



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

2021



ESG REPORT

環境、社會和管治報告





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ABOUT THIS REPORT

關於本報告

(I) Information about the Report

This report is based on the concept of social responsibility of Holly Futures Co., Ltd. (“Holly Futures” or the “Company”, together with its subsidiaries, the “Group”) and focuses on disclosing the performance of the Group in the aspects of compliance operation, customer services, talent development, environmental protection, giving back to society and ESG management.

(II) References

This report has been prepared in compliance with the Environmental, Social and Governance Reporting Guide in Appendix 27 to the Rules (the “Listing Rules”) Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited (the “Hong Kong Stock Exchange”). Disclosures in this report are strictly in compliance with the “comply or explain” requirement of the Environmental, Social and Governance Reporting Guide.

(III) Reporting scope

Unless otherwise stated, this report covers the data within the period from 1 January 2021 to 31 December 2021 (“the year” or the “Reporting Period”). This report is published annually.

In the sections of social and governance, the scope of this report is the same as that of the annual report: taking Holly Futures Co., Ltd. as the subject entity and covering 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. In the environmental sections, based on the importance of the environmental impact of the business, the scope of data covers the headquarters of Holly Futures, which accounted for approximately 51% of total number of office staff.

(一) 報告說明

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」)的社會責任理念，重點披露本集團在合規經營、客戶服務、人才發展、環境保護、社會回饋及ESG管理方面的表現。

(二) 編製依據

本報告編製遵循香港聯合交易所有限公司(以下簡稱「香港聯交所」)證券上市規則(以下簡稱《上市規則》)附錄27所載《環境、社會及管治報告指引》編製而成。本報告嚴格遵照《環境、社會及管治報告指引》中「不遵守即解釋」的要求進行披露。

(三) 報告範圍

除特殊說明外，本報告所載數據時間範圍在2021年1月1日至2021年12月31日(以下簡稱「本年內」或「報告期內」)，本報告每年發佈一次。

在社會與管治部分，本報告範圍與年報一致：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及弘業國際基金系列SPC。在環境部分，基於經營業務對環境影響的重要程度，涵蓋數據範圍為弘業期貨總部，約佔整體辦公人數的51%。



(IV) Source of data and assurance

The financial information in this report is extracted from the 2021 Annual Report of Holly Futures Co., Ltd. Other data are from the Group's internal data, survey and interview record and relevant documents. The type and amount of the currency used in this report is in RMB unless otherwise stated.

The board of directors of the Group (the "Board") undertakes that this report does not contain any false information or misleading information, and is responsible for the truthfulness, accuracy and completeness of its contents.

(V) Access and feedback

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>).

(VI) Contact

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(四) 數據源及可靠性保證

本報告中的財務數據摘自《弘業期貨股份有限公司2021年年度報告》。其他數據均來自於本集團內部數據、調查訪談記錄及相關文件。本報告中有關數據所涉及及貨幣種類及金額，如無特殊說明，均以人民幣為計量單位。

本集團董事會承諾本報告不存在任何虛假信息、誤導信息記載，並對其內容的真實性、準確性和完整性負責。

(五) 獲取及回應本報告

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>)。

(六) 聯繫方式

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ABOUT THIS REPORT 關於本報告

A GLANCE AT HOLLY FUTURES

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 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 2021, China Securities Regulatory Commission (“CSRC”) announced the classification results of futures companies in 2021 and the Company was rated as a Class A of the A Category futures company.

走進弘業期貨

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」，股份代號「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、風險管理業務及境外業務。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。2021年10月，中國證券監督管理委員會（「中國證監會」）公佈了2021年期貨公司分類結果，公司被評為A類A級期貨公司。

ABOUT THIS REPORT 關於本報告



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 digitalization 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題，以深化供給側結構性改革為主綫，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。



I. ESG MANAGEMENT

一、ESG管理

The Company upholds the social responsibility philosophy of “social responsibility and corporate growth are unified” and insists on combining ESG management and the operation of the Company, and integrates the key concerns of stakeholders into the development of the Company. The board of directors of the Company is fully responsible for the environmental, social and governance strategy and report. The Securities Department leads the ESG management work, and the functional and business departments are responsible for the implementation of ESG issues, daily sorting and reporting of ESG information.

(I) Board statement

The Board supervises various environmental, social and governance matters, including assessing and determining the Company’s environmental, social and governance risks, material issues, and reviewing the progress of environmental, social and governance objectives. The Company formulates periodic ESG goals according to the stage of business development and implement various policies and strategies within the Group to improve our performance in ESG aspects.

At the same time, the Board actively promotes ESG information disclosure, and reviews the ESG report for each year which includes our ESG goals, material ESG matters and risks. The Board and all directors warrant that there is no false representation, misleading statement or material omission in this report.

(II) Stakeholders engagement

The Company pays great attention to communication and exchanges with various stakeholders. Based on the characteristics of the futures business, we have identified six groups of our major stakeholders, including Government and regulatory bodies, shareholders, customers, employees, business partners and community. We understand the expectation and demands of our stakeholders in a timely manner through multiple communication channels and methods and respond correspondingly in an effort to promote the Company’s development and ensure that the Company is in line with the expectations and interests of various stakeholders.

本公司秉承「社會責任與企業成長相統一」的社會責任理念，堅持ESG管理與公司運營相結合，將利益相關方關注重點融入公司發展中。本公司董事會對公司環境、社會及管治策略及匯報承擔全部責任。ESG管理工作由證券部牽頭，各職能和業務部門負責ESG各項議題的執行、日常整理與提報ESG信息。

(一) 董事會聲明

本集團董事會對環境、社會及管治的各項事宜進行監管，包括評估及釐定公司有關環境、社會及管治的風險、重要相關事宜，檢討環境、社會及管治目標相關進度。本公司依據業務發展情況階段制定階段性的ESG目標並在集團內推行各種方針和政策以提高公司在ESG各層面的表現。

同時，董事會積極推進ESG信息披露工作，每年度，由董事會審閱包含ESG目標、ESG重要相關事宜與風險在內的ESG報告。本集團董事會及全體董事保證本報告內容不存在任何虛假記載、誤導性陳述或重大遺漏。

(二) 持份者溝通

本公司高度重視與各持份者溝通交流，依據期貨行業業務特點，識別由政府及監管機構、股東、客戶、員工、商業夥伴、社區六類重要持份者，並通過多樣化的溝通渠道和方式，及時瞭解持份者的期望與訴求，有針對性地進行回應，推動公司的發展與符合各類持份者的期望與利益一致。

I. ESG MANAGEMENT

一、ESG管理



The followings are the major stakeholders we identified and our means of response:

本公司識別出的重要持份者與回應方式如下：

Stakeholders 持份者	Concerns 關注議題	Communication channels 溝通渠道
Government and regulatory bodies 政府及監管機構	<ul style="list-style-type: none"> Compliance operation Anti-corruption and anti-money laundering Addressing climate change 	<ul style="list-style-type: none"> Meetings with and trainings of government and regulatory authorities Local government and enterprise project cooperation Regular reports of the enterprise 政府及監管部門會議及培訓 地方政府及企業項目合作 定期報告企業情況
Shareholders 股東	<ul style="list-style-type: none"> ESG management Risk management Compliance operation Anti-corruption and anti-money laundering 	<ul style="list-style-type: none"> Websites of exchanges and other designated media Investor Relations section of the Company's website General meeting Investor survey and research Hotline for investors Company announcement WeChat official account 交易所官網及其他指定媒體 公司網頁投資者關係欄目 股東大會 投資者調研活動 投資者熱線電話 公司公告 微信公眾號
Customers 客戶	<ul style="list-style-type: none"> Investor education Responsible marketing Digital services Customer services Protection of intellectual properties Security of Customer information 投資者教育 負責任營銷 數字化服務 客戶服務 知識產權保護 客戶信息安全 	<ul style="list-style-type: none"> Customer service hotline Customer satisfaction survey Resolving customers' complaints Trainings for customers Holly Easy (弘運通) APP and social media 客戶服務熱線 客戶滿意度調查 客戶投訴處理 客戶培訓 弘運通應用程式、社交媒體



I. ESG MANAGEMENT

一、ESG管理

Stakeholders 持份者	Concerns 關注議題	Communication channels 溝通渠道
Employees 員工	<ul style="list-style-type: none"> • Equal employment and diversity • Occupational health and safety • Protection of employee's rights • Staff retention and development • 平等僱傭與多元化 • 職業健康與安全 • 員工權益保護 • 員工留任與發展 	<ul style="list-style-type: none"> • Enterprise OA platform • Complaint box and trade unions • Team building activities • Employees' satisfaction survey • 企業OA平台 • 意見箱及工會渠道 • 團建活動 • 員工滿意度調查
Business partners 業務夥伴	<ul style="list-style-type: none"> • Coordinate supplier development • Promote industry development • 協調供應商發展 • 促進行業發展 	<ul style="list-style-type: none"> • Supplier rating • Industrial communication conference • 供應商評分 • 行業溝通會議
Community 社區	<ul style="list-style-type: none"> • Public welfare and charity • Rural revitalisation • Localised operation • Use of resources • Management of emissions • 公益慈善 • 鄉村振興 • 本地化運營 • 資源使用 • 排放物管理 	<ul style="list-style-type: none"> • Public welfare and charity activities • "insurance + futures" Project • Localised employment and procurement • Voluntary disclosure of environmental information • 公益慈善活動 • 「保險+期貨」項目 • 本地化招聘、採購 • 主動披露環境數據

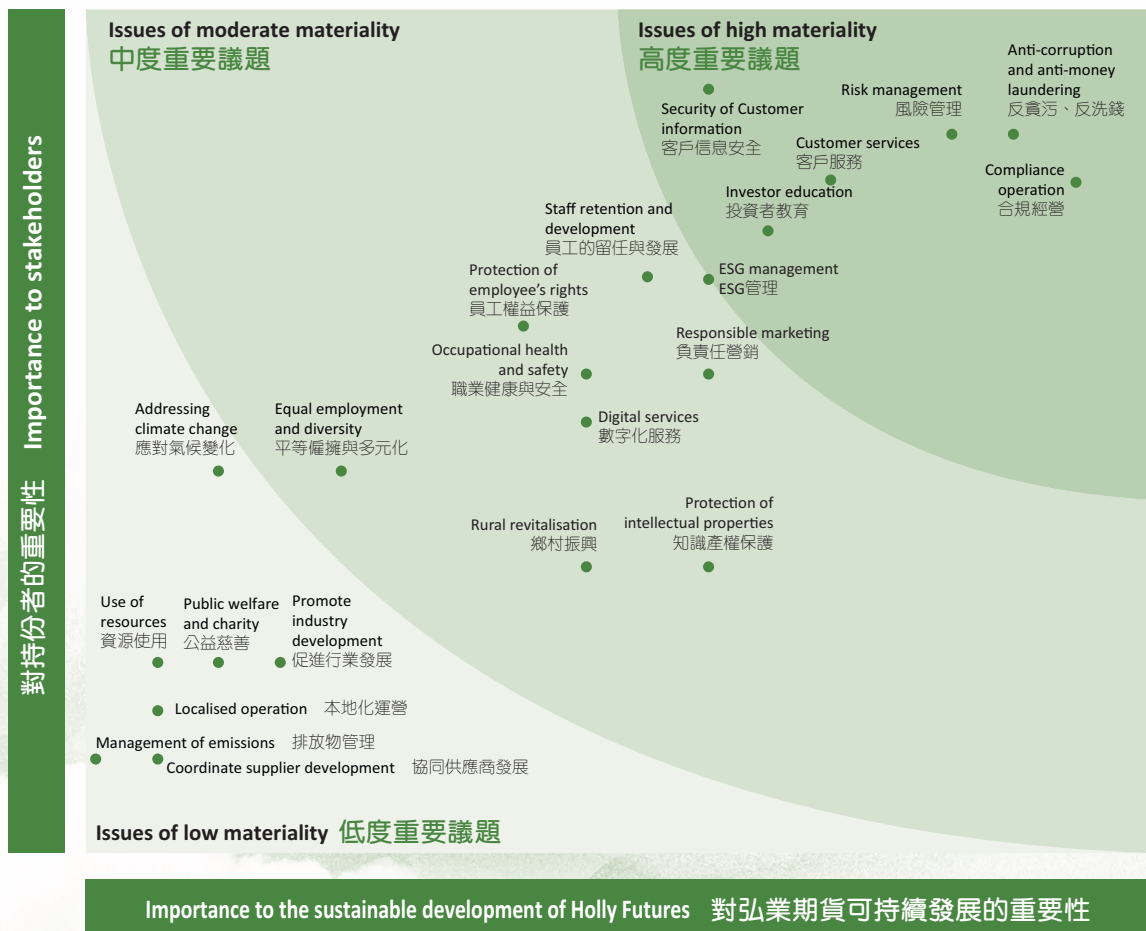


(III) Materiality assessment

Through industry analysis, expert interviews and combining with relevant national and industry policies, we have established an ESG issue database and identified 22 ESG issues. We conducted an internal materiality assessment on the impact of ESG issues on our corporate value, policies, strategies, operation management, opportunities and risks. At the same time, we carried out a questionnaire survey to make an external materiality assessment on stakeholders' expectations in light of the impact of our business on the environment and society. Finally, we considered both the "importance to stakeholders" and the "importance to the sustainable development of Holly Futures" and analysed and identified the issues of high, medium and low materiality of Holly Futures. This report will respond and make disclosure in respect of the material issues and focus our response to issues of high materiality.

