by adding safety management requirements to their procurement requirements and requiring them to provide proof of social security for key project personnel.

In terms of supplier's environmental risk management, under the same conditions as meeting procurement requirements, quality and service standards, priority is given to selecting energy-saving and environmentally-friendly products. In the procurement requirements that require environmental protection, suppliers are required to have relevant qualifications such as ISO14001 Management System Certification, China Environmental Labeling Product Certification, and the provision of the relevant qualification certifications will be assigned points in the procurement assessment. At the same time, during the implementation of the centralised procurement project, through the calculation of the total cost of ownership and other indicators, the performance of the product and equipment life cycle and other performance is examined, and the green environmental protection concept is therefore promoted to the suppliers.

2020年末，本集團與境內86家供應商簽訂了技術相關供應商簽訂了採購合同。本公司加強採購管理的規範化和標準化建設，強化對供應商的履約管理，使得供應商履約質量顯著提升。

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

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

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

在供應商社會風險管理方面，通過在採購需求中增加對供應商的安全管理要求，要求供應商提供主要項目人員社保證明等方式，督促供應商加強用工管理、保障勞工健康和 safety。

在供應商環境風險管理方面，在符合採購需求、質量和服務標準同等的條件下，優先選擇節能環保產品；在對環保有要求的採購需求中，要求供應商具備ISO14001管理體系認證、中國環境標誌產品認證證書等相關資質，並在採購評分中對資質證書的提供賦予分值。同時，在集中採購項目實施過程中，通過核算採購總擁有成本等指標，考察產品設備的使用週期等表現，向供應商宣貫綠色環保理念。

VI. Promote Social and Economic Development 六、促進社會經濟發展

On 19 September 2020, under the guidance and support of Department of Commerce and Local Financial Supervision and Administration Bureau of Jiangsu Province, the "Moving Forward with Innovation and Achieving Substantial Strides - Singapore Exchange Foreign Exchange Derivatives Forum", organized by the Singapore Exchange (SGX) and co-organized by the Company and Holly International Financial Holdings Limited, was successfully held.

Ms. Zhou Jianqiu, secretary of the Party Committee and general manager of Holly Futures, and Mr. Chen Shiliang, general manager of Shanghai Office of SGX, delivered speeches respectively. The experts and scholars from SGX, Jiangsu Branch of China Export & Credit Insurance Corporation, Jiangsu Holly Corporation and the Company focused on the core issue of managing enterprises' foreign exchange exposure, and jointly explored how enterprises can understand and use foreign exchange hedging tools and futures products to better manage foreign exchange risk under the complexity of increased volatility in global financial markets, frequent fluctuations in the U.S. dollar index and extended range of fluctuation of RMB based on their own industry practices.

2020年9月19日，在江蘇省商務廳、江蘇省地方金融監督管理局的大力指導和支持下，由新加坡交易所主辦，公司及弘業國際金融控股有限公司協辦的「同新共進，大展弘圖－新加坡交易所外匯衍生品論壇」成功舉辦。

弘業期貨黨委書記、總經理周劍秋、新加坡交易所上海辦總經理陳世亮分別致辭。新加坡交易所、中國出口信用保險公司江蘇分公司、江蘇弘業股份有限公司、公司的專家學者們，圍繞管理企業外匯敞口這一核心問題，立足自身行業實踐，共同探討在全球金融市場震盪加劇，美元指數波動頻繁，人民幣波幅進一步擴大的複雜格局下，企業如何認識瞭解並使用外匯避險工具和期貨產品更好地管理外匯風險。



VI. Promote Social and Economic Development 六、促進社會經濟發展

Zhou Jianqiu, secretary of the Party Committee and general manager of the Company, emphasized in her speech that it is the original aspiration of Holly Futures to insist on serving the real economy. In recent years, the Company has been very concerned about the management needs of foreign trade import and export enterprises in terms of exchange rate hedging, and actively advocated the cooperation between overseas subsidiaries and well-known and excellent platforms such as SGX, to provide foreign trade enterprises with effective solutions to deal with exchange rate fluctuations. Holly Futures will take this event as an opportunity to give full play to the "five-in-one" innovative service model under the careful guidance and strong support of the SGX and administration authorities to secure import and export enterprises, so as to substantially serve the real economy and contribute to the development and prosperity of the domestic and foreign futures markets.

Mr. Chen Shiliang, general manager of Shanghai Office of SGX, said that China and Singapore have a long tradition of friendship and this year also marked the 30th anniversary of the establishment of diplomatic relations. As the third largest foreign exchange trading system in the world and a major foreign exchange trading system for Asian currencies, SGX is also well established in providing foreign exchange hedging tools and futures products to its clients. SGX will leverage the full value chain of the exchange to create diversified and defensive revenue streams, and will work with Holly Futures to serve Chinese investors and the financial market, in order to expand its footprint in China.

Mr. Liu Ming, director of Business Underwriting Department of Jiangsu Branch of China Export & Credit Insurance Corporation, was invited as guest speaker for the meeting. During the meeting, Mr. Liu explained the characteristics of global export credit risk under the pandemic and proposed the countermeasure of "Combating the Pandemic and Stabilization of Foreign Trade".

Mr. Wang Lipeng, deputy director of Shanghai Office of SGX, gave an in-depth explanation on the advantages and key features of RMB products of SGX, especially USD/CNH Futures and flexible foreign exchange futures.

公司黨委書記、總經理周劍秋在致辭中強調，堅持服務實體經濟，是弘業期貨不變的初心和追求。近年來，公司非常關注外貿進出口企業匯率避險方面的管理需求，積極倡導境外子公司和新交所這樣知名優秀的平台攜手合作，為外貿企業提供應對匯率波動的行之有效的解決方案。弘業期貨將以本次活動為契機，在新交所及主管部門的悉心指導和大力支持下，充分發揮「五位一體」創新服務模式的作用，昂揚奮進，在護航進出口企業的協奏曲中奏響音符；在服務實體經濟的舞台上綻放光彩；在實現境內外期貨市場同發展共繁榮的道路上貢獻力量！

新加坡交易所上海辦總經理陳世亮表示中國與新加坡友誼源遠流長，今年恰逢建交30週年，新加坡交易所作為世界第三大外匯交易中心，是亞洲貨幣主要的外匯交易中心，新交所在為客戶提供外匯避險工具和期貨產品方面也是頗有建樹。新交所將充分發揮完整的交易所價值鏈，創造多元化並具防守性的收益流，並將和弘業期貨攜手，擴展中國足跡，服務中國投資者及金融市場。

本次會議特意邀請中國出口信用保險公司江蘇分公司業務承保處的劉銘處長，劉處長闡述了在疫情下全球出口信用風險特點，提出「抗疫情、穩外貿」的應對策略。

新加坡交易所上海辦副總監王立鵬圍繞新交所人民幣產品，特別是美元／離岸人民幣期貨以及彈性外匯期貨的優勢、主要特點進行深度解讀。



VI. Promote Social and Economic Development 六、促進社會經濟發展

With the theme of "Exploring and Thinking About Exchange Rate Risk Prevention for Foreign Trade Enterprises", Wen Jinwei, deputy general manager of Jiangsu Holly Corporation proposed that foreign trade enterprises should build a platform, optimize capital management and standardize the operation process to achieve the purpose of foreign exchange exposure classification and hedging. He also shared several operational ideas of foreign exchange risk management such as digital currency and combination of futures and cash.

Zhang Huiqian, a foreign exchange researcher of the Company, analyzed the risks and opportunities under the "weak US dollar" cycle, introduced the dollar cycle and the specific implementation path for foreign exchange hedging.

The conference attracted nearly 100 participants from foreign trade enterprises on site and hundreds of people watching online. Participants expressed that with foreign trade enterprises' deepening understanding of foreign exchange rate, especially the offshore RMB contracts of SGX, more enterprises in Jiangsu will participate in the hedging business of relevant contracts. Foreign trade enterprises will definitely explore a stable and efficient path for foreign exchange risk management, and a new page in development will be opened to these enterprises.

The Company and Holly International Financial will take this forum as an opportunity to build a new platform for foreign exchange risk management under the correct guidance of the competent authority in Jiangsu and with the full support of SGX, to achieve a win-win situation for both futures and real enterprises, and to make continuous efforts to empower the real economy.

江蘇弘業股份有限公司副總經理溫金偉以「外貿企業匯率風險防範探索與思考」為主題，提出外貿企業要打造平台，優化資金管理，規範操作流程達到外匯敞口分類避險目的，同時分享了數字貨幣、期現結合等幾種外匯風險管理操作思路。

公司外匯研究員張惠乾分析「弱美元」週期下的風險和機會，介紹美元運行週期及對應外匯套保的具體實施路徑。

會議吸引了來自外貿企業近一百人現場參與、數百人線上觀看。參會者紛紛表示，隨著外貿企業對境外匯率特別是新交所離岸人民幣合約的認識不斷深入，將會有更多的江蘇企業參與相關合約套期保值業務。外貿企業必將走出一條穩健高效的外匯風險管理之路，企業發展將迎來否極泰來的新一頁。

公司和弘業國際金融控股將以本次論壇活動為契機，在江蘇省主管單位的正確指導下、在新加坡交易所的鼎力支持下，著力打造外匯風險管理新平台，實現期貨和實體企業雙贏，為實體經濟賦予新動能而不斷努力。

VII. Establish Party Committee 七、黨建工作

1. Comprehensively fulfill the responsibility of Party management and governance

Comprehensively fulfill the responsibility of Party management and governance. The Company convened a working meeting on the comprehensive strict governance of the Party and the construction of the Party-style and clean government, and issued documents such as the “List of Primary Responsibilities of the Party Committee to Comprehensively Perform Strict Governance on the Party”, the “List of Responsibilities of Party Committee Secretaries for Party Building”, the “Highlights on Party Building” and the “List of Supervision Responsibilities of the Discipline Committee to Comprehensively Perform Strict Governance on the Party”. The Company arranged and assessed the construction of Party-style and clean government with the production and operation work, firmly establishing “Four Consciousness”, enhancing “Four Confidences”, endeavouring to “Upholding in the Two Aspects”, promoting a comprehensive and in-depth implementation of strict governance of the Party.

2. Build branches to enhance new power

On the basis of the outcomes of the “Branch Building Year” in 2019, the Company launched an in-depth “Branch Building Enhancement Year” activity and seriously formulated an implementation plan, by taking the enhancement on organisational power, cohesion and combat power of grassroots party organisation as the key approaches. By closely integrating the job responsibilities of branches with the operational objectives of the enterprises, the Company launched the “One Person, One Proposal” and “Contribution to the Development of the 14th Five-Year Plan” events for all Party members, and completed the annual investigation report. Responsibility of branches was strengthened by formulating the “List of Responsibilities of Party Committee Secretaries for Party Building”, the “List of Responsibility of the Discipline Committee of Party Branch” and other documents. The Company has done a rigorous job of developing its Party members by focusing on the development of advanced personnel with outstanding performance in epidemic prevention and control, resumption of work and production, developing 6 party activists, listing 7 as development targets, developing 5 preparatory Party members and converting 3 to official members. The Company carried out various Party building activities – organized visits to the Nanjing Yangtze River Bridge Memorial Hall and the Nanjing River Crossing Victory Memorial Hall, held a series of activities entitled “Tribute to 1st of July, Grateful for the Original Intention, Seven Ones” and “I am a Flag”, and convened a commendation ceremony for the “Two Excellent and One Advanced” anti-epidemic awards.