(三) 重要性評估

本公司通過行業分析、專家訪談，結合國家及行業相關政策，建立ESG議題庫，共識別出22項ESG議題。本公司從ESG議題對企業價值、政策、策略、運營管理、機遇與風險的影響方面進行內部重要性評估。同時，開展問卷調查，結合業務對環境及社會的影響和持份者期望進行外部重要性評估。最後，綜合考慮「對持份者的重要性」和「對弘業期貨可持續發展的重要性」，分析並識別出弘業期貨的高度、中度、低度重要議題。本報告針將對各項重要議題進行響應與披露，並重點回覆其中的高度重要議題。



Materiality assessment matrix related to the sustainable development of Holly Futures

弘業期貨可持續發展重要性評估矩陣



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線

The Company constantly improves its modernized corporate governance structure and the compliance and risk control system, which are vital for the Company's long-term stability. The Company has improved its risk management, internal control and compliance and internal audit management mechanisms, adhered to the bottom line of compliance, strictly implement risk prevention and control, and continuously promote its high-quality development.

(I) Sound governance structure

1. A structure of the Board, the supervisory committee, the general meeting and the management

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 such as the Company Law of the PRC, Securities Law of the PRC, the Futures Trading Management Regulations and the Listing Rules, and improves its corporate governance structure. We have established a fundamental system of corporate governance with the Articles of Association as the core, 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. In 2021, the Company held 9 Board meetings, 6 meetings of the supervisory committee and 3 general meetings, and for special committees, held 4 meetings of the audit committee, 3 meetings of the remuneration committee, 2 meetings of the risk management committee and 1 meeting of the nomination committee. The convening and voting procedures the meetings are legal and valid. Please refer to the Corporate Governance Report in the Annual Report for details.

2. Protection of shareholders' rights and interest

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

不斷完善現代化公司治理架構，完善合規風控體系是公司行穩致遠的準繩，公司健全風險管理、內控合規、內部審計管理機制，堅守合規底線，嚴抓風險防控工作，持續推進高質量發展。

(一) 完善治理結構

1. 三會一層架構

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《中華人民共和國公司法》《中華人民共和國證券法》《期貨交易管理條例》《上市規則》等法律、法規及規範性文件要求，依法合規運作，不斷完善法人治理結構。公司現有以公司章程為核心的公司治理基本制度體系，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。2021年公司召開了9次董事會會議，6次監事會會議，3次股東大會，專門委員會中審核委員會召開4次會議，薪酬委員會召開3次會議，風險管理委員會召開2次會議，提名委員會召開1次會議。會議召集召開程序、表決程序合法有效。詳見本公司年報中《企業管治報告》部分。

2. 保護股東利益

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。

II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線



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.

3. Board competence and gender diversity

The Company implements Board diversity policy strictly in accordance with the Articles of Association. All Board appointments will be based on meritocracy and the best candidate will be selected based on the diversity principle, including but not limited to diversity in gender, cultural background and race to ensure a proper balance and diversity in skills, experience and opinions, so as to enhance the effectiveness of the Board. We believe that board diversity is beneficial to the enhancement of the Company’s performance, and the increase in diversity at the Board level is essential for supporting and achieving strategic goals and sustainable development. The percentage of female directors, supervisors and senior management members of the Company are listed below:

Table 1 Percentage of female directors, supervisors and senior management members

	Directors 董事	Supervisors 監事	Senior management 高級管理人員
Percentage of female members 女性比例	12.5%	66.7%	28.6%

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。

3. 董事會能力、性別多元化

本公司嚴格按照《公司章程》等規定，落實董事會多元化政策。董事會所有委任均用人唯才，並致力按多元化原則為每個職位挑選最佳人選，包括但不限於性別、文化背景及種族，以確保在技能、經驗及觀點多元化方面維持適當的平衡，從而提升董事會的效能。我們深信，董事會成員多元化對提升公司的表現素質裨益良多，提升董事會層面的多元化為支持實現戰略目標及可持續發展的必要元素。本公司董事、監事、高級管理人員中女性比例如下表所示：

表1董事、監事、高級管理人員中女性比例



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線

(II) Optimisation of compliance risk control

1. Comprehensive risk management

Based on the fundamental principles of comprehensiveness, sustainability, independence and effectiveness, the Company has established a risk management organizational structure that includes four levels: the Board - risk management committee - Chief Risk Officer - risk control personnel of various business units. 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. In order to strengthen internal control and risk management, promote the legal and healthy operation of the Company and protect the legitimate rights and interests of futures investors, the Company developed systems such as the Chief Risk Officer Work system and the Measures for Compliance Management of Holly Futures based on the Futures Trading Management Regulations, the Measures for Supervision and Management of Futures Companies, the Measures for the Administration of the Appointment of Directors, Supervisors and Senior Managers of Futures Companies and the Regulations for the Management of Chief Risk Officer of Futures Companies (Trial) to fully assess and grasp risks.

In light of the operation risk, ethnic risk, market risk, credit risk and investment risk, etc. entailed by the its business, the Company has established comprehensive procedures for approval and supervision of investment projects through authorities such as the investment decision committee, general manager office, the Board and general meetings, in order to minimize investment risk. The Company will take reasonable steps in carrying out investment and enter into comprehensive investment agreements to protect the legal rights of the Company.

(二) 優化合規風控

1. 全面風險管理

公司依據全面性、可持續性、獨立性、有效性原則，建立了涵蓋「董事會－風險管理委員會－首席風險官－各業務部門的風險控制崗人員」四層的風險管理組織架構。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。為加強內部控制和風險管理，促進本公司依法穩健經營，維護期貨投資者合法權益，依據《期貨交易管理條例》《期貨公司監督管理辦法》《期貨公司董事、監事和高級管理人員任職資格管理辦法》《期貨公司首席風險官管理規定（試行）》，本公司制定《首席風險官工作制度》《弘業期貨股份有限公司合規管理辦法》等，對風險進行全面評估與把握。

針對公司經營面臨的操作風險、道德風險、市場風險、信用風險、投資風險等，通過投資決策委員會、總經理辦公會、董事會、股東大會等一系列相關權利機構建立健全投資項目的審核和把關，將投資風險降至最低，引入任何投資都將遵循合理程序、訂立全面投資協議以保護公司的合法權利。

II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線



2. Optimisation of internal control

For the standardization of corporate management and control of operation risk, the Company successively established and improved the rules and regulations of the internal control system, such as corporate governance, trading management, settlement management, risk control management, margin management, information technology management, financial management, compliance management, anti-money laundering management, comprehensive management, and branch management, innovative business management and subsidiary management. The entire internal control system penetrates all level and segments of the Company's operation and management activities, and imposes systematic regulation over various business processes and job duties and responsibilities. The system has been effectively implemented and ensured that all works have rules and regulations to follow and various businesses are running and connected properly.

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. During the reporting period, in order to strengthen the understanding and application of the internal control system by the staff of the Company, improve the effectiveness of the implementation of the internal control system and prevent the risk of system implementation, the Company launched a series of internal control lecture training. The training covered person-in-charge of the headquarters departments and branches, and all employees in service, covering a number of topics such as non-compliance sanctions, network security, investor suitability, etc., which comprehensively improved the employees' awareness of compliance practice and strengthened the overall management of the internal control system and risk prevention of the Company. In 2021, the Company and the senior management were not subject to any punishment and public censure, nor punished by finance, tax, foreign exchange or audit authorities.

2. 優化內部控制

為了規範企業管理，控制經營風險，公司先後建立健全了包括法人治理、交易管理、結算管理、風控管理、保證金管理、信息技術管理、財務管理、合規管理、反洗錢管理、綜合管理、分支機構管理、創新業務管理、子公司管理等規章制度的內控制度體系，整套內部控制制度貫穿於公司經營管理活動的各層面和各環節，對展業行為、各項業務流程和崗位職責均進行了制度規範，並得以有效落實，確保了各項工作都有章可循，各項業務得以良好運轉和銜接。

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。報告期內，為強化在職人員對公司內控制度的理解與運用，提高內控制度執行有效性，防範制度執行風險，公司開展內控制度大講堂系列培訓。該培訓覆蓋總部各部門及分支機構負責人、所有在職員工，涉及違規處分、網絡安全、投資者適當性等多項課題，全面提高了員工的合規執業意識，加強了公司整體內控制度的管理和風險防範。2021年，公司及高級管理人員無被處罰和公開譴責的情況，沒有受到財稅、外匯和審計等部門做出的重大處罰。



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線

3. Insist on compliance operation

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.

For the strengthening of its internal compliance management and effective prevention of compliance risk, the Company has formulated the Measures for Compliance Management of Holly Futures Co., Ltd. covering various segments such as decision-making, execution, supervision and provision of feedback, based on the Futures Trading Management Regulations, the Measures for Supervision and Management of Futures Companies and other relevant requirements.

The Company focuses on the philosophy of “giving priority to compliance, everyone in compliance, to be proactively in compliance, creating values from compliance”, to foster the compliance awareness of all staff members, raise the compliance standard for all staff members 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. The Company has formulated the Measures for Pursuing Responsibility for Non-compliance Operation and Provisions on Punishment for Employee Violations of Holly Futures Co., Ltd. (Trial) to regulate and address employee violations.

3. 堅持合規經營

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。

為加強本公司內部合規管理，有效防範合規風險，本公司根據《期貨交易管理條例》《期貨公司監督管理辦法》等相關規定，制定《弘業期貨股份有限公司合規管理辦法》，貫穿決策、執行、監督、反饋等各個環節。

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，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。本公司制定了《違規經營投資責任追究辦法》《弘業期貨股份有限公司員工違規處分規定（試行）》，對員工違規行為進行規定與處理。

II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線



4. Carry out internal audit

The Audit and Legal Department of the Company is responsible for the establishment and improvement of a system of rules and regulations and measures on internal auditing, formulation of annual internal audit work plan and carrying out various audits, including special audits on settlement business, compliance of headquarters customer fee waiver and anti-money laundering, and economic responsibility audits, and resignation audits, etc. It also tracks, supervises and checks the progress of rectification of audit issues in previous years. Based on the national policies, laws and regulations on audit work, the Company has formulated work systems such as the Norms for Internal Audit Work of Holly Futures Co., Ltd., the Norms for the Work and Behaviour of Internal Audit Personnel of Holly Futures Co., Ltd. and the Measures for the Assessment of Audit Rectification of Holly Futures Co., Ltd. (Trial). During the Reporting Period, resignation audit was carried out on the general manager of 1 subsidiary, the person-in-charge of 3 departments of the headquarters, the person-in-charge of 4 branches and the management leader of the Asset Management Centre, the economic responsibilities audit on the person-in-charge of 1 branch, and anti-money laundering special audit on 5 branches.