1. 全面落實管黨治黨責任

全面落實管黨治黨責任。召開全面從嚴治黨暨黨風廉政建設工作會議，印發《黨委履行全面從嚴治黨主體責任清單》《黨委書記抓黨建工作責任清單》《黨建工作要點》《紀委履行全面從嚴治黨監督責任清單》等文件。將黨風廉政建設與生產經營工作同佈置、同考核，牢固樹立「四個意識」、增強「四個自信」、做到「兩個維護」，推動全面從嚴治黨走深走實。

2. 構建支部提升新動力

公司在2019年「支部建設年」活動成果的基礎上，深入開展「支部建設提升年」活動，認真制定實施方案，把增強基層黨組織的組織力、凝聚力、戰鬥力作為深入黨建工作的重要抓手。將支部工作責任與企業經營目標緊密融合，開展全體黨員「一人一提案」「我為十四五發展獻一策」活動，完成年度專項調研報告。強化支部責任落實，制定《黨支部書記抓黨建工作責任清單》《黨支部紀檢委員履責清單》等。嚴格做好黨員發展工作，著重發展在疫情防控、復工復產中表現突出的先進人員，發展入黨積極分子6人，列為發展對象7人，發展預備黨員5人，轉為正式黨員3人。開展各項黨建活動，組織參觀南京長江大橋紀念館、渡江勝利紀念館，舉辦「致敬七一、感恩初心、七個一」、「我是一面旗」系列活動，並召開抗疫「兩優一先」評選表彰會。



VII. Establish Party Committee 七、黨建工作

3. Create distinctive brands of the Party

The Party Committee of the Company and the Party and Work Committee of Hongwu Road Street carried out pairing and joint construction of Party building activities, held the signing ceremony and launched the charitable events. According to the requirements of the provincial party committee, the provincial government and the provincial SASAC on the action of "connecting enterprises with villages to pursue the common prosperity", the Company made several site visits, agreed on the idea of joint construction, and signed the joint construction agreement with Shaozhuang Village, Beichenji Town, Guannan County. Immediately, the first phase of the "insurance + futures" project was launched to protect farmers' income and help the village revitalize its existing assets and increase its collective income by marketing and promotion, thus helping the "rural revitalization" strategy to be implemented in Jiangsu.

3. 打造特色黨建品牌

公司黨委與洪武路街道黨工委開展黨建結對共建，舉行簽約儀式，開展慰問活動。根據省委、省政府和省國資委關於「萬企聯萬村、共走振興路」行動部署要求，公司多次實地考察、商定聯建思路，與灌南縣北陳集鎮邵莊村簽訂聯建協議。隨即，啟動第一期「保險+期貨」項目，保障農民收益，同時幫助該村盤活現有資產，通過招商引資，增加村集體收入，助力「鄉村振興」戰略在江蘇落地。



VIII. Foster Staff Growth 八、促進員工成長

1. Safeguard employees' rights and interests effectively

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

Every year, the Company participates in social recruitment, campus recruitment and other types of on-site recruitment activities, and constantly introduces the necessary personnel for the Company through the network recruitment platform. The Company hires employees by open recruitment, fair competition, and strict assessment to select the right candidates. In the course of introducing and cultivating staff, the Company adheres to the principle of equal employment, fair promotion to eliminate discrimination, harassment and defamation due to age, sex, marital status, disability, family status, race, skin colour, descent, nationality, ethnicity, or religion. The Company is committed to taking an open and impartial attitude when assessing employee performance in all aspects of employment, such as promotion, job transfer, salary adjustment, training, dismissal and layoff, so that all employees get equal employment opportunities.

There are clear job description for each position of employment, which describes the job responsibilities in detail and the basic requirements for job qualification. The Company has a complete promotion system and promotion mechanism; staff promotion is linked to the performance appraisal, including: performance assessment for business personnel every six months and performance assessment for general staff every year, those with outstanding performance will be offered advancement in their career development.

According to the provisions of the Labour Law of the PRC and the Labour Contract Law of the PRC, the Company has signed labour contract with each employee and established labour relations in accordance with the principles of lawfulness, fairness, equality and voluntariness, consensus and good faith. The labour contract includes terms such as duration of the contract, working hours, rest and leave, labour remuneration and insurance benefits, labour protection and labour conditions, as well as variation and rescission of contract.

1. 切實保障員工權益

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

公司每年都會參加社會招聘、校園招聘等各類現場招聘活動，並通過網絡招聘平台，為公司持續引進所需人才。公司錄用員工採取公開招聘、公平競爭、嚴格考核的辦法，擇優錄用；在引進和培養員工過程中，公司堅持平等就業、公平提拔的原則，以消除年齡、性別、婚姻狀況、殘疾、家庭狀況、種族、膚色、血統、國籍、族群、或宗教為由的歧視、騷擾和誹謗。公司致力為員工在晉陞、轉職、薪酬調整、培訓、解僱及裁員等一切就業方面評估員工績效時，採取公開及公正的態度，令所有員工獲得平等的就業機會。

公司員工對應的崗位均有明確的崗位說明書，崗位說明書詳細描述了各個崗位職責及崗位任職資格基本要求。公司有完備的晉陞體系和晉陞制度，員工晉陞和績效考核相掛鉤，包括：每半年對業務人員進行業績考核，每年對綜合人員進行績效考核，為表現優異的員工提供職業發展平台。

根據《中華人民共和國勞動法》和《中華人民共和國勞動合同法》規定，遵循合法、公平、平等自願、協商一致、誠實信用的原則，公司與每位員工簽訂勞動合同，建立勞動關係。勞動合同包含合同期限、工作時間和休息休假、勞動報酬和保險福利、勞動保護和勞動條件、合同的變更及解除等條款。



VIII. Foster Staff Growth 八、促進員工成長

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

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

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

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

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

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

VIII. Foster Staff Growth 八、促進員工成長

Employees' Employment Performance Indicator

員工僱傭績效指標

	Indicator 指標	Unit 單位	2020 2020年
Total number of employees 員工總數			
By gender 按性別劃分	Male 男性	person 人	365
	Female 女性	person 人	294
By employment type 按僱傭類型劃分	Contract employees 合同制員工	person 人	659
	Others 其他	person 人	0
By age group 按年齡組別劃分	Below 30 years old 30歲以下	person 人	207
	31 years old – 40 years old 31歲 – 40歲	person 人	350
	41 years old – 50 years old 41歲 – 50歲	person 人	80
	51 years old – 59 years old 51歲 – 59歲	person 人	22
	Above 60 years old 60歲以上	person 人	0
By region 按地區劃分	Employees within Jiangsu 江蘇省內員工	person 人	467
	Employees outside Jiangsu 江蘇省外員工	person 人	192

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

*註：員工僱傭績效指標僅統計合同制員工，1位勞務派遣制員工未納入統計範圍。

VIII. Foster Staff Growth 八、促進員工成長

	Indicator 指標	Unit 單位	2020 2020年
Employee turnover 員工流失人數			
By gender 按性別劃分	Male 男性	person 人	53
	Female 女性	person 人	29
By age group 按年齡組別劃分	Below 30 years old 30歲以下	person 人	40
	31 years old – 40 years old 31歲 – 40歲	person 人	31
	41 years old – 50 years old 41歲 – 50歲	person 人	10
	51 years old – 59 years old 51歲 – 59歲	person 人	1
	Above 60 years old 60歲以上	person 人	0
	Domestic 境內	person 人	77
	Overseas 境外	person 人	5

Note: The employee employment performance indicator only consists of contract employees, and one labor dispatch employee is not included in the statistical scope.

*註：員工僱傭績效指標僅統計合同制員工，1位勞務派遣制員工未納入統計範圍。

2. Establish a sound employees' labour welfare system

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

2. 健全員工勞動福利制度

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



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

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

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

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

公司工作時間為每週一至週五8:30-11:30，13:00-17:00，每天工作七小時。按照《中華人民共和國勞動法》及相關法律規定，公司充分保障員工合法權益，嚴格執行法定假日及休假制度，包括：事假、病假、婚假、喪假、產假、帶薪年假等。除此之外，為體現對女職工的關心關愛，公司還另行制定了女工假政策，以充分保障女職工權益。通過系列休假制度的執行，使員工能夠在工作之餘得到休息和放鬆，更好的保障員工以健康的體魄、愉悅的心情投入工作和生活。

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

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Occupational Health and Safety Indicator

職業健康與安全績效指標

	Unit	2020
	單位	2020年
Number of working days lost due to work-related injury 因工傷損失工作日數	day 天	0

	Unit	2020	2019	2018
	單位	2020年	2019年	2018年
Number of work-related fatalities 因工作關係而死亡的人數	person 人	0	0	0

3. Focus on employees' training and promotion

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

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

The Company made full use of internal, external and Internet resources to provide abundant learning opportunities for employees. The Company invested an accumulative training expense of RMB291,000 for the whole year of 2020. At the same time, the Company also conducted online trainings by using the Internet, WeChat and videos for all employees, which formed an effective supplement to offline trainings and largely met the development needs of employees. The employees were encouraged to participate in completing online classroom training projects organized by the Company in 2020.

3. 注重員工培訓與提升

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

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

公司充分利用內、外部及互聯網的資源，為員工提供豐富多樣的學習機會。2020年培訓費用累計投入人民幣29.1萬元。同時公司運用網絡、微信、視頻等形式開展在線培訓，實現培訓全員覆蓋，與線下培訓形成有效補充，大力滿足員工的發展需要，督促員工參與完成了2020年公司組織的網絡課堂培訓項目。

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員工培訓績效指標

	Indicator 指標	Unit 單位	2020 2020年
Number of trained employees by gender 按性別劃分的受訓僱員人數	Male 男性	person 人	365
	Female 女性	person 人	294
Number of trained employees by employee category 按僱員類別劃分的受訓僱員人數	Senior management 高級管理層	person 人	9
	Middle management 中級管理層	person 人	105
	Junior staff 基層員工	person 人	545
Number of employee training hours by gender 按性別劃分的僱員受訓時數	Male 男性員工	hour 小時	21,246.99
	Female 女性員工	hour 小時	17,114.01
Employee training hours by employee category 按僱員類別劃分的僱員受訓時數	Senior management 高級管理層	hour 小時	1,220.00
	Middle management 中級管理層	hour 小時	6,424.50
	Junior staff 基層員工	hour 小時	30,716.50

4. Give full play to the Labour Union

In 2020, under the correct leadership of the management of the Party Committee of the Company and the superior labour union, with the strong support of all the employees of the Company, the Labour Union of the Company completed the task set for the year relatively well. At the beginning of this year, faced with the outbreak of the COVID-19 pandemic, the Labour Union actively participated in organizing the procurement of anti-epidemic materials and made huge efforts in protecting the health of workers and work and production resumption. During the year, the Labour Union has conscientiously studied and implemented the spirit of the 19th NCCPC and series of speeches of General Secretary Xi Jinping, closely focused on the central work of the enterprise, seriously performed the basic functions of the Labour Union, played the role of bridge linkage, and made positive contributions to promoting the democratic management of the enterprise, serving the whole enterprise, protecting the rights and interests of the employees, improving the quality of the employees, strengthening the construction of corporate culture and building harmonious enterprises so as to achieve sound results in promoting the high-quality development of the Company. The work of the Labour Union carried out in the year is reported as follows:

4. 充分發揮工會的積極作用

2020年，在公司黨委、上級工會的正确領導下，在公司全體職工大力支持下，公司工會較好地完成了全年既定的各項工作任務。今年年初，新冠肺炎疫情爆發，工會積極參與組織抗疫物資採購，在保障職工健康，助力復工復產方面做了大量工作。今年以來，工會認真學習貫徹黨的十九大的習總書記系列講話精神，緊緊圍繞企業中心工作，認真履行工會各項基本職能，發揮橋樑紐帶作用，為促進企業民主管理、服務工作大局、維護職工權益、提高職工素質、加強企業文化建設、構建和諧企業做出了積極貢獻，在推進公司高質量發展上取得了良好的成績。現將一年來工作開展的情況匯報如下：



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1) Participate in the fight against the COVID-19 pandemic and facilitate work and production resumption

At the beginning of the year, during the COVID-19 pandemic, the Labour Union of the Company purchased masks worth more than RMB30,000 and other disinfection and epidemic prevention materials for the employees. At the same time, the Labour Union deployed some of its staff to take charge of the health data reporting of all employees during the pandemic, to check the body temperature of employees entering and leaving the office area, and to supervise and inspect the implementation of the epidemic prevention system.

2) Promote democratic management and strengthen labour affairs

(1) Implementing the system of the congress of employee representatives

Relevant systems of the congress of employee representatives are seriously implemented to strengthen the construction of corporate democracy. By leveraging the system of the congress of employee representatives, a platform for employees to participate in democratic management and channels to express interests and demands is established to secure the employees' discussion on major matters of the Company' development, employees' acknowledgment on major issues of the Company's production and operation as well as employees' participation in major issues concerning employees' interests. Throughout the year, the Labour Union convened 4 employee representative congresses, extensively listened to employees' opinions on the operation and management of the enterprise and relevant major matters concerning the employees' interests. 5 resolutions were considered and approved, including the "Proposal on Raising the Basic Salary Standards of Holly Futures Business Staff", the "Proposal on Adjusting the Proportion of Year-end Bonuses for General Staff", the "Provision on Punishment for Violation of Regulations for Employees of Holly Futures Co., Ltd. (Trial)" (Revised), the "Proposal on the Adjustment of the Employee Provident Fund Base for 2020", etc. The convention of congress of employee representatives fully secured employees' right to know, to participate, to express and to supervise, also mobilised employees' production initiative and provided a platform for employees to participate in the democratic management of the enterprise.

1) 參與抗擊新冠疫情，助力復工復產

年初新冠肺炎肆虐之際，公司工會為職工採購了價值人民幣3萬餘元的口罩以及其他消毒、防疫物資。同時工會派出部分工作人員擔負疫情期間全體職工健康數據統計上報，進出辦公區域人員體溫檢測、監督檢查防疫制度執行情況等工作。

2) 推進民主管理，強化司務公開

(1) 認真落實職代會制度

認真落實職工代表大會相關制度，加強企業民主建設。依托職代會制度搭建職工參與民主管理的平台和表達利益訴求的渠道，保證公司發展重要事項讓職工討論，公司生產經營重大問題讓職工知曉，涉及職工切身利益重要問題讓職工參與。全年工會組織召開職工代表大會4次，就企業經營管理以及和職工利益切身相關的重要事項廣泛聽取職工意見。審議通過了《關於提高弘業期貨業務人員底薪標準的議案》《關於調整綜合人員年終獎計提比例的議案》《弘業期貨股份有限公司員工違規處分規定(試行)》(修訂版)《關於2020年度員工公積金基數調整的議案》等5項議案。職工代表大會的召開，充分保障了職工的知情權、參與權、表達權和監督權，調動了職工的生產積極性，為職工參與企業的民主管理提供了平台。



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(2) Orderly commencing the Receiving Day activity for entry level employees

During the year, the Company held the Receiving Day activity for entry level employees once. The activity further sorted out the communication channels for all levels of employees of the Company, promoting the development of the Company in a healthier and steadier way. Employees reflected issues which involve improvement on the working environment, difficulties encountered at work, providing ideas for the Company's development and other perspectives. For issues which could be solved on the spot were promptly solved, for those which could not be solved on the spot, the acceptance departments and processing deadlines were clarified after the meeting to ensure each issue was delivered and being handled.

3) Actively carry out various activities to deliver love and coolness, and hardship assistance

Taking care about the lives of employees, do good and practical things for the employees as the starting point, the Labour Union has been actively doing what employees are expecting and what they can do, and has done the following work in caring for and serving employees:

(1) Consolation for workers in difficulty

In order to conscientiously act in the spirit of the provincial Labour Union Federation's documents and give full play to the unique role of enterprise labour union in helping work, the Company's Labour Union properly perform the condoling and helping work for needy staff. Early this year, the Labour Union provided subsidies to 7 needy staff from the headquarter and branches, and gave out gifts to needy staff. At the same time, condolences from the Labour Union of the holding group have been applied for 4 particularly needy staffs. In the future, the Labour Union will continue to explore targeted special assistance measures and expand its help and support, so that love and support from the Labour Union can be sent to all employees.

(2) 有序開展基層員工接待日活動

年內開展基層員工接待日活動1次。活動進一步疏通了公司上下溝通的渠道，促進公司更加健康穩步發展。對於員工反映涉及工作環境改善、工作生活中遇到的困難、對公司發展建言獻策等諸多方面的問題，現場能解決的予以迅速解決，現場不能解決的，活動結束後均明確受理部門和處理期限，確保件件有落實，事事有回音。

3) 積極開展各類送溫暖、送清涼及困難幫扶活動

工會以關心員工生活，為員工辦好事、辦實事為出發點，積極做好職工所盼、工會所能的工作，在關愛員工、服務員工方面做了以下工作：

(1) 慰問困難職工

為認真貫徹落實省總工會文件精神，充分發揮企業工會在幫扶工作方面的獨特作用，公司工會認真做好困難職工的慰問幫扶工作。年初，工會向總部和營業部7名生活困難職工發放補助，並贈送慰問品。同時，為4名特別困難的職工申請了控股集團工會的慰問。未來，工會將以繼續探索有針對性的專項救助措施，擴大幫扶面、加大幫扶力度，提高幫扶實效，把工會的關愛送到職工群眾心中。

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(2) Commencing the “Deliver Coolness” activity during summer times

During the midsummer period, the Company's Labour Union distributed anti-heat medicines to all branches of the headquarters and other branches during the mid-year summary meeting. Starting from July, under the premise of strictly implementing the epidemic prevention and control measures from higher authorities, the Company's leadership team members braved the heat, accompanied by the Labour Union staffs, went to 8 branches to carry out cool activities in the summer, sent cool and refreshing fruits, heatstroke prevention and cooling kits, and brought the occupational hazard prevention knowledge to employees of the operating department. During the process, the Company's leaders also carried out talks with the branches and their cadres, and gave careful guidance to solve the problems they encountered in their work and life.

(3) Distributing festive gifts

The Labour Union continued the tradition of distributing gifts to employees before such events as the Spring Festival, Dragon Boat Festival and Mid-Autumn Festival. This year, the Labour Union actively explored new methods to satisfy different needs of employees by providing a variety of festive gift distribution options to choose from. Meanwhile, to facilitate the collection and reduce the time and manpower consumed in the distribution process, the gifts were selected online and delivered offline this year for the first time.

(4) Sending birthday benefits for employees

The Company sent birthday cake coupons and birthday wishes to employees on their birthday. According to the new income and expenditure management rules of the Labour Union, the quota for birthday benefits was raised this year, while the form of distribution has become more flexible. At the beginning of the year, the Labour Union sent online survey and questionnaire to all employees to reasonably allocate the procurement and distribution of birthday cake coupons based on the employees' own choice.

(2) 開展夏季「送清涼」活動

在盛夏期間，公司工會為總部及外地各分支機構發放瞭解暑藥品。7月份開始，在嚴格執行上級疫情防控措施的前提下，公司領導班子成員冒著酷暑，在工會工作人員的陪同下，相繼趕赴8家分支機構開展夏日送清涼的活動，為營業部員工送去清涼解暑的瓜果飲品、防暑降溫藥品，並帶去了職業病危害防治知識普及讀本。慰問過程中公司領導還同分支機構幹部職工開展談心談話活動，對他們工作和生活遇到的難題給予悉心指導。

(3) 發放過節慰問品

工會延續往年傳統，在春節、端午節、中秋節等傳統節日來臨之際，為全體員工發放節日慰問品。今年工會積極探索新模式，為滿足職工的不同需求，提供多種節日慰問品發放方案供選擇。同時為了便於領取，減少發放環節上消耗的時間和人力，今年慰問品首次採用了線上選擇、線下配送的方式。

(4) 為員工發放生日福利

公司在員工生日當天會為員工發放生日蛋糕卡，並送上生日祝福。根據新的工會收支管理辦法，工會今年提高了生日福利的發放額度，發放形式也變得更加靈活。年初的時候，工會向全體員工發送了線上調查問卷，根據員工自主選擇，合理安排生日蛋糕卡的採購和發放。

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(5) Carrying out medical examination for employees

To protect the health of employees, let them feel the care from the Company and build a harmonious corporate atmosphere, the Labour Union carried out a medical examination for all employees of the Company in early October. Employees at the headquarters were examined at the designated hospital, and employees in other regions were examined at their location according to the unified standard.

(6) Sending blessings or care to employees during special times such as marriage, childbirth, illness and bereavement

The Labour Union sent condolence allowances and subsidies to employees during special times such as marriage, childbirth, illness and bereavement; members of the Labour Union also visited the sick employees on behalf of the Labour Union to bring blessings and condolences.

4) Enhance the cohesion of the Labour Union by organizing various activities

To relieve the work pressure of the employees and enhance the friendship between colleagues, while achieving the effect of combining exertion and rest, this year, the Labour Union has organized a number of activities to boost the spirits of employees and demonstrate the vigorous and lively spirit of the enterprise.

(1) Organizing the 2020 Chinese New Year Staff Cultural Performance

On 18 January, the “Winning Together – Building Dreams” – 2020 Chinese New Year Staff Cultural Performance of Holly Futures was held at the Youth Travel Hotel under the leadership of the Labour Union. The performance was wonderful with a variety of entertainments, including songs and dances, skits, comedy, magic show, musical instrument show, dubbing show and so on. The event not only provided a stage for employees to showcase themselves, but also increased the cadres’ awareness of the Company and their sense of belonging.

(5) 開展職工體檢工作

為保障員工身體健康，讓員工切實感受來自公司的關愛，構建和諧的企業氛圍，10月上旬，工會組織開展了公司全體員工的體檢工作。總部員工在指定醫院進行體檢，外地職工按照統一標準在所在地進行體檢。

(6) 為婚育病喪等特殊時期職工送去祝福或關懷

工會在員工婚喪嫁娶、生育、生病等特殊時期發放慰問津貼和補助，工會委員也會代表工會前往探望生病員工，帶上祝福和慰問。

4) 組織開展各類活動，增強工會凝聚力

為了緩解員工工作壓力，增進同事友誼，同時達到勞逸結合的效果，今年以來，工會組織舉辦了多項活動，提振了員工精神，展現了企業昂揚向上，銳不可當的勃勃生氣。

(1) 舉辦2020新春職工文藝匯演

1月18日，在工會牽頭組織下，「聚力共贏·築夢遠航」—弘業期貨2020新春文藝匯演於青旅賓館隆重舉行。此次演出節目精彩紛呈、形式多樣，歌舞、小品、相聲、魔術、樂器秀、配音秀等不一而足。活動不僅為員工提供了展示自我的舞台，也增添了幹部職工對公司的認知度和歸屬感。



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(2) Commencing the walking around the lake activity

In order to enrich the cultural and sports life of the employees, and create an atmosphere for everyone to enjoy sports and cherish health, the Company held a health walk around the lake with the theme of “Swimming in Xuanwu and appreciating summer lotus” at Xuanwu Lake on 28 June. The deputy general manager and chairman of the Labour Union, Jia Guorong and a total of 62 staff members and cadres participated in the activity. The walking around the lake activity allows employees to go outdoors after a busy working day, to feel the beauty of nature while releasing their stress, cheering up their mood, cultivating their emotions and stimulating their vitality.

(3) Convention of “Read to fight virus – Peace of mind and body” series of activities of the 2020 Reading Festival

To celebrate the “4·23 Reading Day” that enabled employees to read good books, increase their reading interest and the quality of reading, while creating a positive, healthy and civilized atmosphere of corporate culture, the Labour Union launched a series of activities of the Reading Festival from April to June. These activities include: good book recommendations, book distribution, collection of book reviews, evaluation, etc. Through the book reading activities, the personal quality of employees were improved, and the level of corporate management was improved, adding lustre to the Company’s high quality development.

(4) Convention of the “Glutinous fragrance and the harmonious Holly Futures” dumpling-wrapping contest at the Dragon Boat Festival

To promote the national spirit, inherit the Chinese tradition and let the employees experience the beauty of life, the Labour Union organized the “Glutinous fragrance and the harmonious Holly Futures” dumpling-wrapping contest on 19 June. 45 employees at the headquarters participated in this event. The first, second and third prizes were selected based on the contest standard.

(2) 開展環湖健康行活動

為豐富職工文體生活，營造人人愛運動、人人惜健康的氛圍，6月28日，公司在玄武湖舉辦「暢遊玄武、吟賞夏荷」為主題的環湖健康行活動。公司副總經理、工會主席賈國榮及幹部職工共計62人參加活動。環湖健康行活動讓員工在繁忙的工作之餘走到戶外，感受大自然的美好，釋放壓力，放飛心情，陶冶情操，激發活力。

(3) 舉辦「以讀攻毒·身心皆安」2020年讀書節系列活動

為慶祝「4·23讀書日」，讓職工有書讀，讀好書，提高閱讀興趣及閱讀品位，並營造積極向上、健康文明的企業文化氛圍，工會在4月至6月期間開展了系列讀書節活動。活動包括：好書推薦，圖書發放，讀書心得徵集、評選等。通過讀書活動提高了職工素質，提升了企業管理水平，為公司高質量發展添磚加瓦。

(4) 舉辦「糯香四溢、和諧弘業」端午節包粽子比賽

為弘揚民族精神，傳承中華傳統，同時讓職工們體驗美好生活，6月19日，工會舉辦「糯香四溢，和諧弘業」包粽子比賽。總部45名員工參加了此次活動。根據標準此次比賽選出了一二三等獎。

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(5) Participation in the “2020 Jiangsu Provincial Ministry-owned Enterprise Fun Games for Employees”

According to the requirements of the “Notice on the Organization of the 2020 Jiangsu Provincial Ministry-owned Enterprise Fun Games for Employees” of the Provincial State-owned Assets Supervision and Administration Commission, and the Provincial Federation of Trade Unions, following the unified arrangement of the holding group, the Company sent 20 athletes to join the representative team of SOHO Holding Group to compete in the fingerboard rope-skipping event. The participants took time out from their busy daily work to train actively. The representative team of SOHO Holding Group eventually got the fourth place in total score.