(III) Anti-corruption and Anti-money laundering

1. Anti-corruption

Anti-fraud

For protecting the legitimate rights of shareholders and regulating the professional behavior of all employee, especially directors, supervisors, and middle and senior management staff, the Company has formulated the Anti-fraud Management Rules of Holly Futures Co., Ltd. to prohibit personnel inside and outside the company to use deception or other illegal means to gain illegal personal benefits and damage the legitimate economic interests of the Company. The Board leads the anti-fraud work of the Company, and the management of the Company is responsible for establishing, improving and effectively implement anti-fraud procedures and control and conducting self-assessment. The Compliance, Audit and Discipline Inspection Departments are responsible for the implementation of daily anti-fraud supervision in the Company and the subsidiaries, including organizing all functional departments and subsidiaries to conduct annual anti-fraud risk assessment and self-assessment, carry out anti-fraud prevention promotion activities, receive relevant fraud reports and organize investigation of fraud cases.

4. 開展內部審計

公司由審計法律部負責建立健全公司內部審計工作規章制度、辦法，制定年度內部審計工作計劃，開展各項審計工作，審計類型包括結算業務、總部客戶手續費減免合規性、反洗錢等專項審計、經濟責任審計、離任審計等，並對過往年度審計問題整改進度進行跟蹤督查。依據國家有關審計工作的方針政策、法律法規，本公司已制定《弘業期貨股份有限公司內部審計工作規範》《弘業期貨股份有限公司內部審計人員工作行為規範》《弘業期貨股份有限公司審計整改工作考核辦法(試行)》等工作制度。報告期內，已開展1家子公司總經理、3家總部業務部門負責人、4家分支機構負責人、資管中心分管領導的離任審計，1家分支機構負責人經濟責任審計，5家分支機構反洗錢專項審計。

(三) 反貪污、反洗錢

1. 反貪污

反舞弊

為保護股東合法權益，規範全體員工，特別是董事、監事、高中級管理層職員的職業行為，本公司制定《弘業期貨股份有限公司反舞弊管理制度》，禁止公司內、外人員採用欺騙等違法違規手段，謀取個人不正當利益，損害正當的公司經濟利益。公司董事會領導公司反舞弊工作，公司管理層負責建立、健全並有效實施反舞弊程序和控制並進行自我評估，合規、審計和紀檢等部門負責公司及子公司範圍內的反舞弊日常持續監督的實施，包括組織公司各職能部門、子公司進行年度舞弊風險評估與自我評估，開展反舞弊預防宣傳活動，受理相關舞弊舉報工作，組織舞弊案件的調查等。



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線

Party members' conduct and uncorrupted government construction

The Company continues to carry out in-depth work on party members' conduct and uncorrupted government construction, practices the value orientation of "probity and efficiency" (廉而有為), and always focuses on its main responsibility and main business, to create an uncorrupted political ecosystem and comprehensively manage the party in strict governance, and to provide a strong discipline guarantee. For the steady implementation of party members' conduct and uncorrupted government construction, the Party Committee of the Company studied and formulated the List of Performing the Subject Entity's Responsibility to Comprehensively Manage the Party in Strict Governance by the Party Committee, the Key Points of Party Building in 2021 and the Study Plan of 2021 of Theoretical Center Group Learning System of the Party Committee. In 2021, the management rules such as List of Performing Inspection Responsibility to Comprehensively Manage the Party in Strict Governance by the Discipline Inspection Committee of Holly Futures of 2021, the Measures for the Management of Integrity Files of Holly Futures (Revision) and the Supervision and Reminder Work Measures of CPC Holly Futures Discipline Inspection Committee (Trial) were published. During the Reporting Period, 2 conferences regarding uncorrupted government construction and anti-corruption were convened. The party members' conduct and uncorrupted government construction responsibility system was implemented, and a total of 84 "Uncorrupted Government Construction Target Responsibility Letters" were signed by various levels, with the Party Committee performing the subject entity responsibility, the Discipline Inspection Committee performing the supervision responsibility, the leadership team assuming the collective responsibilities, and the team members performing "Dual Duties for One Post".

黨風廉政建設

公司持續深入開展黨風廉政建設工作，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。為穩步推行黨風廉政建設，公司黨委研究制定《黨委履行全面從嚴治黨主體責任清單》《2021年度黨建工作要點》《黨委理論中心組2021年學習計劃》等。2021年，印發《弘業期貨紀委2021年度履行全面從嚴治黨監督責任清單》《弘業期貨廉潔檔案管理辦法(修訂版)》《中共弘業期貨紀委監督提示函工作辦法(試行)》等管理制度。報告期內召開黨風廉政建設暨反腐倡廉專題會議2次。實行黨風廉政建設責任制，層層簽訂黨風廉政建設目標責任書84份，黨委履行主體責任，紀委履行監督責任，領導班子履行集體責任，班子成員履行「一崗雙責」。

II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線



Grasping the responsibility of supervision

The Company has established the party members' conduct and uncorrupted government construction and anti-corruption work coordination team, with the secretary of the Company's Party Committee secretary as the team leader and led by discipline inspection authority. It regular convenes relevant functional departments to communicate information in a timely manner and study the key tasks of party members' conduct and uncorrupted government construction and anti-corruption, forming a coordinated supervision force.

- Daily supervision: During the Reporting Period, the Company conducted routine interviews on party members' conduct and uncorrupted government construction for all middle-level cadres, with reminder talks for one cadre, and issued party members' conduct and uncorrupted government construction opinion reply materials for 68 cadres, prompting the cadres to enhance their awareness of rules and regulations and build a firm ideological defense. We have optimized and adjusted the Work List of Special Supervisors in Performing Responsibility, and put great effort into establishing a grid layout of discipline inspection and supervision work. The scope of grid management pilot was expanded with further growth in the "dedicated + part time + recruited" grid management team.
- Special inspection: During the Reporting Period, the Company actively carried out self-inspection of special supervision on engineering project tenders and bulk material procurement projects, completed a special inspection report on branch renovation tenders and procurement, formulated the Work Plan for Special Supervision of the Office Design and Decoration Works in the Financial City", and jointly launched a "hindsight" special inspection of the implementation of systems in the subsidiaries with multiple departments to strengthen closed-loop management and integrate the coordinated supervision force.

抓牢監督責任

公司成立黨風廉政建設和反腐敗工作協調小組，由公司紀委書記任組長，紀檢機構牽頭，定期召集有關職能部門及時溝通信息，研究黨風廉政建設和反腐敗重點工作，形成監督合力。

- 日常監督：報告期內，本公司對中層幹部全覆蓋開展黨風廉政建設例行約談、對1名幹部進行提醒談話，為68名幹部出具黨風廉政意見回覆材料，促使幹部增強規矩意識，築牢思想防線。優化調整《特約監督員履責工作清單》，全力打造紀檢監督工作網格化佈局。擴大網格化管理試點範圍，進一步壯大「專職+兼職+聘用」的網格管理隊伍。
- 專項監督：報告期內，本公司積極開展工程項目招標和大宗物資採購項目專項監督自查，完成分支機構裝修招標採購專項督查報告，制定《金融城辦公樓設計及裝潢工程廉潔風險專項監督工作方案》，聯合多部門開展子公司制度執行情況「回頭看」專項檢查，強化閉環管理，整合監督合力。



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線

Launching integrity education

During the Reporting Period, the Company provided compliance trainings, including anti-corruption training, to directors of the Company. In 2021, the Company held 6 warning education sessions with approximately 322 participants, which included various forms such as cadre meeting, group discussion, online and offline training, “educate the persons around with the things around them”, integrity warning educational video, signing integrity undertakings.

開展廉潔教育

報告期內，本公司為公司董事提供含反貪污培訓在內的合規培訓。2021年，公司開展警示教育6次，約322人次參與。形式包括：幹部會議、集體座談、線上線下培訓、「身邊事教育身邊人」、觀看廉政警示教育片、簽訂廉潔承諾書等。

Case: Launching the “Four Ones” family integrity support to build an integrity firewall

To promote the integrity culture to take root in employees mind, the Company launched the “Four Ones” family integrity support activities which included:

- Issuing a family integrity support initiative letter
- Organising an integrity symposium of representatives from families of cadres
- Seeing an integrity education video
- Distributing a book on integrity education

Through a variety of family activities, a “Company + family” joint force of supervision has been formed inside and outside of the Company, establishing an integrity firewall “beyond the 8 hours”.

案例：開展「四個一」家庭助廉活動，建設廉潔防火牆

為促進廉潔文化入腦入心，公司開展了「四個一」家庭助廉活動，內容包括：

- 發出一份家庭助廉倡議書
- 組織一次幹部家屬代表廉政座談
- 觀看一次廉政教育片
- 發放一本廉政教育書籍

通過豐富多彩的家庭活動，在全公司內外形成了「公司+家庭」的監督合力，構建「八小時以外」的廉潔防火牆。



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線



Smoothing communication channels

The Company posted whistle-blowing telephone numbers and reporting email address on the Company's website, and set up the innovative "code supervision" QR code reporting platform, to build a multi-dimensional whistle-blowing and receiving system, which effectively expanded the source of clues and helped extend supervision to the grassroots level. We implemented the superior Discipline Inspection Committee petitioning and whistle-blowing management measures in a standardised manner, strictly implementing the discipline of confidentiality to protect the legitimate rights of the whistleblowers.

2. Anti-money laundering

Sound anti-money laundering organisation

The Company established the three-level anti-money laundering work management system of "the Board and supervisory committee – the anti-money laundering leading group of the Company (senior management of the Company) – the departments", with the Compliance Risk Control Department as the centralized management department of the Company's anti-money laundering work, integrating the anti-money laundering concept into daily operation and management.

Improving the anti-money laundering mechanism

In accordance with relevant requirements of the laws and regulations such as the Anti-Money Laundering Law of the People's Republic of China, Provisions on Anti-money Laundering through Financial Institutions of the People's Bank of China and the Measures for the Implementation of Anti-money Laundering in the Securities and Futures Industry, the Company formulated the Compilation of Internal Control Systems of Holly Futures Co., Ltd. on Anti-money Laundering. The Compilation of Internal Control Systems covers all statutory business segments, including the keeping of identification and information materials of customer account opening, monitoring of trading behavior and funds during customer transactions, risk level concerns and handling measures, freezing of terrorist assets, anti-money laundering performance assessment and risk management. In 2021, the Company mainly revised and improved the Measures for the Management of Anti-Money Laundering Evaluation and Rewards and Punishments of Holly Futures Co., Ltd. and the Measures for the Management of Self-Assessment of Money Laundering and Terrorist Financing Risks of Holly Futures Co., Ltd., continuing to meet regulatory requirements and build an effective anti-money laundering work mechanism.

暢通信訪渠道

本公司在公司網頁公示舉報電話及信訪舉報電子郵件，並創新開通「碼上監督」二維碼信訪舉報平台，構建立體化舉報受理體系，有效拓寬線索來源，助力監督觸角向基層延伸。規範執行上級紀委信訪舉報管理辦法，嚴格執行保密紀律，保護檢舉控告人合法權益。

2. 反洗錢

健全反洗錢組織

本公司設立「董監事會—公司反洗錢工作領導小組（公司高級管理層）—各部門」三級反洗錢管理體系，由合規風控部作為公司反洗錢工作的歸口管理部門，將反洗錢理念嵌入日常經營管理之中。

完善反洗錢機制

公司根據《中華人民共和國反洗錢法》、中國人民銀行《金融機構反洗錢規定》以及中國證監會《證券期貨業反洗錢工作實施辦法》等法律法規的有關規定，制定了《弘業期貨股份有限公司反洗錢內部控制制度彙編》，內控制度彙編涵蓋了所有法定的業務環節，包括客戶開戶的身份識別及信息資料的保存、客戶交易過程中的交易行為和資金監控、風險度的關注和處理措施、恐怖活動資產的凍結、反洗錢績效考核以及風險管理等方面的內容。2021年，公司主要對《弘業期貨股份有限公司反洗錢考評及獎懲管理辦法》《弘業期貨股份有限公司洗錢和恐怖融資風險自評估工作管理辦法》進行了修訂與完善，以持續滿足監管要求，構建行之有效的反洗錢工作機制。



II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY 二、行穩致遠，堅守合規底線

- Performance of statutory anti-money laundering obligations: In accordance with rules and requirements, the Company carried out works such as customer identification, customer risk classification management, reporting and analyzing large amount and suspicious transactions, promotion and training. Due diligence is organized and carried out by dedicated and part-time anti-money laundering personnel.
- Anti-money laundering self-assessment: We formulated the 2021 Anti-money laundering self-assessment work plan and established a self-assessment team, covering potential risk points of various business segments.
- Improving the anti-money laundering system construction: The Company acquired the Dow Jones Blacklist database to ensure the completeness of the monitoring and control list.
- 履行反洗錢法定義務：按制度規定開展客戶身份識別、客戶風險等級管理、大額交易和可疑交易報告分析、宣傳與培訓等工作，由反洗錢專兼職人員牽頭組織開展盡職調查。
- 開展洗錢風險自評估：制定2021年洗錢風險自評估工作方案，建立自評估工作小組，覆蓋各項業務環節潛在的風險點。
- 完善反洗錢系統建設：公司採購了道瓊斯黑名單數據庫，以確保監控名單的完整性。

Anti-money laundering inspection and audit

The Company pay great attention to anti-money laundering inspection and audit, and formulated the Anti-money Laundering Inspection and Audit Measures of Holly Futures Co., Ltd. During the Reporting Period, the Company comprehensively strengthened the frequency of anti-money laundering inspection of the branches and made anti-money laundering special inspection and audit on all 45 branches, of which on-site inspection and audit were carried out on 16 branches.

Anti-money laundering training

In 2021, the Company organized four quarterly special anti-money laundering training sessions for staff in charge of headquarters departments and branches, anti-money laundering staff, business personnel and new employees. The training covered the anti-money laundering work situation and regulatory dynamics, frequent questions and answers on anti-money laundering, anti-money laundering practical operations, anti-money laundering assessment essentials and work requirements, etc. Through the training, the anti-money laundering awareness and work skills of the practitioners were enhanced.

反洗錢檢查與審計

公司高度重視反洗錢檢查與審計工作，制定了《弘業期貨股份有限公司反洗錢內部檢查與審計辦法》，報告期內，全面加強對分支機構反洗錢工作的檢查頻率，對全轄45家分支機構進行了反洗錢專項檢查與審計，其中現場檢查與審計16家。

反洗錢培訓

2021年，公司組織了四次反洗錢季度專項培訓，培訓受眾包括總部部門及各分支機構負責人、反洗錢崗位員工、業務人員以及新員工等，培訓內容涵蓋反洗錢工作形勢與監管動態、反洗錢工作中常見問題答疑、反洗錢實務操作、反洗錢工作考核要點及工作要求。通過培訓，提升了從業人員的反洗錢工作意識與工作技能。

III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

三、低碳轉型，堅持綠色發展



In September 2020, President Xi Jinping delivered an important speech at the general debate of the 75th United Nations General Assembly, pointing out that China will increase its voluntary national contribution, strive to peak CO2 emissions by 2030, and strive to achieve carbon neutrality by 2060. During the Reporting Period, Holly Futures closely monitored the risks and opportunities of climate change, encourage all employees to practice green office to lower our impact on the environment. The Company also help achieve China's green economy, low carbon economy, circular economy and the "dual carbon" goals through actively supporting the research and development of green financial derivatives.

(I) Addressing climate change

1. Governance

With the increasingly severe impact of climate change, global warming and frequent occurrence of abnormal weather, Holly Futures recognises that actively addressing climate risks is an imperative issue and the obligation of every enterprise. The Company actively guides all employees to practice the energy saving and low carbon philosophy, and continuously reduces the carbon footprint of the Company's operations to help address the global climate crisis.

The Company has identified and disclosed the policy and action of the Group in responding to climate risks and seizing climate-related opportunities in accordance with the framework of the Task Force on Climate-related Financial Disclosures (TCFD). The Board is responsible for supervising and reviewing ESG matters including climate impact, and accessing its potential impact on the Company's business and the related risks and opportunities, as well as reviewing the environmental, social and governance report annually, which includes the issue of "addressing climate change".

2020年9月，國家主席習近平在第七十五屆聯合國大會一般性辯論上發表重要講話，指出中國將提高國家自主貢獻力度，二氧化碳排放力爭於2030年前達到峰值，努力爭取2060年前實現碳中和。報告期內，弘業期貨密切關注氣候變化風險與機遇，倡導全體員工踐行綠色辦公，不斷降低環境影響，並通過積極支持綠色金融衍生品研發，助力國家綠色經濟、低碳經濟、循環經濟與「雙碳」目標的實踐。

(一) 應對氣候變化

1. 治理

隨著氣候變化影響日趨嚴峻，全球變暖和異常天氣頻發，弘業期貨已意識到積極應對氣候風險問題是每個企業的必修課程和應盡義務。本公司積極引導全體員工踐行節能低碳理念，持續降低本公司運營碳足跡，助力應對全球氣候危機。

本公司根據氣候相關財務信息披露工作組(Task Force on Climate-related Financial Disclosures,TCFD)框架，識別並披露本集團應對氣候風險和把握氣候機遇方面的方針與行動。弘業期貨董事會負責監督並檢討包括氣候影響在內的ESG事宜，評估其對本公司業務的潛在影響、機遇及風險；每年度審核包含「應對氣候變化」議題在內的環境、社會及管治報告。



III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

三、低碳轉型，堅持綠色發展

2. Strategy

In accordance with the climate risk disclosure framework of TCFD, the Group identified the possible impact of climate change on its business segments for short (1-2 years), medium (3-5 years), medium and long (6-9 years) and long (10 years and more) time horizons.

Climate risk identification matrix

Type of risk/opportunity 風險／機遇類型	Description of the risk/opportunity 風險／機遇描述	Time horizon 時間維度	Intensity of impact 影響強度
Policy and legal risks 政策及法律風險	With the introduction of relevant policies such as carbon neutrality and green finance, the market demand for climate-friendly products or services may lead to market risks for the businesses of the Company and its customers if they fail to meet such expectations. 隨著碳中和、綠色金融等相關政策的出台引發市場對氣候友好型產品或服務的需求，導致公司及公司客戶業務因未滿足此期待而面臨市場風險。	Long 長期	High 高
Acute physical risks 急性物理風險	Extreme weather or natural disasters such as cyclones, heat waves, earthquakes, etc. caused by climate change may affect the normal operation of the Company's futures branches, which will in turn affects the Company's business 氣候變化導致的颱風、熱浪、地震等極端天氣或自然災害可能影響公司營業部正常運營，進而影響公司業務	Long 長期	Low 低
Chronic physical risks 慢性物理風險	The headquarters of the Company is located in Nanjing which is at a low altitude above sea level and may face the risk of floods caused by rising sea levels. The continuous increase in high temperature and precipitation may also lead to mosquito breeding, thereby increasing the risk of mosquito-borne diseases. 公司總部位於南京，海拔較低，可能面臨海平面上升導致的水災風險，持續高溫氣溫上升及降水增加亦導致蚊子繁殖，從而增加蚊傳疾病傳播的風險。	Long 長期	Low 低
Market and Technology Risks 市場及技術風險	Due to the more stringent emission reduction policies launched by the government, the Group will need green energy with less emissions to replace the existing high emission energy, which may add costs for energy transformation. 因政府出台更嚴謹的減排政策，本集團需較低排放的綠色能源替代現有高排放能源，從增加了能源轉型的成本。	Medium and long 中長期	Medium 中

2. 戰略

本集團按照TCFD氣候風險披露框架，對氣候變化在短期(1-2年)、中期(3-5年)、中長期(6-9年)和長期(10年及以上)等不同時間尺度可能對自身業務板塊產生的影響進行了識別。

氣候風險識別矩陣

III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展



Type of risk/opportunity 風險／機遇類型	Description of the risk/opportunity 風險／機遇描述	Time horizon 時間維度	Intensity of impact 影響強度
Reputation Risks 聲譽風險	Regarding the regulatory mandated disclosure of climate-related financial information, a lack of historical data and accurate calculating methods may affect the quality of disclosure. 監管強制披露氣候相關財務信息，缺乏歷史數據與精準核算方法，影響披露質量。	Short 短期	Low 低
Market opportunities 市場機遇	Amid a low-carbon economy, the market expects the development of green futures products, which is positive to the expansion of future income and increase in the types of products and services 低碳經濟背景下，市場期待開發綠色期貨產品，有利於擴展未來收入空間，豐富產品和服務類型	Long 長期	High 高

3. Risk management

The Company conducts industry-level risk reviews based on publicly available materials and industry analysis, and identifies general industry risks by reviewing peer-released information, industry commentary, media reports and expert communications. At the same time, we encourage internal management personnel to communicate with stakeholders to identify climate risks that are easily overlooked by internal management personnel. We use a qualitative assessment method to rank the impact intensity of identified risks as “low,” “medium,” and “high”, based on the likelihood of occurrence, impact, resilience, and recovery.

The Company’s measures of addressing climate risks are as follows:

- In terms of mitigating greenhouse gas emissions, the Company's greenhouse gas emissions are mainly caused by purchased electricity, fossil fuels used by its own fleet of cars, and refrigerants. Our main countermeasures for the future are to change the energy structure, control the use of fossil fuels, increase the proportion of renewable energy, prioritize the construction or rental of environmentally friendly and energy-efficient buildings, use green refrigerants, encourage green travel and online meetings, etc.

3. 風險管理

本公司基於公開材料與行業分析開展行業層面風險審查，通過審閱同行發佈的資料、行業評述、媒體報道、專家溝通，列明行業普遍性風險，同時，我們鼓勵內部管理人員與持份者開展溝通交流，以發現容易被內部管理人員忽視的氣候風險。我們採用定性評估法，基於事件發生的可能性、影響力、適應力、恢復力，對已識別風險進行影響強度為「低」、「中」、「高」的排序。

本公司對氣候相關風險應對措施如下：

- 在減緩溫室氣體的排放方面，本公司的溫室氣體排源放主要為外購電力，自有車隊使用的化石燃料，及製冷劑造成的排放。未來我們的主要應對措施為改變能源結構，控制化石燃料使用量，增加可再生能源使用比例，優先建設或租用環保節能建築，使用綠色製冷劑，鼓勵綠色出行與線上會議等。



III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展

- In terms of adapting to climate change, the Company dynamically identifies domestic and foreign climate-related policies and regulations, provides early warning of extreme weather and climate events, and regularly conducts emergency drills and training for natural disasters. In construction projects, we give priority to climate resilient infrastructure, such as seismic design, wind protection design, lightning protection design, flood protection design, fire protection design, etc.

- 在適應氣候變化方面，本公司動態識別國內外氣候相關的政策法規，對極端天氣和氣候事件進行預警，定期開展自然災害事故應急演練和培訓。在建築工程上，我們優先選用氣候韌性基礎設施，如抗震設計、防風設計、防雷設計、防洪設計、防火設計等。

The Company integrated climate change related risks into its overall risk management culture.