(6) Active participation in the “Ankang Cup” completion

According to the requirements of the “Notice on the Organization of the 2020-2021 “Ankang Cup” competition” of the Provincial State-owned Assets Supervision and Administration Commission, and the Union of Provincial Enterprises and Institutions, the Labour Union of the Company reported a detailed activity plan and carried out the related work according to the plan. Firstly, offline and online safe production trainings are conducted and experts are invited to teach employees on safe production knowledge and related skills; secondly, safe production column is created to publish the latest safe production system, publicize information about the Company’s safety committee, safety officers, fire departments and other personnel, as well as the Company’s production safety organization, and relevant news on the safe production meetings and activities, etc. are posted for information; thirdly, the position of safety officer is established. The person-in-charge of each department of the Company is responsible for safe production. The department has arranged for fixed personal to concurrently serve as the department’s safety officer to engage in the supervision and inspection work on safe production. Each floor of the headquarters also has a person-in-charge of safety and floor safety officer to increase the inspection effort on safe production.

(7) Participation in the opening ceremony of the Provincial State-owned Assets System Consumption Poverty Alleviation Special Event

According to the requirements of the “Notice on the Participation in the opening ceremony of the Provincial State-owned Assets System Consumption Poverty Alleviation Special Event” of the Provincial State-owned Assets Supervision and Administration Commission, at the request of the Group’s Labour Union, Wei Xi from the financial development headquarters is selected by the Labour Union to participate in the opening ceremony of the Poverty Alleviation Special Event. Wei Xi performed for the event a female solo song “In the Warm Spring” (《春暖花開》).

(5) 參加「2020江蘇省省部屬企業職工趣味運動會」

根據省國資委、省總工會《關於組織開展2020年省部屬企業職工趣味運動會的通知》要求，按照控股集團統一安排，公司派出20名運動員，加入蘇豪控股集團代表隊，參與指壓板跳繩項目的角逐。參賽人員在日常繁忙的工作中擠出時間積極訓練。最終蘇豪集團代表隊獲得了總分第四的好成績。

(6) 積極參加「安康杯」競賽活動

根據省總工會、省部屬企事業工會《關於2020-2021年度開展「安康杯」競賽活動的通知》要求，公司工會上報了詳細的活動方案並根據方案推進相關工作的開展。一是開展線下線上安全生產培訓，邀請專家為員工授課，講述安全生產方面的知識，傳授相關技能。二是建立安全生產園地，發佈最新安全生產制度，公示公司安委會、安全員、消防隊等人員信息和公司安全生產組織架構，張貼安全生產會議、活動的相關報道等。三是設立安全員崗位。公司各部門負責人為安全生產責任負責人，部門安排固定人員兼任部門安全員，從事安全生產監督和檢查工作。總部各樓層也設立安全負責人和樓層安全員，加大安全生產檢查力度。

(7) 參加省國資系統消費扶貧專項活動開幕式演出

根據省國資委《關於參加全省國資系統消費扶貧專項活動的通知》，應集團工會要求，工會選派金融拓展總部韋璽參加扶貧專項活動開幕式的演出。韋璽帶去的節目是女聲獨唱《春暖花開》。

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(8) Participation in the 2020 Table Tennis Competition for Employees of Provincial and Ministerial Enterprises

At the request of the holding group, the Company selected 7 table tennis players to participate in the 2020 Table Tennis Competition for Employees of Provincial and Ministerial Enterprises on behalf of the holding group. Through the hard work of the contestants, they finally won top positions in the men's team and women's individual competitions.

(9) Organizing sports club events

During the year, several sports events were cancelled due to the pandemic. To strengthen the physical fitness of employees and enhance the cohesion among them, the football club, table tennis club and badminton club continued to carry out activities with the support of the Labour Union. The football club insisted on regular trainings, and a number of friendly matches were held this year. The Labour Union has opened a special table tennis venue on the 7th floor and set up table tennis tables with non-slip flooring to provide convenience for daily training.

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

Each year, the Labour Union provides corresponding activities according to the size of the branch. This year, branch activities supported by the union are: Suzhou Branch, Changzhou Branch and Zhangjiagang Branch have started the reading corner activities; Huaian Branch, Hefei Branch and Jiangyin Branch carried out badminton competition activities; Suqian Branch carried out aerobic cycling activities; Liyang Branch held the "Walking round the Yanshan Park" activity; Yixing Branch carried out the Yiyuan walking activity for employees; all employees of the branches carried out the in-door outreach training activity; and Nantong Branch carried out the in-door group project "Escape from the Room", etc.

(8) 參加2020年省部屬企業職工乒乓球比賽

應控股集團要求，公司選派了7名乒乓球選手代表控股集團參加2020年省部屬企業職工乒乓球比賽。通過參賽選手的奮勇拼搏，最終在男子團體和女子個人賽中斬獲名次。

(9) 組織開展運動俱樂部活動

年內受疫情影響，原定的幾項運動賽事均被取消，為了強健員工體質，增強員工間凝聚力，在工會支持下，今年足球俱樂部、乒乓球俱樂部和羽毛球俱樂部仍正常開展活動。足球俱樂部堅持定期訓練，今年以進行了多場友誼賽。工會在7樓開闢了專門的乒乓球活動場所，設置了乒乓球檯並鋪上防滑地膠，為日常訓練提供了便利。

(10) 支持分支機構開展多樣文體活動

工會每年會根據分支機構規模，提供相應的活動經費。今年由工會支持的分支機構活動有：蘇州營業部、常州營業部、張家港保稅區營業部開展讀書角活動；淮安營業部、合肥營業部、江陰營業部開展羽毛球比賽活動；宿遷營業部開展了有氧騎行活動；溧陽營業部舉辦「燕山公園徒步走」活動；宜興營業部組織員工開展了宜園健步走活動；營業部全體員工開展了室內拓展訓練活動；南通營業部開展了室內團建項目「密室逃脫」活動等。

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The Labour Union also actively participated in various activities organized by the holding group, such as participating in the photography training conducted by the Group, joining the Group's marriage and dating platform for single employees, opening the "T3 Travel" group customer discount account for employees and other activities.

In 2020, the Labour Union continued to give out a park annual card to each employee to provide convenience for them to participate in outdoor activities and appreciate the beautiful lakes and mountains.

5) Strengthen the organization construction and enhance working ability

Since 2020, the Labour Union of the Company has been strengthening its financial management by collecting, managing and using the union's funds properly; regular meetings of the committee members of the Labour Union were also convened to centrally discuss on major issues of the Labour Union and put the specific work of the Labour Union into practice, truly achieving openness, fairness and democratic centralization.

(1) Steady promotion of business learning and training

The Labour Union sent 2 committee members and 1 cadre of the Labour Union to attend the training course for union cadre held by the holding group. Through the 4-day study and exchange program, the participants bathed in the revolutionary spirit, cultivated the spirit of pioneering and innovation, enhanced their party devotion, and at the same time, their union-related work ability was improved through the professional skills training for the Labour Union.

(2) Recommended employees to participate in the "Women's Pacesetter on the First of May" evaluation

In March 2020, Yao Aili, the head of the office and director of the party office of the Company, participated in the "Women's Pacesetter on the First of May" provincial enterprise evaluation and was successfully awarded the title of "Women's Pacesetter on the First of May".

工會還積極參加控股集團組織的各項活動，如參加集團開展的攝影培訓，加入集團單身職工婚戀交友平台，為員工開通「T3出行」集團客戶優惠賬號等各類活動。

2020年，工會繼續給每位員工發放公園年卡，為員工參與戶外活動，領略湖光山色提供便利。

5) 加強組織建設，提升工作能力

2020年以來公司工會加強對財務管理，收好，管好，用好工會經費；定期召開工會委員會，對工會重大事項集中商議，將工會各項具體工作落到實處，真正做到公開、公正、民主集中。

(1) 業務學習培訓穩步推進

工會派出2名工會委員和1名工會幹事參加了控股集團舉辦的工會幹部培訓班。通過為期4天的學習交流，參訓人員進一步接受了革命精神洗禮，培養了開拓創新精神，提升黨性修養，同時，通過工會工作專業技能培訓提升了工會相關的工作能力。

(2) 推薦員工參評「五一巾幗標兵」

2020年3月份，經工會推薦，公司辦公室主任、黨辦主任姚愛麗參加省部屬企業「五一巾幗標兵」的評選，並成功獲得省部屬企業「五一巾幗標兵」的稱號。



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(3) Meeting the inspection work of the holding group

In September 2020, the inspection team of the holding group launched a one-month inspection of the Party Committee of the Company. Relevant staff of the Labour Union fully cooperated with the inspection work, seriously prepared the accounts and relevant information of the Labour Union in the past 3 years for inspection, and seriously and truthfully answered the questions raised by the inspection team.

(4) Strictly and firmly enforced the financial discipline

In the use of funds, the Company strictly enforced the procedural requirements of collective research and decision, and strictly implemented budget preparation, approval and execution.

(5) Recognizing the advanced union cadres and activists of the year

At the beginning of the year, the Labour Union honoured 2 outstanding union cadres and 30 activists who had outstanding performance in daily union work. One of the union cadres was also elected as an advanced union worker of the year of the holding group.

In 2020, the Company also completed fundamental work such as the replacement of the legal person certificate of the Labour Union, the exchange of experience in the construction of the system of the Company's congress of employee representatives, and the reporting of the "2020 Survey of Grassroots Labour Union" and the "Provincial Ministry Enterprise Labour Union Work Organization Settings and Deployment of Cadres Survey".

(3) 迎接控股集團巡察工作

2020年9月，控股集團巡察組對公司黨委開展為期一個月的巡察工作。工會相關工作人員全力配合此次巡察工作的開展，認真準備近3年來的工會台賬及相關資料備查，認真如實答覆巡察組提出的問題。

(4) 嚴格堅決執行財務紀律

在經費使用支出上，嚴格執行集體研究決定的程序規定，嚴格落實預算編製、審批和執行。

(5) 表彰年度先進工會幹部和積極分子

年初工會表彰了2名優秀工會幹部和30名在日常工會工作中表現突出的工會積極分子。一名工會委員還當選了控股集團年度先進工會工作者。

2020年還完成了工會法人證書到期更換、公司職代會制度建設經驗交流、上報《2020基層工會調查統計表》《省部屬企業工會工作機構設置及幹部配備情況調查表》等基础性工作。

IX. Green Environmental Protection and Energy Conservation and Emission Reduction

九、綠色環保，節能減排

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

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

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

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

公司作為非製造類企業，在日常運營過程中對環境的主要影響為耗紙、耗電、耗水、汽車尾氣、因空調使用而排放的氫氟碳化物及全氟化碳等。本公司管理自身業務時奉行低碳減排，節能環保的原則。公司業務並無直接對環境及天然資源的破壞和濫用的行為。但通過對於員工的教育、培訓和宣傳，使大家牢固樹立節能意識，通過日常行為來保護環境節約資源。公司始終主張垃圾分類以及廢品回收的理念，盡可能降低廢棄物對環境帶來的不利影響。針對日常辦公以及餐飲造成的廢棄物，重點對塑料、廢紙、五金等予以回收處理，並對餐飲廢料以及污水進行統一處置，重點推進垃圾分類工作，在辦公區域執行日常廢棄物管理。

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

IX. Green Environmental Protection and Energy Conservation and Emission Reduction

九、綠色環保，節能減排

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

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

In terms of use of air conditioners, an important standard of the Company in procurement is whether the air conditioner is environmental friendly. Air-conditioners used by the Company are all environmentally friendly air-conditioners. The Company insists on the concept of energy saving and emission reduction, strengthens the management of property service companies, sets a uniform standard for the use of central air-conditioning, and carries out centralised cleaning and maintenance of air-conditioning before the arrival of summer to ensure the cooling efficiency and energy saving effect of air-conditioning.