本公司將氣候變化相關風險融入整體風險管理文化。

Our risk management process:

我們的風險管理流程：



Example of climate change related risks in the Company's existing risk management:

本公司在當前風險管理中與氣候變化相關的風險示例：

- Operation: maintaining continuous operation and reliable services under frequent occurrence of extreme weather
- Environmental health and safety: health and safety incidents due to climate change (e.g. flood and storm)
- Strategy: adaptation to gradually tightened emission policy
- Legal and compliance: identification of legal and policy changes related to climate change
- Reputation: ability to meet the expectations of customers and stakeholders for clean energy, etc.
- Financial: the impact of climate-related policy on energy prices

- 運營：在頻繁發生極端天氣的情況下持續運營，提供可靠服務
- 環境健康安全：氣候變化(如洪水、風暴)引起的健康安全衛生事件
- 戰略：適應逐漸收緊的排放政策
- 法律與合規：識別與氣候變化相關的法律政策變化
- 聲譽：滿足客戶和持份者對清潔能源等預期的能力
- 財務：氣候政策對能源價格的影響

III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展



4. Indicators and targets

In 2021, the scope of greenhouse gas (“GHG”) emissions calculated by the Company covered the headquarters of Holly Futures, which accounted for approximately 51% of total number of office staff. Due to the nature of the Company’s business, its GHG emissions mainly come from purchased electricity and burning of fossil fuels, the GHG involved included carbon dioxide, methane and nitrous oxide. The GHG emission data is presented in terms of carbon dioxide equivalent, and calculated using the 2012 East China power grid emission factor in the “Average Carbon Dioxide Emission Factors of China Regional Power Grid in 2011 and 2012” released by the NDRC in 2014, while the gasoline calorific value is from the General Rules for Calculation of Comprehensive Energy Consumption (GB/T2589-2020), and the calorific value emission factor is from the default value of the 2006 IPCC Guidelines.

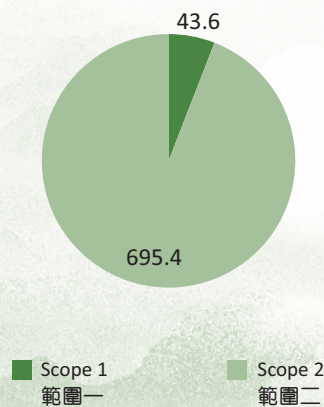
During the Reporting Period, the direct GHG emissions (scope 1) of the Company’s headquarters was 43.6 tons of carbon dioxide equivalents, and its energy indirect GHG emissions (scope 2) was 695.4 tons of carbon dioxide equivalents, with a per capita GHG emissions intensity of 2.2 tons of carbon dioxide equivalents. The Company supports the dual carbon goals of China of achieving carbon peaking by 2030 and carbon neutrality by 2060. In the future, the Company will set more detailed GHG emission targets after checking the Group’s overall GHG emissions.

4. 指標及目標

2021年本公司所計算溫室氣體排放的範圍為公司總部，辦公人數約佔本公司全部人數的51%。基於本公司業務性質，溫室氣體排放主要源自外購電力及化石燃料燃燒所造成的排放，涉及的溫室氣體包括二氧化碳、甲烷、氧化亞氮。溫室氣體排放數據按照二氧化碳當量呈列。此次計算使用電力排放因子取自2014年國家發改委發佈的《2011年和2012年中國區域電網平均二氧化碳排放因子》中2012年華東電網排放因子，汽油熱值來源於《綜合能耗計算通則(GB/T2589-2020)》，熱值排放係數源於《2006年IPCC指南》缺省值。

報告期內，本公司總部直接溫室氣體排放(範圍一)為43.6噸二氧化碳當量，能源間接溫室氣體排放(範圍二)為695.4噸二氧化碳當量，人均溫室氣體排放強度為2.2噸二氧化碳當量。本公司支持國家雙碳目標，在2030年前實現碳達峰，2060年前實現碳中和，未來在對集團整體溫室氣體排放情況進行盤查後，我們將制定更詳細的溫室氣體排放目標。

GHG emissions of the headquarters of Holly Futures
弘業期貨總部溫室氣體排放情況



unit : CO2e tonnes
單位：噸二氧化碳當量



III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展

(II) Improving environmental management

During the Reporting Period, the Company strict abide by laws and regulations related to environmental protection such as the Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution, the Water Pollution Prevention and Control Law of the People's Republic of China, the Law on the Prevention and Control of Environmental Pollution Caused by Solid Waste, and the Regulation on the Administration of the Recovery and Disposal of Waste Electrical and Electronic Products, and actively integrated sustainability and green environmental protection concept into the development strategy of the Company.

As a financial company, the Company's business does not have direct damage to nor abuse the environment and natural resources. 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 does not belong to a high water consumption industry, and its main water consumption is in the daily office water consumption and drinking water, and there is no issue in sourcing water that is fit for purpose.

As the Company is not a high energy-consuming and emission-generating enterprise, the Company has not yet formulated quantitative environmental performance targets. Our qualitative environmental targets include:

- Energy saving and emission reduction: to reduce the use of resources, greenhouse gas emissions and air pollution emissions through paperless office, saving water and electricity, green travel and other means.
- Compliant disposal: waste is collected by classification, and 100% of electronic waste and hazardous waste are handed over to qualified third-party institutions for compliant disposal.
- Environmental compliance: there were 0 environmental pollution incidents, non-compliance events and lawsuits related to environmental protection.

During the Reporting Period, the Company did not have any environmental pollution incidents or non-compliance events or lawsuits related to environmental protection.

(二) 完善環境管理

報告期內，本公司嚴格遵守《中華人民共和國大氣污染防治法》《中華人民共和國水污染防治法》《中華人民共和國固體廢物污染環境防治法》《廢棄電器電子產品回收處理管理條例》等環保相關法律法規，積極將可持續發展及綠色環保理念融入公司發展戰略。

公司作為金融企業，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，公司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。本公司不屬於高耗水行業，用水主要集中於辦公室的日常辦公用水及飲水，在求取適用水源上無問題。

由於本公司非高耗能與產生大量排放的企業，本公司尚未制定量化的環境績效目標，我們的環境定性目標包括：

- 節能降耗：通過無紙化辦公、節水節電、綠色出行等方式減少資源使用，降低溫室氣體排放、空氣污染排放。
- 合規處置：廢棄物分類收集，電子廢棄物、危險廢物100%交由有資質的第三方機構合規處置。
- 環境合規：環境污染事件、涉及環保的不合規事件及訴訟事件為零。

本報告期內，本公司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。

III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展



During the Reporting Period, the environmental key performance indicators of the Company were as follows: 報告期內，本公司環境關鍵指標表現如下：

Type 類別	Unit or type 單位或類別	Data 數據
A1.1 The types of emissions and respective emissions data		
A1.1 排放物種類及相關排放資料		
Nitrogen oxides 氮氧化物	kg 千克	12.45
Per capita emissions of nitrogen oxides 氮氧化物人均排放量	Kg/person 千克/人	0.04
Sulfur oxides 硫氧化物	kg 千克	0.294
Per capita emissions of sulfur oxides 硫氧化物人均排放量	kg/person 千克/人	0.001
A1.2 Emission and density of greenhouse gas		
A1.2 溫室氣體排放量及密度		
Direct greenhouse gas emissions (Scope 1) 直接溫室氣體排放量(範圍一)	CO2e tonnes 噸二氧化碳當量	43.6
Indirect greenhouse gas emissions (Scope 2) 能源間接溫室氣體排放量(範圍二)	CO2e tonnes 噸二氧化碳當量	695.4
Total greenhouse gas emissions 總溫室氣體排放量	CO2e tonnes 噸二氧化碳當量	739.0
per capita emissions of greenhouse gases 溫室氣體人均排放量	CO2e tonnes/person 噸二氧化碳當量/人	2.2



III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展

Type 類別	Unit or type 單位或類別	Data 數據
A1.3 Total hazardous waste produced and intensity		
A1.3所產生有害廢棄物總量及密度		
Total amount of ink cartridge 墨盒總量	piece 支	0
Per capita amount of ink cartridge 墨盒人均量	piece/person 支/人	0
Total amount of toner cartridge 硒鼓總量	item 個	150
Per capita amount of toner cartridge 硒鼓人均量	Item/person 個/人	0.45
Lamp 燈管	piece 支	183
Per capita amount of lamp 燈管人均量	piece/person 支/人	0.55
A1.4 Total non-hazardous waste produced and intensity		
A1.4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/person 台/人	-
A2.1 Total energy consumption and intensity		
A2.1能源總耗量及密度		
Consumption of purchased electricity 外購電力消耗量	kWh 千瓦時	988,531
Per capita electricity consumption 人均耗電量	kWh/person 千瓦時/人	2,951
Gasoline 汽油	kl 千升	20

III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展



Type 類別	Unit or type 單位或類別	Data 數據
total amount of gasoline per capita 人均汽油總用量	kl/person 千升/人	0.06
Direct energy consumption 直接能源消耗	ton standard coal 噸標準煤	22.36
Indirect energy consumption 間接能源消耗	ton standard coal 噸標準煤	121.49
Total energy consumption 能源消耗總量	ton standard coal 噸標準煤	143.85
Energy consumption intensity 能耗密度	ton standard coal/person 噸標準煤/人	0.43

A2.2 Total water consumption and intensity

A2.2 總耗水量及密度

Water consumption in the office 辦公室耗水量	ton 噸	15,824
Per capita water consumption in the office 人均辦公室耗水量	ton/person 噸/人	47.24

Note:

- (1) The statistics of the environmental data are from the headquarters of Holly Futures, which accounted for approximately 51% of total number of office staff.
- (2) The energy consumption is calculated based on electricity and gasoline consumption and the conversion factor in the General Rules for Calculation of Comprehensive Energy Consumption (GB/T2589-2020), the national standards of the People's Republic of China.
- (3) Due to the Company's business nature, the use of packaging materials related to the production of physical finished products is not involved, so the disclosure of packaging data is not applicable to the Company.
- (4) The office garbage of the Company is centrally disposed by the property and statistics of the amount generated is impossible.
- (5) Due to the Company's business nature, the Company's air pollutant emissions mainly come from the exhaust generated by the Company's vehicles, mainly including sulfur oxides and nitrogen oxides. The data is calculated in accordance with the Reporting Guidance on Environmental KPIs issued by the Hong Kong Stock Exchange.

註：

- (1) 環境數據統計口徑為弘業期貨公司總部，約佔整體辦公人數的51%。
- (2) 能源消耗量根據電力、汽油消耗量和中華人民共和國國家標準《綜合能耗計算通則(GB/T2589-2020)》中換算因子計算。
- (3) 基於公司業務性質，未涉及實體製成品生產相關的包裝材料使用，因此包裝物數據的披露不適用於本公司。
- (4) 本公司辦公垃圾由物業統一清運，無法統計產生量。
- (5) 基於本公司業務性質，本公司廢氣排放主要來源於公務用車產生的尾氣，主要包括硫氧化物和氮氧化物，數據根據香港聯交所發佈的《環境關鍵績效指標匯報指引》進行核算。



III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展

(III) Pursuing environmental protection practices

The Company advocates all staff in the practice of green sustainability concept. Through launching special training on “carbon peaking and carbon neutrality” and other topics and daily promotion, we build energy saving and emission reduction awareness, cultivate green travel philosophy and advocate green office. In terms of saving water, electricity, paper, company car management, air conditioning management and waste and waste water disposal, the Company takes various measures to reduce the negative impact on the environment.

1. Saving water

Slogans are posted in pantry area and restrooms to raise the water consumption awareness of the employee. 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 for property cleaning, which ensures a clean office environment and improves the utilization rate of water resources.