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

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

空調使用方面。公司採購時，空調是否環保是公司選擇的一項重要標準。公司使用空調均為環保空調。公司堅持節能減排的理念，加強對物業服務公司的管理，制定了中央空調使用的統一標準，並通過夏季來臨之前對空調進行集中清洗以及維護，保證了空調的製冷效率以及節能效果。

IX. Green Environmental Protection and Energy Conservation and Emission Reduction

九、綠色環保，節能減排

Environmental Data Performance Summary¹

環境類績效表現概述¹

	Indicator	Unit	2020
	指標	單位	2020年
A. Environment 環境			
A1. Emissions 排放物			
A1.1	types of emissions, related emission data and density 排放物種類、相關排放數據及密度		
	total emission of sulfur oxide 硫氧化物總排放量	kg 千克	2.96
	emissions of sulfur oxide, per capita 硫氧化物人均排放量	kg 千克	0.01
A1.2	emission and density of greenhouse gas 溫室氣體排放量及密度		
	total greenhouse gas emissions 溫室氣體總排放量	ton 噸	88.7
	per capita emissions of greenhouse gases 溫室氣體人均排放量	ton 噸	0.32
	direct greenhouse gas emissions ² 直接溫室氣體排放量 ²	ton 噸	32.2
	indirect greenhouse gas emissions ³ 間接溫室氣體排放量 ³	ton 噸	56.5
A1.3	total amount and density of hazardous waste produced 所產生有害廢棄物總量及密度		
	total amount of ink cartridge 墨盒總量	piece 支	—
	per capita amount of ink cartridge 墨盒人均量	piece 支	—
	toner cartridge 硒鼓	item 個	115
	per capita amount of toner cartridges 硒鼓人均量	item 個	0.42
	lamp 燈管	piece 支	16
	per capita amount of lamp 燈管人均量	piece 支	0.06

¹ The statistics are from headquarters of Holly Futures

² Direct greenhouse gas includes greenhouse gas emissions from natural gas and gasoline consumption

³ Indirect greenhouse gas includes greenhouse gas emissions from electricity and municipal heating consumption

¹ 統計口徑均為弘業期貨總部

² 直接溫室氣體包括消耗天然氣及汽油的溫室氣體排放

³ 間接溫室氣體包括消耗電力及市政供暖的溫室氣體排放

IX. Green Environmental Protection and Energy Conservation and Emission Reduction

九、綠色環保，節能減排

	Indicator 指標	Unit 單位	2020 2020年
A1.4	total amount and density of non-hazardous waste produced 所產生無害廢棄物總量及密度		
	electronic equipment 電子設備	set 台	—
	per capita amount of electronic equipment 電子設備人均量	set 台	—
A2. Use of resources 資源使用			
A2.1	energy consumption and density 能源消耗量及密度		
	power consumption 耗電量	kWh 千瓦時	1,013,134
	per capita electricity consumption 人均耗電量	kWh 千瓦時	3,697.57
	gasoline consumption 汽油消耗量	kl 千升	10.8
	total amount of gasoline per capita 人均汽油總用量	kl 千升	0.04
	diesel consumption 柴油消耗量	kl 千升	—
	per capita consumption of diesel 人均柴油消耗量	kl 千升	—
A2.2	water resources consumption and density 水資源消耗量及密度		
	water consumption in the office 辦公室耗水量	ton 噸	7,197.64
	per capita consumption of diesel 人均辦公室耗水量	ton 噸	26.26

X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務

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

1. Execute innovation and professional poverty alleviation

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

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

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

1. 實踐創新、專業扶貧

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

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

X. Public Welfare Undertakings and Social Service

十、公益事業與社會服務

On 15 November 2020, in the closure of the natural rubber targeted poverty alleviation pilot project series "insurance + futures" in Mengla County of Yunnan Province carried out by Holly Futures in 2020, the participating rubber farmers received a compensation of RMB1.7128 million, with a compensation rate of 143%, ranked among the top in the industry and won the third prize of excellent financial innovation project of Nanjing City in January 2021. The rubber factories and rubber farmers received risk protection of RMB1,142/ton, which helps significantly in poverty alleviation.

Mengla County is located in Xishuangbanna of Yunnan Province, with a provincial rubber plantation area of 2.2120 million mu, of which 1.6228 million mu are harvested; dry rubber output of 173,700 tons, with an output value of RMB1.7 billion; 17,966 registered poverty-stricken households with cards, who own a rubber plantation area of 224,300 mu. Natural rubber is a pillar industry that supports local economic development and promotes farmers to get rid of poverty and increase their income, therefore, the project has been strongly supported by the local government of Mangla County, and listed as one of the key tasks of the county in 2020.

The targeted poverty alleviation project "Insurance + Futures" implemented in Guanlei Town of Mengla County from 20 July to 15 November 2020 divided into 4 phases was approved by the Shanghai Futures Exchange, underwritten jointly by Anxin Agricultural Insurance and Pacific Property Insurance, jointly coordinated by the government of Mengla County of Yunnan Province and relevant departments, the Company and Holly Capital as its applying entities and was accomplished jointly by the rubber factories and the rubber farmers of Guanlei Town of Mengla County as participants.

After the project was completed, by conducting in-depth investigations and paying a return visit to local farmers, Holly Futures learnt that in such a complex market, rubber farmers lack precise judgments and scientific planting planning. "Insurance + Futures" recovers potential losses caused by price fluctuations to rubber farmers, as well avoids negative chain reactions such as instability in local spot market supply and increased difficulties in cost accounting for spot enterprises as a result of "abandonment of harvest" and "late harvest", so as to make contribution to the healthy and stable development of local rubber industry.

Since the beginning of 2020, Holly Futures has been committed to assisting Bijie City of Guizhou Province to win the battle against poverty. The Company conducted research and investigations in multiple areas of the city, such as Hezhang County, Weining County and Nayong County, and entered into a memorandum of poverty alleviation with the agricultural and rural bureaus of the three aforesaid counties in May 2020.

2020年11月15日，弘業期貨2020年在雲南省猛臘縣開展的天然橡膠「保險+期貨」系列精準扶貧試點項目結項，參保膠農獲賠171.28萬元，賠付率達143%。位居行業前列，並於2021年1月榮獲南京市優秀金融創新項目三等獎。膠廠和膠農獲得賠付1,142元/噸的風險保障，扶貧效果顯著。

猛臘縣位於雲南省西雙版納，全縣橡膠種植面積221.20萬畝，開割162.28萬畝，干膠產量17.37萬噸，產值人民幣17億元，從事橡膠產業的建檔立卡貧困戶17,966人，橡膠種植面積22.43萬畝。天然橡膠是支撐當地經濟發展，促進農戶脫貧增收的支柱產業，因此此次項目全程得到了猛臘縣政府的大力支持，列為縣裡2020年重點工作之一。

本次「保險+期貨」精準扶貧項目時間為2020年7月20日至11月15日，共分4期在猛臘縣關累鎮具體實施。由上海期貨交易所立項，公司及弘業資本作為申報主體，安信農保與太平洋產險聯合承保，雲南省猛臘縣政府及相關部門協調，膠廠和猛臘縣關累鎮橡膠種植戶作為參與主體共同完成。

項目結束後，弘業期貨深入調研和回訪當地農戶，瞭解到在如此錯綜複雜的市場上，膠農們缺乏精準判斷及科學種植規劃，「保險+期貨」挽回價格波動給膠農造成的潛在損失，也避免「棄割」「遲割」造成的當地現貨市場供給不穩定以及現貨企業成本核算難度增加等消極鏈條反應，為當地橡膠產業健康、穩定發展貢獻了力量。

2020年初起，弘業期貨即致力於幫助貴州省畢節市打贏脫貧攻堅戰，在該市赫章縣、威寧縣、納雍縣等多個地區進行調研考察，並於2020年5月分別與三個縣城的農業農村局簽署扶貧備忘錄。

X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務

On 30 July 2020, the “Insurance + Futures” pricing insurance project for eggs introduced by the Company in Hezhang County was officially approved by Dalian Commodity Exchange. On 26 August, the first batch of insurance policies in Hezhang County was officially issued, providing price guarantees for over 8,000 tons of eggs worth over RMB125 million in the local area, reaching 90% of the local production and covering 4,000 farmers, of which 1,353 are underprivileged farmers.

In order to strengthen the cultivation of talents in poverty alleviation areas as well as increase the influence of the “Insurance + Futures” model, the Company held a “training conference for serving agriculture, farmers and rural areas” in Nanshan Hotel, Bijie City, Guizhou Province, on 24 September 2020. The conference received strong support from Dalian Commodity Exchange. The Financial Office, the Municipal Agriculture and Rural Bureau of Bijie City, the Bijie Branch of PICC and the major local egg-breeding enterprises were invited to participate in the conference. At the conference, Wu Xuejing, deputy director of the Bijie Municipal Agriculture and Rural Bureau, spoke on behalf of the local government. He stated that the local government has attached great importance to poverty alleviation work and highly recognized and supported the Company's series of poverty alleviation activities in the local area. Subsequently, Zheng Peiguang, deputy general manager of the Company, delivered a speech, expressing the Company's emphasis on local poverty alleviation and its determination to complete the work with high quality. Finally, Yang Jingbang, deputy general manager of the Bijie Branch of PICC, delivered a speech on behalf of the insurance company. The conference conducted training on the “Insurance + Futures” business model, futures knowledge, and spot market conditions to help local enterprises understand the “Insurance + Futures” business model in a comprehensive way.

2020年7月30日，公司在赫章縣實施的雞蛋「保險+期貨」價格險項目獲得大連商品交易所正式立項。8月26日，赫章縣第一批保單正式出單，為當地8,000餘噸、值人民幣1.25億元的雞蛋提供價格擔保，達到當地測產產量的90%，覆蓋4,000戶農戶，其中貧困戶1,353戶。

為加強扶貧地區人才建設，增強「保險+期貨」模式的影響力，2020年9月24日，弘業期貨在貴州省畢節市南山大酒店舉辦「服務三農培訓會」，本次會議獲得大連商品交易所大力支持。會議邀請畢節市金融辦、市農業農村局、人保畢節分公司及當地主要雞蛋養殖企業參加。會上，畢節市農業農村局副主任吳學靜代表當地政府發言，他表示當地政府高度重視扶貧工作，對公司在當地開展的系列扶貧活動給予高度肯定和支持。隨後，公司副總經理鄭培光致辭，表達了公司對當地扶貧攻堅工作的重視及高質量完成工作的決心。最後，人保畢節分公司副總經理楊經邦代表保險公司發言。會議針對「保險+期貨」業務模式、期貨知識、現貨行情等方面進行培訓，助力當地企業全方位瞭解「保險+期貨」業務模式。





X. Public Welfare Undertakings and Social Service

十、公益事業與社會服務

On 11 December 2020, Holly Futures completed its first “Insurance + Futures” poverty alleviation project in Bijie City, Guizhou Province, with a total compensation of RMB1.064 million. The project involved 4,000 egg-raising farmers from 4 leading local poultry breeding companies, of which 1,353 were underprivileged farmers.

At the beginning of 2020, Holly Futures actively helped Bijie City in Guizhou Province to win the battle against poverty, and has conducted research and investigation in Hezhang County, Weining County, Nayong County and other areas of the city. With the outbreak of COVID-19 pandemic in early 2020, the phased shutdown of catering and food processing enterprises led to a significant year-on-year decline in the market demand. As a result, the price of eggs continued to fall, and the breeding industry suffered significant losses. In May, Holly Futures entered into memorandum of poverty alleviation with the agricultural and rural bureaus of the three counties respectively based on the actual situation of the inspection, and cooperated with the Bijie Branch of PICC to carry out professional knowledge training in the local area, delivering contents such as methods to circumvent the spot market by using financial futures and making overall analysis of the industry to local farmers and enterprises, while collecting their requirements through communication in order to better serve the local industry in the future.