2. Saving electricity

The energy consumption of the Company mainly comes from purchased electricity. During the Reporting Period, the per capital electricity consumption of the headquarters of the Company decreased by 20% over last year. The Company takes the following measures to save electricity:

- During holidays, all employees are required to turn off electricity consuming equipment (except those essentially operating machines) such as computers, printers, air conditioners and lighting lamps, and the use of high-power electricity consuming equipment in the office is prohibited
- Sharing one printer in one office in order to reduce idle equipment
- Encourages employees to set their display brightness of computer monitors at an appropriate level
- Inspects and monitors office areas, computer room lighting and air-conditioning facilities and equipment
- Incandescent lamps in the offices are all replaced by energy saving lamps

(三) 踐行環保實踐

本公司倡導全員踐行綠色可持續發展理念，通過開展「破達峰、破中和」等專項培訓和日常宣傳，樹立節能減排意識，培育綠色出行理念，倡導綠色辦公。在節約用水、用電、用紙，公車管理、空調管理、廢棄物及廢水處置方面，本公司採取了各項措施降低對環境的負面影響。

1. 節約用水

本公司通過在茶水間、洗手間張貼節約用水宣傳語，提升員工用水意識，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。

2. 節約用電

本公司能源消耗主要來源於外購電力，報告期內，公司總部人均耗電量較上年度下降20%。本公司採取以下措施節約用電：

- 節假日期間除必備運行機器外，要求員工關閉計算機、打印機、空調、照明燈等耗電設備，禁止在辦公區內使用大功率耗電設備
- 同一個辦公室內共享一台打印機，以減少設備閒置
- 提倡員工將計算機顯示器亮度調整到一個合適的值
- 對辦公區、機房照明及空調設施設備巡檢和監控
- 辦公場所全部使用節能燈代替白熾燈

III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

三、低碳轉型，堅持綠色發展



3. Saving paper

The main material consumed by the Company is the daily paper consumption in the office. We use measures such as paperless office to encourage saving paper and reduce daily consumption:

- The Company fully promotes a paperless office, introduces OA management system and electronic office process and advocates employees to use e-mail instead of paper as much as possible to reduce operating costs
- Encourages employees to use both sides of paper when copying and printing, and 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

4. Management of the Company's vehicles

In order to reduce atmospheric pollution due to the use of the Company's business vehicles, the Company has formulated measures for the management of business vehicles to strengthen 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's vehicles should only be used for trips in the urban area, within the province and neighboring province and area, and public transport is the preferred choice for traveling to other provinces. The Company also encourages its staff to use transportation means like bus and bicycle when going out for work or on a business trip.

3. 節約用紙

本公司物料消耗主要為日常辦公造成的紙張消耗，我們採取無紙化辦公等方式鼓勵節約紙張，減少日常消耗：

- 公司全面推廣無紙化項目，上線辦公自動化(OA)管理系統，辦公流程電子化，提倡員工盡量使用電子郵件代替紙張，降低運營成本
- 鼓勵員工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

4. 公車管理

為降低公務用車造成的大氣污染，本公司制定公務用車管理辦法，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，公司公交車全部封存，異地營業部需留存相關公交車封存證明資料。公務用車只保障市區、省內及臨近省份地區，其他省份出行優先選擇公共交通，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。



III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT 三、低碳轉型，堅持綠色發展

5. Air conditioning management

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, advise that the air-conditioning temperature should be not lower than 26° C in summer and not higher than 20° C in winter. Centralised cleaning and maintenance of air-conditioning are carried out before the arrival of summer to ensure the cooling efficiency and energy saving effect of air-conditioning.

6. Waste and waste water disposal

The main waste that the Company generates are non-hazardous waste such as office garbage and hazardous waste such as electronic garbage, ink cartridge and toner cartridge. The main waste water generated is domestic sewage generated by the office, which is collected in the municipal sewage pipe network and then conveyed to the urban sewage treatment plant for treatment.

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 metal, as well as the disposal of food and beverage waste and waste water, with a focus on waste separation, and recycling waste, kitchen waste, other waste and hazardous waste are placed separately. Hazardous waste such as electronic waste, ink cartridge and toner cartridge are recycled by qualified entity, and the recycling party will dispose of or reuse them.

5. 空調管理

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，建議空調溫度夏季不低於26攝氏度，冬天不高於20攝氏度，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。

6. 廢棄物及廢水處置

本公司產生的廢棄物主要為辦公垃圾等無害廢棄物和電子垃圾、碳粉盒、硒鼓墨盒等有害廢棄物。產生的廢水主要為辦公室產生的生活污水，納入市政污水管網後運送至城市污水廠處理。

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，可回收垃圾、廚餘垃圾、其他垃圾及有害垃圾分別單獨投放。電子垃圾、碳粉盒、硒鼓墨盒等有害廢棄物委託有資質的單位進行回收，由回收方進行處置或再利用。

IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

四、信賴共贏，優化客戶服務



During the Reporting Period, the Company made effort to implement the corporate philosophy of “compliance, sound, efficient and innovative”, and continuously enhanced its operation and management standard and core competitiveness. By deepening product and service innovation, strengthening the protection of customer information security, optimizing customer service processes, and strengthening customer complaint management, the Company effectively improves customer service levels and service quality, and maximizes customer interests.

(I) Protection of investor interests

1. Customer Money Management

In order to secure the safety of customers' margin and effectively prevent risk, the Company formulated the Margin Management Rules of Holly Futures Co., Ltd. in accordance with regulatory regulations and requirements such as the Futures Trading Management Regulations, the Measures for Supervision and Management of Futures Companies, and the Administrative Measures for the Closed Management of Customer Margins for Futures Companies. The Company has opened a special account for customer margin in the designated settlement bank as required to deposit customer margins.

2. Customer information security

During the Reporting Period, the Company actively assumed the social responsibility of protecting customer information security and its legitimate rights, strengthened customer information protection and deepened data security governance. The Company continued to carry out customer information security protection in the system construction, security awareness and security operation aspects to protect the legitimate rights and interests of users in accordance with the law.

Regulation construction aspect: The Company formulated a number of regulations, including the Information Technology Management Regulation, the Information Security Management Regulation, the Information Regulation Emergency Management Regulation, the Network and Information Security Incidents Emergency Response Plan and the Measures for Data Backup and Media Management, to strictly manage data production, transmission, use, preservation, backup and destruction.

報告期內，公司大力貫徹「合規、穩健、高效、創新」的企業理念，不斷提升企業經營管理水平和核心競爭能力。通過深化產品和服務創新、加強客戶信息安全保護、優化客戶服務流程、加強客戶投訴管理，推動客戶服務水平和服務質量的有效提升，實現客戶利益的最大化。

(一) 維護投資者利益

1. 客戶資金管理

為切實保障客戶的保證金安全，有效防範風險，根據《期貨交易管理條例》《期貨公司監督管理辦法》《期貨公司保證金封閉管理辦法》等監管條例規定，本公司制定《弘業期貨股份有限公司保證金管理制度》，按規定在指定結算銀行開設客戶保證金專用賬戶，專門存放客戶保證金。

2. 客戶信息安全

報告期內，本公司積極承擔保護客戶的信息安全及其合法權益的社會責任，強化客戶信息保護、深化數據安全治理，從制度建設、安全意識、安全運營等方面持續開展客戶信息安全保護工作，依法保障用戶的合法權益。

制度建設方面：本公司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，針對數據的生產、傳輸、使用、保存、備份、銷毀等多方面進行嚴格管理。



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Security awareness aspect: The Company constantly strengthens employees' information security awareness, and employees are required to strictly comply with the relevant requirements to protect customer information security, and are prohibited from disclosing, trading and abusing customer information.

安全意識方面：本公司不斷加強員工的信息安全意識，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。

Security operation aspect: 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, and ensures information security through UPS ("uninterruptible power supply"), diesel generators and other emergency power supply equipment.

安全運營方面：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，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。

Case: Participating in the 11th Network Security Joint Emergency Drill of the Securities and Futures Industry

案例：參與證券期貨業第十一次網絡安全聯合應急演練

Various business departments and branches of the Company participated in the 11th Network Security Joint Emergency Drill of the Securities and Futures Industry. All participants observed the emergency drill process of peer companies and conducted the Company's first information system emergency drill in 2021. Through this drill, all relevant departments were further familiar with the emergency plan process, and the emergency handling capability was further improved.

公司各業務部門、分支機構參加證券期貨業第十一次網絡安全聯合應急演練。全體參會人員觀摩了同行企業的應急演練流程並進行了2021年度全公司第一次信息系統應急演練。通過此次演練，各相關部門進一步熟悉應急預案流程，應急處理能力得到進一步提升。



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3. Responsible marketing

Strictly in accordance with the policy requirements such as the Measures for Administration of Securities and Futures Investor Suitability issued by CSRC, the Company has established risk assessment guidelines for various types of financial products to standardise product due diligence, product evaluation and risk assessment and product sale decision. The Company assesses the risk level of the products according to the financial product information available to the Company and establishes the suitability principle of the product and the customer's risk tolerance.

During the sales process, the Company introduces the relevant information of the financial product in a comprehensive, fair and accurate manner, and eliminates exaggerated or false publicity and other methods that mislead investors. Also, we fully reveal the risks of the product to ensure that the customer is able to understand the true and complete product information and that the right products are offered to the right customers, so as to protect the legitimate interests of investors.

4. 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 laws and regulations such as the Advertising Law of the PRC and the Trademark Law of the PRC, and requires its product promotion and publicity to comply with relevant regulations.

The Company attaches great importance to the management of its intellectual property, and also fully respects and avoid infringing the intellectual property rights related to intellectual work results from other persons. In its business development, operation and management, the Company pays attention to the prevention of the risks of infringing the intellectual properties of works such as photos, fonts, software and articles in. During the Reporting Period, no major intellectual property infringement occurred.

3. 負責任營銷

公司嚴格按照中國證監會《證券期貨投資者適當性管理辦法》等政策要求，建立各類金融產品風險評估方針，對產品的盡職調查、產品的評價與風險評估、產品的銷售決策等進行規範。根據瞭解的金融產品信息，本公司評估其風險等級，建立產品與客戶風險承受能力的適配原則。

在銷售過程中，公司向投資者全面、公正、準確地介紹金融產品有關信息，杜絕誇大宣傳、虛假宣傳等方式對投資者產生誤導。同時，我們充分揭示產品風險，保證客戶能夠瞭解真實、完整的產品信息，確保將適當的產品推介紹給適當的客戶，維護投資者的合法權益。

4. 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應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》等法律法規，要求產品推介與宣傳均符合相關規定。

公司十分重視自身的知識產權管理工作，也充分尊重並避免侵犯他人智力勞動成果相關的知識產權。公司在業務發展和經營管理中，注重防範圖片、字體、軟件及文章等作品的知識產權侵權風險。報告期內，公司未發生重大知識產權侵權事件。



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(II) Enhancing high quality services

During the Reporting Period, the Company strengthened the integration of investment and research capabilities, provided rich and diversified products, handled customer complaints properly and comprehensively enhanced customer experience through enhancing online service capabilities.

1. Internet financial services

The Company presses 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 Company's innovation and 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.

During the Reporting Period, the Company made effort to complete the profit model by online-offline joint development. The customer expansion business model through operating outlets is progressively changed into internet-based customer service model.

(二) 提供高質量服務

報告期內，公司通過提升線上服務能力，強化投研一體化建設，提供豐富多樣的產品以及妥善處理客戶投訴等，全面提高客戶體驗。

1. 互聯網金融服務

按照行業發展趨勢和公司創新轉型的要求，本公司堅持技術領先策略、做好信息技術系統的中長期規劃。公司依託IT系統，優化和再造業務流程，建立了溝通順暢、銜接有序、貼近客戶的高效服務體系。

報告期內，公司努力完善線上、線下共同發展的盈利模式，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。



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Case: Providing diversified financial services through the “Holly Easy” (弘運通) mobile APP

“Holly Easy” is a mobile phone trading software of Holly Futures. After launching, “Holly Easy” runs stably and its functions are gradually optimized.

It provides integrated and diversified financial services to customers including online account opening, futures and options trading and professional information. “Holly Easy” simplifies the process of customer account opening, and provides professional information and guidance to customers anytime, anywhere, greatly enhancing the convenience of financial management.

案例：「弘運通」手機交易應用程式提供多元金融服務

「弘運通」是弘業期貨旗下手機交易軟件。自上線後，「弘運通」穩定運行，功能逐步優化。

向客戶提供集在線開戶、期貨及期權交易、專業資訊為一體的多樣化金融服務。「弘運通」簡化了客戶的開戶流程，並為客戶隨時隨地提供專業資訊與指導，極大地提升了金融理財的便利性。



2. Integration of investment and research capabilities

Upholding the goal of “seller research approach based on buyer’s mindset”, the Company builds up a macro research system and develops a buyer and seller win-win approach to strengthen its core competence.