2020年12月11日，弘業期貨貴州省畢節市首個雞蛋「保險+期貨」扶貧項目圓滿結束，總計賠付人民幣106.4萬元。項目涉及當地4家龍頭養殖企業的4,000戶蛋雞養殖戶，其中貧困戶1,353戶。

2020年伊始，弘業期貨即致力於幫助貴州省畢節市打贏脫貧攻堅戰，在該市赫章縣、威寧縣、納雍縣等多個地區進行調研考察。恰逢2020年初新冠疫情蔓延，餐飲業及食品加工企業階段性停工市場需求也同比大幅下降，從而導致雞蛋價格持續走低，養殖行業整體虧損明顯。5月，弘業期貨根據考察實際情況分別與三個縣城的農業農村局簽署扶貧備忘錄，並聯合中國人保畢節分公司在當地多次開展專業知識培訓，將如何利用金融期貨市場來規避現貨市場的方法及行業整體分析等內容帶給當地的養殖戶及企業，同時通過交流收集他們的訴求以便今後更好地服務當地產業。

X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務

In order to promote the smooth development of the project and achieve the county's poverty alleviation goal, Holly Futures proposed to apply the criteria of "zero expenses" and "full coverage". "Zero expenses" means that futures companies utilize their own funds to allow local governments, enterprises and farmers to pay no expenses, which brings "zero risk" to the local government, enterprises and farmers. "Full coverage" means that the number of insured has covered almost all local production, basically achieving the goal of county-wide coverage. On 30 July, the "Insurance + Futures" pricing insurance project for eggs introduced by Holly Futures in Hezhang County was officially approved by Dalian Commodity Exchange. On 26 August, the first batch of insurance policies in Hezhang County was officially issued, providing price insurance for over 8,000 tons of eggs worth over RMB62 million in the local area, covering over 90% of the local production of eggs in Hezhang County. During the implementation of the project, Holly Futures gave full play to its professional advantages. Aimed at solving the key problems in the development of the local layers breeding industry, and taking into consideration the actual local industry conditions, the Company designed the "Asian At-the-money Put Options" for local farmers and breeding enterprises, using the basic principles and functions of the futures market to shift the risk of falling spot prices of eggs from farmers to the market. This project provides pricing guarantees for local eggs, which has played an important role in promoting the organized production and large-scale development of the local ecological poultry industry. The project fills the "Insurance + Futures" gap in Hezhang County, which is an important measure to serve the "rural industrial revolution" in Guizhou Province and a lively practice of financial innovation serving the "agriculture, farmers and rural area" in Guizhou, and brings about the benign interaction of the entire rural financial chain of Guizhou while provides an effective reference for the development of "Insurance + Futures" in Guizhou in the future.

為了推動項目的順利發展及實現全縣脫貧的目標，弘業期貨提出「零支出」「全覆蓋」準則。「零支出」是指期貨公司用自有資金讓當地政府、企業及農戶可以不出一分錢，「零支出」帶來的是當地政府、企業及農戶的「零風險」。「全覆蓋」是參保數量已幾乎覆蓋當地所有產出，基本實現了全縣覆蓋的目標。7月30日，弘業期貨在赫章縣實施的雞蛋「保險+期貨」價格險項目獲得大連商品交易所正式立項。8月26日赫章縣第一批保單正式出單，為當地8,000餘噸、逾人民幣6,200萬元的雞蛋提供價格保險，覆蓋超過赫章縣當地雞蛋產量的90%。在項目實施過程中，弘業期貨充分發揮專業優勢，針對當地蛋雞養殖產業發展的痛點，依照當地實際產業情況量身為當地養殖戶及養殖企業設計了「亞式平值看跌期權」，利用期貨市場的基本原理和作用將雞蛋現貨價格下跌的風險由養殖戶轉向市場，此次項目為當地雞蛋提供價格擔保，對推動當地生態禽產業組織化生產、規模化發展起到了重要的作用。項目填補了赫章縣「保險+期貨」的空白，是服務貴州省「農村產業革命」的重要舉措，是金融創新服務貴州「三農」的生動實踐，帶來了整個貴州農村金融鏈條的良性互動，為今後貴州開展「保險+期貨」提供了有效的借鑒。

X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務

2. Talent cultivation, serving the society

Holly Futures has always attached great importance to talents cultivation for the futures market, deeply aware of the importance of strengthening the training of talents in the futures market, and clearly realized that it had to begin to source from the society – universities, in order to introduce futures to the national education system, and prepare talents with modern market risk management awareness, understanding of the futures market, and familiarity with the futures market for the future economy. On 9 December 2020, the first graduation and commendation ceremony of the "University Futures Talent Cultivation Project" co-organized by Holly Futures and Nanjing Audit University and supported by Dalian Commodity Exchange was held in Minda Academic Lecture Hall, School of Finance, Nanjing Audit University.

2. 人才培育、服務社會

弘業期貨一貫重視期貨市場培育工作，深知加強期貨市場人才培養的重要性，清楚意識到要從社會人才供給源頭——高校入手，推動期貨納入國民教育體系，向未來輸送具有現代市場風險管理意識、瞭解期貨市場、熟悉期貨市場的經濟人才。2020年12月9日，由弘業期貨和南京審計大學聯合主辦，大連商品交易所支持的「高校期貨人才培育項目」第一期結業典禮暨表彰儀式在南京審計大學金融學院敏達學術報告廳舉行。



Zhang Wei, a standing member of the Party Committee and head of the united front work department of Nanjing Audit University, He Feng, deputy general manager of River and Ocean Cereals and Oils (Jiangsu) Ltd., Shen Yiming, head of Brokerage Management Department of Holly Futures, Lu Kaixuan, secretary of the Party Committee of the School of Finance of Nanjing Audit University, Dean Shi Kuoran, Vice Dean Gu Zheng, Professor Yan Weixiang and other guests attended the ceremony.

南京審計大學黨委常委、統戰部部長張維、江海糧油集團有限公司副總經理何峰、弘業期貨經紀業務管理部負責人沈弋明、南京審計大學金融學院黨委書記陸凱旋、院長石巍然、副院長谷政、教授嚴偉祥等嘉賓出席了本次儀式。

X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務

Shi Kuoran, Dean of the School of Finance of Nanjing Audit University, Shen Yiming, head of Brokerage Management Department of Holly Futures, and outstanding student representatives delivered speeches respectively, while Zhang Wei, a standing member of the Party Committee and head of the united front work department of Nanjing Audit University, made the concluding speech. Participants presented certificates and awards to representatives of the commended students in the first training class.

Holly Futures has always attached great importance to talent cultivation for the futures market, deeply aware of the importance of strengthening the training of talents in the futures market, and clearly realized that it had to begin to source from the society – universities, in order to introduce futures to the national education system, and prepare talents with modern market risk management awareness, understanding of the futures market, and familiarity with the futures market for the future economy. As a next step, Holly Futures will continue to deepen the content of cooperation with Nanjing Audit University, and through alliances, focus on creating a new model of futures talent cultivation in the Jiangsu region, and jointly help the futures industry to serve the real economy.

南京審計大學金融學院院長石巋然、弘業期貨經紀業務管理部負責人沈弋明、優秀學生代表分別致辭，南京審計大學黨委常委張維做總結發言。與會嘉賓向第一期培訓班受表彰的同學代表頒發了證書及獎金。

弘業期貨一貫重視期貨市場培育工作，深知加強期貨市場人才培養的重要性，清楚意識到要從社會人才供給源頭--高校入手，推動期貨納入國民教育體系，向未來輸送具有現代市場風險管理意識、瞭解期貨市場、熟悉期貨市場的經濟人才。接下來，弘業期貨將與南京審計大學不斷深化合作內容，通過強強聯合，著力在江蘇地區打造期貨人才培育新模式，共同助力期貨行業服務實體經濟。

XI. Prospects of Social Services and Awards of the Company 十一、公司社會服務展望與獲獎情況

Holly Futures will, as always, respond to the call of the state and CSRC Securities Regulatory Commission, actively participate in public welfare undertakings, regard public welfare undertakings as the Company's political and social responsibilities, and establish a solid concept of great strategic significance for participating in public welfare undertakings and serving China's poverty alleviation strategy, so as to go forward courageously on the road of poverty alleviation. At the same time, innovating on the original traditional poverty alleviation methods, better utilizing the characteristics of the futures industry, and forming a long-term mechanism for serving poverty alleviation work. In the future, Holly Futures will take advantage of the strengths of the risk management subsidiary, Holly Capital, in hedging, cooperative hedging, and warehouse receipt businesses to carry out professional, precise and diversified poverty alleviation, and strive to improve the efficiency and sustainability of its work, so as to better fulfill social responsibilities, and strive to become a renowned poverty alleviation enterprise.

1. Continuous promotion of public welfare and poverty alleviation

In order to further implement the requirements of the Provincial Party Committee, the Provincial Government and the Provincial SASAC of "connecting enterprises with villages to pursue common prosperity" (萬企聯萬村、共走振興路), in accordance with the holding group's guiding ideology of "party construction as the lead and matching the demands of villages and enterprises to focus on industrial development and create mutual benefit", Holly Futures attached great importance to such and took immediate action to steadily advance the work related to "connecting enterprises with villages to pursue common prosperity", and actively fulfilled the political and social responsibilities of state-owned enterprises.

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

1. 繼續推進公益扶貧

為進一步貫徹落實省委省政府及省國資委「萬企聯萬村、共走振興路」的要求，按照控股集團「黨建結對引領、村企需求對接、突出產業發展、聯建互利共贏」的24字指導思想，弘業期貨高度重視，立即行動，紮實推進「萬企聯萬村、共走振興路」相關工作，積極履行國有企業的政治責任、社會責任。

XI. Prospects of Social Services and Awards of the Company 十一、公司社會服務展望與獲獎情況

Under the unified arrangement of Soho Holding Group, in the morning of 10 November 2020, Holly Futures participated in the enterprise-village joint construction signing ceremony of the holding group's "connecting enterprises with villages to pursue common prosperity". At the ceremony, Yao Bei, deputy secretary of the Party Committee of the holding group, briefly introduced the relevant situation of the preliminary investigation of the joint construction of enterprises and villages. For the follow-up joint construction work, he asked all joint construction partners to hold firm their political positions and strengthen the leadership of party building, so as to change assistance into cooperation, change passiveness into active actions, and change short-term contacts into long-term cooperation. Wang Zhengxi, chairman of the holding group, pointed out in his speech that the contract-signing was not only a demonstration of the results of the previous stage of planning, research, and consultation, but also represented that the village-enterprise joint construction has entered the stage of implementation and required both parties to redouble their efforts. To properly complete the next step, he pointed out in the first place, we must firmly adhere to the core requirements of enterprise-village joint construction, and strive to contribute to rural revitalization. Second is to fully explore the advantages of both villages and enterprises to form a benign interaction mechanism. Third is to consolidate the joint efforts of villages and enterprises to do a good job in rural revitalization.

在蘇豪控股集團的統一安排下，2020年11月10日上午，弘業期貨參加控股集團「萬企聯萬村、共走振興路」企村聯建簽約儀式。會上控股集團黨委副書記姚蓓簡要介紹了前期企村聯建調研的有關情況，針對後續聯建工作開展，他要求各聯建對像提升政治站位，加強黨建引領，做到變幫扶為合作、變被動等為主動做、變短期接觸為長遠合作。控股集團董事長王正喜在講話中指出，今天的簽約，既是對前一階段規劃、調研、磋商成果的展示，也意味著村企聯建進入到落地實施階段，需要雙方共同加倍的努力。就做好下一步工作，他指出：一是要把牢把准村企聯建核心要求，努力為鄉村振興貢獻力量。二是充分發掘村企雙方優勢，形成良性互動機制。三是凝聚村企合力，做好鄉村振興大文章。



XI. Prospects of Social Services and Awards of the Company

十一、公司社會服務展望與獲獎情況

At the ceremony, on behalf of the Company, Zhou Jianqiu, secretary of the Party Committee and general manager of Holly Futures, entered into the “Village-Enterprise Joint Construction Agreement” with Sun Lianggen, party branch secretary of Shaozhuang Village, Beichenji Town, Guannan County. The agreement clarifies the content of cooperation and joint construction between the two parties in strengthening the leadership of party building, strengthening industrial cooperation, and cultivating and sharing talents, aiming to establish a long-term development mechanism of cooperation, sharing, responsibilities and commitments between villages and enterprises through joint construction, joint development and mutual benefits, and striving to achieve a win-win situation of village-enterprise joint construction and achieve the goal of “build up foundation in the first year, make development in the second year, and gain results in the third year”.

In the afternoon of 10 November, both parties held a seminar in Holly Futures to conduct in-depth exchanges on how to better carry out village-enterprise joint construction. Zhou Jianqiu, secretary of the Party Committee and general manager of Holly Futures, first introduced the basic situation of the Company and how to use the advantages of “Insurance + Futures” to serve farmers and guarantee income. Sun Lianggen, party branch secretary of the Shaozhuang Village, then introduced the development of the village, the difficulties it faced, and the future development plan. Through in-depth exchanges, both parties reached a number of joint construction consensus, and expressed that they will give full play to their respective advantages, focus on industrial development, revitalize existing assets, and increase village collective income through inviting more investments.

2. Shoulder more social responsibilities along with its own development

In 2020, while contributing economic value to the society, the Company will continue to adhere to the idea of harmonious development between the Company and the society and integrate corporate social responsibility construction into its development strategy, operation management and various business lines. The Company will vigorously develop green finance to reward shareholders and stakeholders, better serve the real economy, improve service quality, build a harmonious labour relation and protect the ecological resources and the environment. By innovating and making contributions to the society, the Company will promote its harmonious development together with the society.

會上，弘業期貨黨委書記、總經理周劍秋代表公司同灌南縣北陳集鎮邵莊村支部書記孫良良簽署了《村企聯建協議》。協議明確了雙方在加強黨建引領，強化產業合作以及共育共享人才等方面的合作共建內容，旨在通過村企共同建設、共同發展、共同受益，建立起村企聯業聯責聯心的長效發展機制，努力實現「一年打基礎、兩年有發展、三年見成效」的村企聯建發展共贏的局面。

11月10日下午，雙方在弘業期貨召開座談會，針對如何更好開展村企聯建工作展開深入交流。弘業期貨黨委書記、總經理周劍秋首先介紹了弘業期貨的基本情況以及如何運用「保險+期貨」方面的優勢來服務農民、保障收益。隨後，邵莊村支部書記孫亮良介紹了村發展情況、面臨的困難以及未來發展規劃。通過深入交流，雙方達成多項聯建共識，並表示將充分發揮各自優勢，突出產業發展，盤活現有資產，通過招商引資，增加村集體收入。

2. 以自身發展推動社會責任建設

2020年，公司在為社會貢獻經濟價值的同時，將繼續堅持公司與社會和諧發展的理念，將企業的社會責任建設融入到公司發展戰略和經營管理及各業務條線中，大力發展綠色金融，以回報股東和各利益相關方，加大服務實體經濟、提升服務水平、構建和諧勞動關係、保護生態資源與環境為己任，開拓創新，奉獻社會，促進公司與社會的和諧共同成長。

XI. Prospects of Social Services and Awards of the Company 十一、公司社會服務展望與獲獎情況

In order to support the fight against the COVID-19 pandemic and fulfill responsibilities and missions of state-owned enterprises, the Company donated RMB1 million to Wuhan Charity Federation on 10 February 2020. At the same time, all employees of the Company initiated donations, raising a total of nearly RMB100,000, which were donated to the Red Cross Society of Jiangsu Province. On 8 April, the Company received a donation certificate from the Red Cross Society of Jiangsu Province. The certificate indicated that the employees of Holly Futures had shown support to the prevention and control of the COVID-19 pandemic through practical actions, which fully demonstrated the spirit of the Red Cross of “humanity, fraternity, and dedication”.

During the critical stage of the prevention and control of the COVID-19 pandemic, in order to ensure the stable supply of blood and the health and safety of the general public during such special period, the officials and employees of the Company actively responded to the call from the provincial SASAC and the notice issued by the holding group, 31 employees volunteered to sign up for the voluntary blood donation campaign to fulfill the responsibilities of state-owned enterprises with practical actions and spare no effort to fight against the epidemic.

為支持抗擊新冠肺炎疫情，履行國有企業責任和使命，2020年2月10日，公司向武漢市慈善總會捐款人民幣100萬元。同時，公司全體職工發起愛心捐款，共籌集款項近10萬元，捐贈給江蘇省紅十字會。4月8日，公司收到來自江蘇省紅十字會的捐贈證書，證書表示弘業期貨員工用實際行動支持「新型冠狀病毒感染肺炎」疫情防控，充分體現了「人道、博愛、奉獻」的紅十字精神。

在新冠肺炎疫情防控工作關鍵階段，為保障特殊時期血液平穩供應和廣大群眾生命健康安全，在省國資委和控股集團發出通知後，公司幹部職工積極響應，31名職工志願報名參加義務獻血活動，用實際行動履行國企責任，全力以赴抗擊疫情。



XI. Prospects of Social Services and Awards of the Company 十一、公司社會服務展望與獲獎情況

On 17 March 2020, all employees who participated in blood donation gathered in the lobby on the first floor of the Company. Under the guidance of medical staff, the employees, all wearing masks, lined up in distance and filled out the "Supplementary Consultation Clauses for Free Blood Donation during the Period of Coronavirus Pneumonia Epidemic". After a series of tests such as temperature measurement, blood pressure measurement, and preliminary screening of blood, those who passed the screening got on the blood donation cart and passionately rolled up their sleeves for blood donation. The employees of some branches in the province also responded actively and carried out voluntary blood donation activities in their respective cities. Every single drop contributes to a river. The people of Holly Futures interpreted the social responsibility and love of enthusiastic public welfare and selfless dedication with their blood, and contributed their modest efforts to winning the battle against the COVID-19 pandemic!

2020年3月17日，在公司一樓大廳，參與獻血的職工——佩戴口罩，在醫護人員引導下，保持間隔排好隊，按要求填寫《新冠肺炎疫情時期無償獻血補充徵詢條款》，經過測體溫、量血壓、採血初篩等一系列環節檢測後，血液合格者登上獻血車，挽起衣袖捐獻熱血。部分省內分支機構員工也積極響應，在各自工作城市自行開展義務獻血活動。涓涓細流，匯聚成河，弘業期貨人用熱血詮釋著熱心公益、無私奉獻的社會責任與愛心，為打贏新冠肺炎疫情的阻擊戰貢獻綿薄之力！

3. Awards of the Company

The Company was granted the following awards during 2020:

3. 公司所獲獎項

於2020年，公司獲得的獎項如下：

Award-winning Awarding or organization 獲獎單位	Award 獲得獎項	Awarding or granting organization 頒獎單位
Huang Haiqing 黃海清 Operation Department 運營部	Outstanding Team Leader of Jiangsu Provincial and Ministry-owned Enterprises 江蘇省省部屬企業優秀班組長 Excellent team of Jiangsu Provincial and Ministry-owned Enterprises 江蘇省省部屬企業優秀班組	Provincial and Ministerial Enterprises and Institutions Trade Union 省部屬企事業工會 Provincial and Ministerial Enterprises and Institutions Trade Union 省部屬企事業工會
Yao Aili 姚愛麗 Company 公司	May 1 Women's Pacemaker of Jiangsu Provincial and Ministry-owned Enterprises 江蘇省省部屬企業五一巾幗標兵 Excellent Member 優秀會員獎	Provincial and Ministerial Enterprises and Institutions Trade Union 省部屬企事業工會 Dalian Commodity Exchange 大連商品交易所
Company 公司	Excellent Member in Variety Service (Ferroalloy) 鐵合金品種服務優秀會員	Zhengzhou Commodity Exchange 鄭州商品交易所
Internet Business Department 互聯網業務部 Company 公司	Excellent Sales Department in Variety Service (Ferroalloy) 鐵合金品種服務優秀營業部 Excellent Member in Variety Service (Ferroalloy) 鐵合金品種服務優秀會員	Zhengzhou Commodity Exchange 鄭州商品交易所 Zhengzhou Commodity Exchange 鄭州商品交易所

XI. Prospects of Social Services and Awards of the Company

十一、公司社會服務展望與獲獎情況

Award-winning		Awarding or granting organization
Awarding or organization	Award	頒獎單位
獲獎單位	獲得獎項	頒獎單位
Company	Natural Rubber "Insurance + Futures" Targeted Poverty Alleviation Project	Shanghai Futures Exchange
公司	天然橡膠「保險+期貨」精準扶貧項目	上海期貨交易所
Company	Demonstration Award for Industry-Finance Integration	Jiangsu Financial Association
公司	產融結合示範獎	江蘇省金融業聯合會
Company	Top 10 Poverty Alleviation Enterprises	Xinhua Daily
公司	十佳扶貧企業	新華日報
Zhou Jianqiu	Women's achievement model of Jiangsu Provincial and Ministry-owned Enterprises	Jiangsu SASAC
周劍秋	省部屬企業巾幗建功標兵	江蘇省國資委
Company	Junding Award for Outstanding Poverty Alleviation Companies in China	Securities Times
公司	中國優秀扶貧公司君鼎獎	證券時報
Company	Junding Award for Anti-epidemic Pioneer Futures Companies	Securities Times
公司	抗疫先鋒期貨公司君鼎獎	證券時報
Company	Using the "five-in-one" model to fully serve the real economy, and won the second prize of the 13th National Petroleum and Chemical Enterprise Management Innovation Achievement Award;	China Petroleum and Chemical Industry Federation
公司	運用「五位一體」模式全方位服務實體經濟榮獲第十三屆全國石油和化工企業管理創新成果二等獎；	中國石油和化學工業聯合會
Company	Won the Outstanding Customer Service Award in the 14th National Futures Real Trading Competition	Futures Daily
公司	第十四屆全國期貨實盤交易大賽中榮獲優秀客戶服務獎	期貨日報
Company	Best Futures Company in China	Futures Daily, Securities Times
公司	中國最佳期貨公司	期貨日報、證券時報
Company	Best Precision Poverty Alleviation and Charity Award	Futures Daily, Securities Times
公司	最佳精準扶貧及愛心公益獎	期貨日報、證券時報
Company	Best Enterprise Brand Establishment Prize	Futures Daily, Securities Times
公司	最佳企業品牌建設獎	期貨日報、證券時報
Company	Best Assets Management Leadership Award	Futures Daily, Securities Times
公司	最佳資產管理領航獎	期貨日報、證券時報
Company	Best Commodity Futures Industry Service Prize	Futures Daily, Securities Times
公司	最佳商品期貨產業服務獎	期貨日報、證券時報
Company	Best Financial Futures Service Award	Futures Daily, Securities Times
公司	最佳金融期貨服務獎	期貨日報、證券時報
Company	Best Futures IT System Establishment Prize	Futures Daily, Securities Times
公司	最佳期貨IT系統建設獎	期貨日報、證券時報
Company	Futures Company Internationalization Progress Award	Futures Daily, Securities Times
公司	期貨公司國際化進程新銳獎	期貨日報、證券時報

XI. Prospects of Social Services and Awards of the Company

十一、公司社會服務展望與獲獎情況

Award-winning		Awarding or granting organization
Awarding or organization	Award	頒獎單位
獲獎單位	獲得獎項	
Company	Best Comprehensive Service Innovation Award for Derivatives	Futures Daily, Securities Times
公司	最佳衍生品綜合服務創新獎	期貨日報、證券時報
Management of the Company	Top Management Team of Future Companies in China	Futures Daily, Securities Times
公司管理團隊	中國期貨公司金牌管理團隊	期貨日報、證券時報
Financial Academy	Top Futures Research Institute in China	Futures Daily, Securities Times
金融研究院	中國金牌期貨研究所	期貨日報、證券時報
WeChat Official Account of the Company	Most popular official account for futures operation institutions	Futures Daily, Securities Times
公司微信公眾號	最受歡迎的期貨經營機構自媒體	期貨日報、證券時報
Holly Capital Management Co., Ltd.	Best Risk Management Subsidiary Service Innovation Award	Futures Daily, Securities Times
弘業資本管理有限公司	最佳風險管理子公司服務創新獎	期貨日報、證券時報
Zhengzhou Branch	Best China Futures Branch	Futures Daily, Securities Times
鄭州分公司	最佳中國期貨經營分支機構	期貨日報、證券時報
Fuzhou Branch	Best China Futures Branch	Futures Daily, Securities Times
福州營業部	最佳中國期貨經營分支機構	期貨日報、證券時報
Zhou Jianqiu	Best Leader of China Futures Enterprises	Futures Daily, Securities Times
周劍秋	中國期貨公司年度最佳掌舵人	期貨日報、證券時報
Company	Passed the national civilized unit re-evaluation and won the honorary title for the third time	Central Guidance Commission on Building Spiritual Civilization
公司	通過全國文明單位復評，三度蟬聯該榮譽稱號	中央精神文明建設指導委員會