2. 投研一體化建設

公司始終以「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。



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In order to strengthen the enterprise's research and development capabilities and create a good atmosphere of "research creates value", the Company has established a research and development resources sharing platform, and regularly updates daily and special research results on the Company's website. At the same time, the Company also provides 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.

3. Rich and diversified products

With its professional advantages, the Company increases customer communication and meets the differentiated needs of different types of investors through the following measures.

- The Company has established various channels such as telephone, Company's website and WeChat official account to communicate with customers and provide customized financial solutions to them.
- Catering for investors with different risk appetites, the Company has launched relatively stable and relatively "high risk and high returns" asset management plans.
- The Company places importance on nurturing the fund managers and continuously takes the initiative to improve the asset management level of the management team. It puts more effort on the research and exploration on various strategies, especially new products and new strategies.
- The Company 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.
- The Company keeps on exploring and issuing of CTA, FOF, fixed income+, arbitrage enhancement and other products, and focuses on establishing a risk management system suitable for these products, so as to create value for the customers.

為增強企業研發實力、營造「研究創造價值」的良好氛圍，公司建立了研發資源共享平台，並定期在公司網站上更新日常及專題研究成果。同時，公司還通過互聯網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。

3. 豐富多樣的產品

公司結合自身專業優勢，增加客戶溝通，通過下述措施，滿足不同類型投資者的差異化需求。

- 公司建立了電話、公司自設網站、微信公眾號等多種渠道與客戶進行溝通，為客戶定制個性化的理財方案。
- 針對不同風險偏好的投資者，公司推出了相對穩健和相對「高風險、高收益」的資產管理計劃。
- 公司注重培育基金經理，不斷提升主動管理團隊的資產管理水平，加大對各策略特別是新產品、新策略的研究挖掘。
- 公司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。
- 公司繼續探索開展CTA、FOF、固收+、套利增強等產品的發行，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。

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4. Properly handle customer complaints

In order to protect the legitimate rights and interests of investors, the Company formulated the Measures for Administration of Customer Complaint Handling of Holly Futures Co., Ltd. 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. The Measures clarify the division of responsibilities of customer complaint handling, complaint handling mechanism, emergency mechanism and responsibility investigation.

The Company implements the principle of unified leadership, hierarchical responsibility and counterpart handling for the management of customer complaints. The person-in-charge of each functional department and business department of the Company is the first person responsible for the handling of customer complaints in his department, and the Brokerage Business Management Department is the customer complaint receiving department of the Company and is responsible for the acceptance, distribution, feedback and return visit of customer complaints. Customer complaints are divided into major complaints and general complaints. 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. For major complaints, the Brokerage Business Management Department will communicate with the business department which handles the customer's account based on the written complaint material, and then transfers the case to the Legal and Compliance Risk Control Department in a timely manner, and their comments and investigation results will be sent to the customer.

The Company has established a team for pursuing responsibility of non-compliance operation and investment, and the office of the team is located in the Compliance Risk Control Department. After investigation, if a 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 authorities after confirmation from the relevant department leaders and the Chief Risk Officer.

To ensure open channels for customer complaint, the Company has established channels such as complaint hotline, email box and petition, which can be found in the Company's website. During the Reporting Period, the Company made return visits for 11 customer complaints and the results were fed back to the regulatory authorities.

4. 妥善處理客戶投訴

為保障投資者合法權益，公司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的要求，制定了《弘業期貨有限公司客戶投訴處理辦法》。該辦法明確了處理客戶投訴的職責分工、處理機制、應急機制以及責任調查等內容。

本公司對客戶投訴管理工作實行統一領導、分級負責、對口承辦的原則。公司各職能部門、業務部門負責人為本部門客戶投訴處理工作的第一責任人，經紀業務管理部為公司客戶投訴受理部門，負責客戶投訴的受理、分發、反饋和回訪工作。客戶投訴分為重大投訴和一般投訴，相關部門在接到投訴後的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。對於重大投訴，經紀業務管理部根據書面投訴材料與客戶所在業務部門溝通，及時將客戶投訴移交合規風控部，並將其處理意見及結果反饋給客戶。

公司成立違規經營投資責任追究工作小組，工作小組辦公室設在合規風控部。經調查，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。

為保障客戶投訴渠道暢通，公司設立了投訴熱線、電子郵件、信訪等投資途徑，並通過公司網站公示。報告期內，公司對11個客戶投訴進行回訪，並將結果反饋至監管機構。



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5. Customer callback service

In order to protect the legitimate rights and interests of investors, the Company formulated the Customer Visit System of Holly Futures Co., Ltd. according to relevant requirements of the Code of Conduct for Futures Practitioners (Revised) and the Measures for Administration of Securities and Futures Investor Suitability, to strengthen the management of customer visits. The Company adheres to the principle of maintaining the separation of the customer visit department and the business departments. Visits will be made to new account customers, loss-making customers, closure customers, call-in order customers and other special customers, so as to discover potential risks of existing customers and take measures to protect the interests of customers and the Company.

(III) Investor education

For protection of the legal rights and interests of investors, the Company continues to improve customer information and established a customer classification system based on both objective factor of the investors' ability and subjective factor of its willingness. The Company divides its customers into professional investors and ordinary investors according to the professional judgment ability of the investors. The Company carries out risk assessment for ordinary investors, classifies the customers according to the risk tolerance assessment results. Investors' risk awareness is further strengthened by video online review, visit and communication and other means.

To guide investors to participate in securities investment rationally, the Company further implements the Guidelines for Futures Investors Education of Holly Futures, the Futures Investor School Implementation Plan of Holly Futures and the Education and Protection of Futures Investors of Holly Futures, and promotes investor education and protection by combining online and offline methods.

5. 客戶回訪服務

為保護投資者的合法權益，根據《期貨從業人員執業行為準則(修訂)》和《證券期貨投資者適當性管理辦法》的有關規定，公司制定《弘業期貨股份有限公司客戶回訪制度》加強公司的客戶回訪工作管理。公司堅持回訪部門與業務部門保持相對獨立的原則，對新開戶客戶、虧損客戶、結清客戶、電話下單及其他專項客戶進行回訪，及時發現客戶潛在的各種風險並採取措施，保護客戶和公司利益。

(三) 投資者教育

為切實保護投資者合法權益，公司持續完善客戶信息並建立了以投資者客觀能力和主觀意願為根據的客戶分類制度。根據投資者的專業判斷能力，公司將客戶分為專業投資者和普通投資者。普通投資者需進行風險測評，本公司根據風險承受能力評估結果進行分類分級，通過視頻連線審核、回訪溝通等方式進一步強化投資者的「風險意識」。

為引導投資者理性參與證券投資，公司進一步貫徹落實《弘業期貨投資者教育工作指引》《弘業期貨投資者學校實施方案》《弘業期貨投資者教育和保護工作方案》等，通過線上線下相結合的方式做好投資者教育和保護工作。

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Through WeChat official account, official video account, Douyin account, etc., the Company continues to build a new media matrix that is interconnected, rich in content and with strong originality, so as to strengthen the investor education. The Company has developed original series of investor education videos such as "Futures Lessons", "Holly Weekly Broadcast", "Futures Cold Noodles", "Futures Detective" and "Finance and Economics Know-how". Among which, a number of works won the "Outstanding Investor Education Work Award" in the "2021 Jiangsu Futures Industry Investor Education Outstanding Works Collection and Selection Activity".

In addition, the company has also opened a live class channel in the video account and opened the live booking and sharing function to facilitate investors to watch the live class. The company also holds regular "Futures Salon Live" to familiarize investors with the basics of futures trading and help them choose the right investment products and trading methods for themselves.

公司通過微信公眾號、官方視頻號、抖音號等，持續深入打造互聯互通、內容豐富、原創性強的新媒體矩陣，以加強投資者的教育工作。公司開發《期貨小科堂》《弘業一周播報》《期冷面》《期貨小偵探》《財經有門道》等原創系列投教視頻。其中，多個作品在「2021江蘇省期貨行業投資者教育優秀作品徵集評選活動」中榮獲「優秀投教作品獎」。

此外，公司還在視頻號中開闢直播課通道，開啟直播預約與分享功能，方便投資者觀看直播課。公司還定期舉辦「期貨沙龍直播」，帶領投資者熟悉期貨交易的基礎知識，幫助投資者選擇投資品種及適合自己的交易方法。

Case: Full cooperation and carrying out of National Futures Real Trading Competition

In order to enhance investors' knowledge of futures investment, establish rational investment concepts and improve their investment skills, the Company, as the designated dealer of the 15th National Futures Real Trading Competition, mobilized all departments of the Company to fully cooperate with the competition, and more than 1,000 customers enthusiastically applied for the competition. In addition, the Company was honoured with the Outstanding Institution Services Award by the organizing committee of the 15th National Futures Real Trading Competition.

案例：全力配合開展全國期貨實盤交易大賽

為增強投資者的期貨投資知識、樹立理性投資理念、提高投資者投資的實踐技巧，公司作為第十五屆全國期貨實盤交易大賽的指定交易商，動員公司各部門全力配合此次大賽，共有千餘位客戶踴躍報名參賽。本公司也被第十五屆全國期貨實盤交易大賽組委會授予「優秀機構服務獎」的稱號。



IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES 四、信賴共贏，優化客戶服務

Case: Establishing the Investor Education Base jointly with the Business School of Hohai University

For the realisation of “Building a jointly built, jointly managed and jointly sharing platform that integrates corporate practice, academic research and professional teacher guidance”, the Company established the Investor Education Base jointly with the Business School of Hohai University, according to the Guidance to Accelerated Construction of Securities and Futures Investor Education Bases published by CSRC. The Company has carried out featured investor education activities through the Base. On 6 June 2021, the Company successfully organized the “Looking Ahead – Winning Together – Macroeconomic Situation and Crude Oil Symposium” in Changzhou. Around 100 MBA students of Hohai University from various industries participated the Symposium, which has turned a new chapter for the investor education of Holly Futures in school-enterprise cooperation.

案例：與河海大學商學院共同建立「投資者教育基地」

為實現「搭建集企業實踐、學術研究和專業教師指導於一體的共建、共管、共享平台」，根據中國證監會《關於加強證券期貨投資者教育基地建設的指導意見》，公司與河海大學商學院共同設立「投資者教育基地」。依託基地，公司開展了富有特色的投資者教育活動。2021年6月6日，公司在常州成功舉辦「高瞻『源』矚•共進共贏—宏觀經濟形勢暨原油專題研討會」。來自各行各業的河海大學工商管理碩士學員近百人參加了本次大會，打開了弘業期貨投資者教育在校企合作中的新局面。



V. Empowering talent, helping staff development

五、賦能於人，助力員工成長



Talent is the foundation of the Company's survival and development. The Company is always committed to establishing diversified talent recruitment channels, creating a competitive talent development environment, and making progress on the road to creating a fair and just, diversified and harmonious work environment.

(I) Equality and diversity

1. Equal employment

The Company strictly abides by national laws and regulations, and has formulated the Recruitment Management Measures of Holly Futures Co., Ltd.. The Company provides equal employment opportunities to workers, firmly opposes employment discrimination, and explicitly prohibits the employment of child labour and forced labour.

The Company has established a multi-layer and multi-dimension recruitment platform with "social recruitment – campus recruitment – online recruitment" to constantly introduce the necessary personnel for the Company. The Company hires employees by open recruitment, fair competition, and strict assessment to select the right candidates.

2. Equal development

In the course of introducing and cultivating staff, the Company adheres to the principle of "equal employment, fair promotion" and firmly rejects 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. The Company has a complete promotion system and promotion mechanism, with staff promotion linked to the performance appraisal. The Company conducts 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.