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Subject Area A. Environmental 主要範疇A.環境		
Aspect A1. Emissions 層面A1.排放物		
General Disclosure A1	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste. 有關廢氣及溫室氣體排放、向水及土地的排污、有害及無害廢棄物的產生等的：	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
一般披露A1	(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	
Key Performance Indicator A1.1	The types of emissions and respective emissions data	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
關鍵績效指標 A1.1	排放物種類及相關排放數據	
Key Performance Indicator A1.2	Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions in total (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility)	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
關鍵績效指標 A1.2	直接(範圍1)及能源間接(範圍2)溫室氣體總排放量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)	
Key Performance Indicator A1.3	Total hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility)	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
關鍵績效指標 A1.3	所產生有害廢棄物總量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)	
Key Performance Indicator A1.4	Total non-hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility)	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
關鍵績效指標 A1.4	所產生無害廢棄物總量(以噸計算)及(如適用)密度(如以每產量單位、每項設施計算)	
Key Performance Indicator A1.5	Description of emissions target(s) set and steps taken to achieve them	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
關鍵績效指標 A1.5	描述所訂立的排放量目標及達到這些目標所採取的步驟	

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Key Performance Indicator A1.6 關鍵績效指標 A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction targets and steps taken to achieve them 描述處理有害及無害廢棄物的方法、及描述所訂立的減廢目標及為達到這些目標所採取的步驟	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
Aspect A2. Use of Resources 層面A2.資源使用		
General Disclosure A2 一般披露A2	Policies on the efficient use of resources, including energy, water and other raw materials. 有效使用資源(包括能源、水及其他原材料)的政策。	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
Key Performance Indicator A2.1 關鍵績效指標 A2.1	Direct and/or indirect energy consumption by type (e.g. electricity, gas or oil) in total (kWh in '000s) and intensity (e.g. per unit of production volume, per facility) 按類型劃分的直接及／或間接能源(如電、氣或油)總耗量(以千個千瓦時計算)及密度(如以每產量單位、每項設施計算)	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
Key Performance Indicator A2.2 關鍵績效指標 A2.2	Water consumption in total and intensity (e.g. per unit of production volume, per facility) 總耗水量及密度(如以每產量單位、每項設施計算)	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
Key Performance Indicator A2.3 關鍵績效指標 A2.3	Description of energy use efficiency initiatives and results achieved 描述所訂立的能源使用效益目標及為達到這些目標所採取的步驟	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
Key Performance Indicator A2.4 關鍵績效指標 A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency initiatives and results achieved 描述求取適用水源上可有任何問題，以及所訂立的用水效益目標及為達到這些目標所採取的步驟	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
Key Performance Indicator A2.5 關鍵績效指標 A2.5	Total packaging material used for finished products (in tonnes) and, if applicable, with reference to per unit produced 製成品所用包裝材料的總量(以噸計)及(如適用)每生產單位佔量	Not available (principal business does not use a lot of packaging materials) 不適用(主營業務並未大量使用包裝材料)

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Aspect A3. The Environment and Natural Resources 層面A3.環境及天然資源		
General Disclosure A3	Policies on minimising the issuer's significant impact on the environment and natural resources	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
一般披露A3	減低發行人對環境及天然資源造成重大影響的政策	
Key Performance Indicator A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them	IX. Green Environmental Protection and Energy Conservation and Emission Reduction 九、綠色環保，節能減排
關鍵績效指標 A3.1	描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動	
Aspect A4. Climate changes 層面A4.氣候變化		
General Disclosure	Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer	Not applicable (the Company is a financial services business and this disclosure and indicator is not applicable) 不適用(本公司為金融服務企業，不適用此披露及指標)
一般披露	識別及應對已經及可能會對發行人產生影響的重大氣候相關事宜的政策	
Key Performance Indicator A4.1	Description of the significant climate-related issues which have impacted, and those which may impact, the issuer, and the actions taken to manage them	Not applicable (the Company is a financial services business and this disclosure and indicator is not applicable) 不適用(本公司為金融服務企業，不適用此披露及指標)
關鍵績效指標A4.1	描述已經及可能會對發行人產生影響的重大氣候相關事宜，及應對行動	
Subject Area B. Social 主要範疇B.社會僱傭及勞工常規		
Aspect B1. Employment 層面B1.僱傭		
General Disclosure B1	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.	VIII. (I) Safeguard employees' rights and interests effectively VIII. (II) Establish a sound employees' labour welfare system
一般披露B1	有關薪酬及解僱、招聘及晉陞、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	八、1 切實保障員工權益 八、2 健全員工勞動福利制度

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Key Performance Indicator B1.1 關鍵績效指標 B1.1	Total workforce by gender, employment type, age group and geographical region 按性別、僱傭類型、年齡組別及地區劃分的僱員總數	VIII. (I) Safeguard employees' rights and interests effectively 八、1 切實保障員工權益
Key Performance Indicator B1.2 關鍵績效指標 B1.2	Employee turnover rate by gender, age group and geographical region 按性別、年齡組別及地區劃分的僱員流失比率	VIII. (I) Safeguard employees' rights and interests effectively 八、1 切實保障員工權益
Aspect B2. Health and Safety		
層面B2.健康與安全		
General Disclosure B2 一般披露B2	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards. 有關提供安全工作環境及保障僱員避免職業性危害的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	VIII. (II) Establish a sound employees' labour welfare system VIII. (IV) Give full play to the Labour Union 八、2 健全員工勞動福利制度 八、4 充分發揮工會的積極作用
Key Performance Indicator B2.1 關鍵績效指標 B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year 過去三年(包括匯報年度)每年因工亡故的人數及比率	VIII. (II) Establish a sound employees' labour welfare system 八、2 健全員工勞動福利制度
Key Performance Indicator B2.2 關鍵績效指標 B2.2	Lost days due to work injury 因工傷損失工作日數	VIII. (II) Establish a sound employees' labour welfare system 八、2 健全員工勞動福利制度
Key Performance Indicator B2.3 關鍵績效指標 B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored 描述所採納的職業健康與安全措施，以及相關執行及監察方法	VIII. (II) Establish a sound employees' labour welfare system 八、2 健全員工勞動福利制度
Aspect B3. Development and Training		
層面B3.發展及培訓		
General Disclosure B3 一般披露B3	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. Note: Training refers to vocational training. It may include internal and external courses paid by the employer. 有關提升僱員履行工作職責的知識及技能的政策。描述培訓活動。 註：培訓指職業培訓，可包括由僱主付費的內外部課程。	VIII. (III) Focus on employees' training and promotion 八、3 注重員工培訓與提升

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Key Performance Indicator B3.1 關鍵績效指標 B3.1	The percentage of employees trained by gender and employee category (e.g. senior management, middle management) 按性別及僱員類別(如高級管理層、中級管理層等)劃分的受訓僱員百分比	VIII. (III) Focus on employees' training and promotion 八、3 注重員工培訓與提升
Key Performance Indicator B3.2 關鍵績效指標 B3.2	The average training hours completed per employee by gender and employee category. 按性別及僱員類別劃分，每名僱員完成受訓的平均時數。	VIII. (III) Focus on employees' training and promotion 八、3 注重員工培訓與提升
Aspect B4. Labour Standards 層面B4.勞工準則		
General Disclosure B4 一般披露B4	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour. 有關防止童工或強制勞工的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	VIII. (I) Safeguard employees' rights and interests effectively 八、1 切實保障員工權益
Key Performance Indicator B4.1 關鍵績效指標 B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	VIII. (I) Safeguard employees' rights and interests effectively 八、1 切實保障員工權益
Key Performance Indicator B4.2 關鍵績效指標 B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	Not available, the Company did not have any relevant violations 不適用，本年公司無相關違規情況
Subject Area B. Social Operating Practices 主要範疇B.社會營運慣例		
Aspect B5. Supply Chain Management 層面B5.供應鏈管理		
General Disclosure B5 一般披露B5	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	V. (VII) Supplier management 五、7 供應商管理
Key Performance Indicator B5.1 關鍵績效指標 B5.1	Number of suppliers by geographical region. 按地區劃分的供貨商數目。	V. (VII) Supplier management 五、7 供應商管理
Key Performance Indicator B5.2 關鍵績效指標 B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored. 描述有關聘用供貨商的慣例，向其執行有關慣例的供貨商數目、以及有關慣例的執行及監察方法。	V. (VII) Supplier management 五、7 供應商管理

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Key Performance Indicator B5.3 關鍵績效指標B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored 描述有關識別供應鏈每個環節的環境及社會風險的慣例，以及相關執行及監察方法	V. (VII) Supplier management 五、7供應商管理
Key Performance Indicator B5.4 關鍵績效指標B5.4	Description of practices used to promote environmentally preferable products and services when selecting suppliers, and how they are implemented and monitored 描述在揀選供應商時促使多用環保產品及服務的慣例，以及相關執行及監察方法	V. (VII) Supplier management 五、7供應商管理
Aspect B6. Product Responsibility 層面B6.產品責任		
General Disclosure B6 一般披露B6	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress. 有關所提供產品和服務的健康與安全、廣告、標籤及私隱事宜以及補救方法的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	V. (IV) Pay attention to customer information security and transaction network security V. (VI) Protection of intellectual property rights 五、4 重視客戶信息安全及交易網絡安全保障工作 五、6 知識產權保護
Key Performance Indicator B6.1 關鍵績效指標 B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons. 已售或已運送產品總數中因安全與健康理由而須回收的百分比。	Not available, the Company's main business is futures business 不適用，本公司主營業務為期貨經濟業務
Key Performance Indicator B6.2 關鍵績效指標 B6.2	Number of products and service related complaints received and how they are dealt with. 接獲關於產品及服務的投訴數目以及應對方法。	V. (V) Strengthen customer complaint management and improve complaint handling mechanism 五、5 加強客戶投訴管理，完善投訴處理機制
Key Performance Indicator B6.3 關鍵績效指標 B6.3	Description of practices relating to observing and protecting intellectual property rights. 描述與維護及保障知識產權有關的慣例。	V. (VI) Protection of intellectual property rights 五、6 知識產權保護
Key Performance Indicator B6.4 關鍵績效指標 B6.4	Description of quality assurance process and recall procedures. 描述質量檢定過程及產品回收程序。	Not available, the Company's main business is futures business 不適用，本公司主營業務為期貨經濟業務

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

Aspects, General Disclosure and Key Performance Indicators 層面、一般披露及關鍵績效指標	Description 描述	Disclosure chapter 披露章節
Key Performance Indicator B6.5 關鍵績效指標 B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored. 描述消費者數據保障及私隱政策，以及相關執行及監察方法。	V. (IV) Pay attention to customer information security and transaction network security 五、4 重視客戶信息安全及交易網絡安全保障工作
Aspect B7. Anti-corruption 層面B7.反貪污		
General Disclosure B7 一般披露B7	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering. 有關防止賄賂、勒索、欺詐及洗黑錢的： (a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	IV. Compliance and Risk Prevention 四、合規與風險防範
Key Performance Indicator B7.1 關鍵績效指標 B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting period and the outcomes of the cases. 於匯報期內對發行人或其僱員提出並已審結的貪污訴訟案件的數目及訴訟結果。	Not available, there was no corruption lawsuit against the Company 不適用，公司無相關貪污訴訟案例
Key Performance Indicator B7.2 關鍵績效指標 B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored. 描述防範措施及舉報程序，以及相關執行及監察方法。	IV. (III) Establish and improve anti-corruption mechanism 四、3 建立健全反貪污機制
Key Performance Indicator B7.3 關鍵績效指標B7.3	Description of anti-corruption training provided to directors and staff 描述向董事及員工提供的反貪污培訓。	IV. (III) Establish and improve anti-corruption mechanism 四、3 建立健全反貪污機制
Aspect B8. Community Investment 層面B8.社區投資		
General Disclosure B8 一般披露B8	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests. 有關以社區參與來瞭解營運所在社區需要和確保其業務活動會考慮社區利益的政策。	X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務
Key Performance Indicator B8.1 關鍵績效指標 B8.1	Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport). 專注貢獻範疇(如教育、環境事宜、勞工需求、健康、文化、體育)。	X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務
Key Performance Indicator B8.2 關鍵績效指標 B8.2	Resources contributed (e.g. money or time) to the focus area. 在專注範疇所動用資源(如金錢或時間)。	X. Public Welfare Undertakings and Social Service 十、公益事業與社會服務