人才是企業賴以生存發展的重要資源。公司始終致力於建立多元化的人才招聘渠道，打造具有競爭力的人才發展環境，在營造公平公正、多元和諧的工作環境的道路上不斷進步。

(一) 平等多元

1. 平等招聘

公司嚴格遵守國家法律法規，制定了《弘業期貨股份有限公司招聘錄用管理辦法》，向勞動者提供平等的就業機會，堅決反對就業歧視，明確禁止僱傭童工和強制勞動。

公司搭建了「社會招聘－校園招聘－網絡招聘」的多層次、立體式招聘平台，為公司持續引進所需人才。公司採取公開招聘、公平競爭、嚴格考核的辦法錄用員工，擇優錄取。

2. 平等發展

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，堅決抵制以年齡、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。為此，公司設置了完備的晉陞體系和晉陞制度，令員工晉陞和績效考核相掛鉤。公司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。

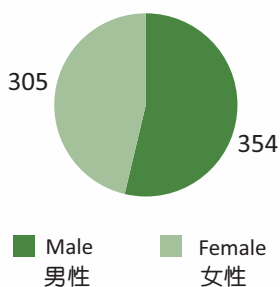


V. Empowering talent, helping staff development 五、賦能於人，助力員工成長

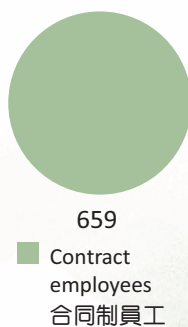
As of 31 December 2021, the total number of employees of the Company was 659, all of them are contract employees, of which 305 were female employees, accounting for approximately 46.3%, and 354 were male employees, accounting for approximately 53.7%, including 4 veterans. In the Reporting Period, total workforce by gender, employment type, age, region and rank are as follows:

截至2021年12月31日，本公司的員工總數為659人，均為合同制員工。其中女性僱員為305人，（佔比約46.3%），男性僱員為354人（佔比約53.7%），其中包括4名為退伍軍人。報告期內，按性別、僱傭類型、年齡、地域、職級劃分的僱員總數如下所示：

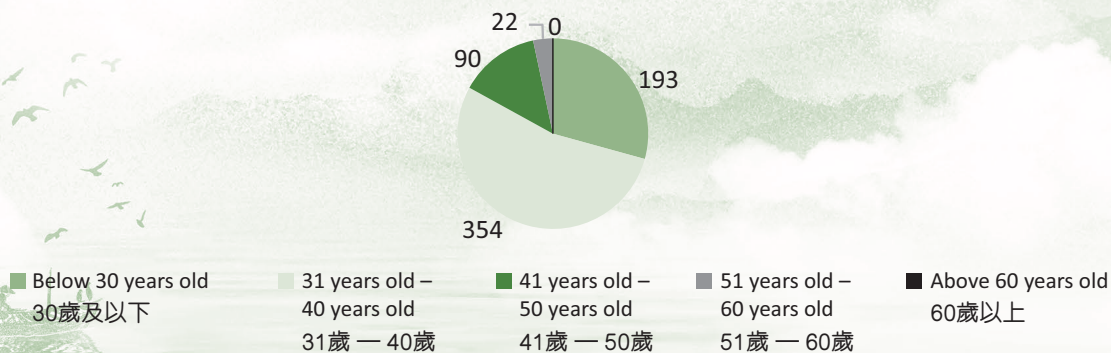
Total workforce – by gender
僱傭總數—按性別劃分



Total workforce – by employment type
僱傭總數—按僱傭類型劃分



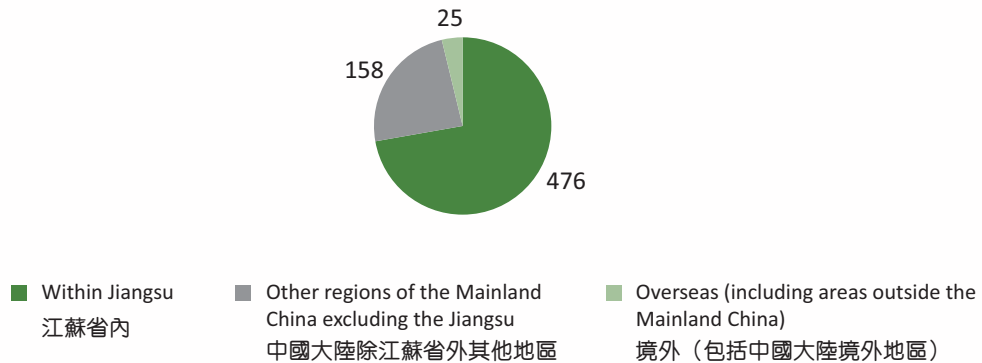
Total workforce – by age
僱傭總數—按年齡劃分



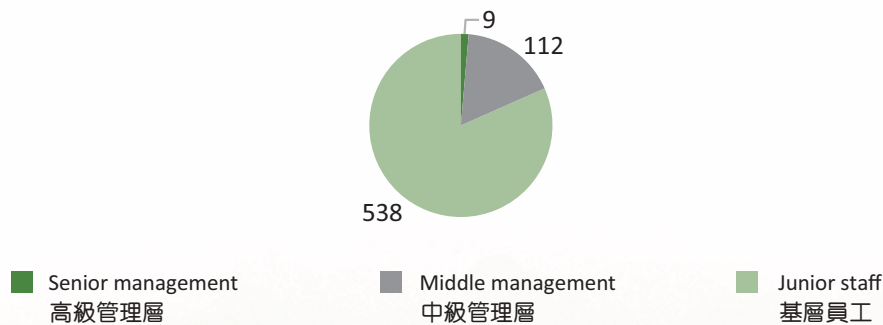
V. Empowering talent, helping staff development 五、賦能於人，助力員工成長



Total workforce – by region
僱傭總數—按地域劃分



Total workforce – by rank
僱傭總數—按職級劃分



(II) Protection of rights and interests

1. Employees' rights and interests

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.

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.

(二) 權益保障

1. 員工權益

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，公司與每位員工簽訂了勞動合同，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。



V. Empowering talent, helping staff development 五、賦能於人，助力員工成長

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.

The Company formulated the labour policies such as the Employee Handbook. In the process of recruitment, the identity of employees are verified and the employment of forced labour and child labour are strictly prohibited. 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, there was no employment of child labour and forced labour by the Group.

In accordance with the requirements of the Labour Law of the PRC and relevant laws, the Company strictly implemented statutory holiday and day-off systems. 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 contributes to the employees' work-life balance with a healthy body and delighted mood.

2. Employee communication

In order to effectively protect employees' legitimate rights and interests in exercising democratic rights, participating in business decision-making, and implementing democratic management, the Company has set up the "Reform and Innovation Suggestion Box" as an important channel for junior staff to directly communicate with senior management and to encourage Employees to actively advise on and supervise business development and internal management. 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.

公司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。

公司訂立了《員工手冊》等勞工政策，在聘用過程中對員工身份進行核實，嚴禁聘用強制勞工及童工。此外，公司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。本報告期內，本集團不存在使用童工和強制勞工的情況。

按照《中華人民共和國勞動法》及相關法律規定，公司嚴格執行法定假日及休假制度。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，員工能夠在工作之餘得到休息和放鬆，以健康的體魄、愉悅的心情投入工作和生活。

2. 員工溝通

為有效保障員工行使民主權利、參與經營決策、實行民主管理的合法權益，公司開設了「改革創新建議箱」作為基層員工與高級管理層直接溝通的重要渠道，以鼓勵員工對業務發展和內部管理積極諫言、共同監督。根據「限時辦結」原則，公司對反映較為集中的問題進行及時地反饋和處理。同時，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和辦法。

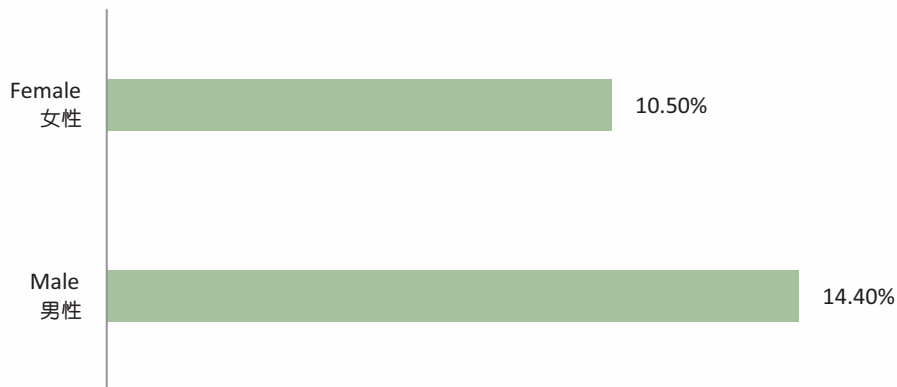
V. Empowering talent, helping staff development 五、賦能於人，助力員工成長



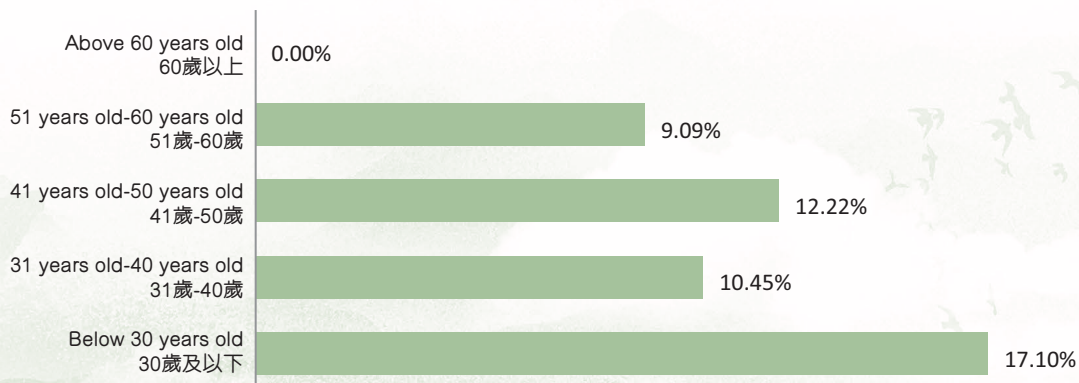
The Company pays attention to two-way effective communication with employees and carries out exit interviews with all resigned employees, so as to know more about the internal and external factors for their resignation, and endeavours to radically improve potential management problems, enhancing employee satisfaction and helping employees to develop together with the Company. During the Reporting Period, the employee turnover rate was 12.59%, and the turnover rate by gender, age and region are as follows:

公司注重與員工的雙向有效溝通，針對所有離職員工開展離職前面談，更多地瞭解員工離職的內外部影響因素，致力於從根本上改善潛在的管理問題，提升員工的滿意度，助力員工與企業共同發展。報告期內，員工流失率為12.59%，按性別、按年齡、按地域劃分的員工流失率如下所示：

Employee turnover rate – by gender
員工流失率—按性別劃分



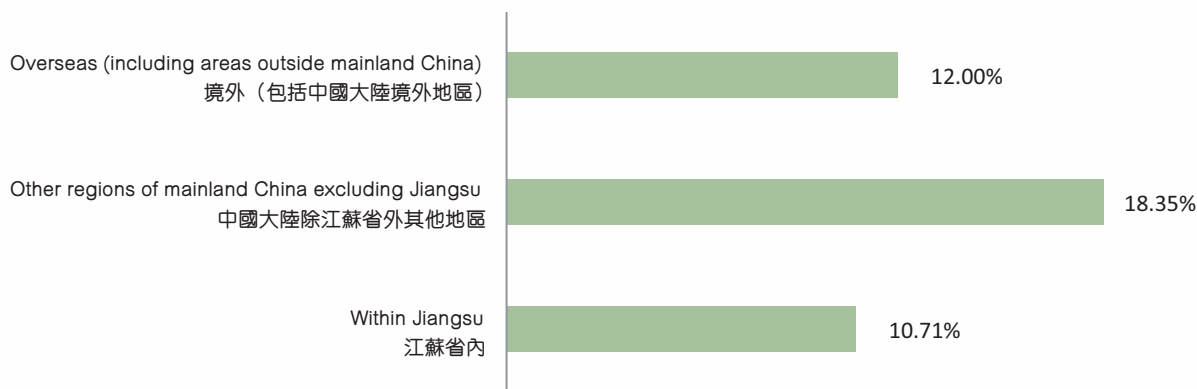
Employee turnover rate – by age
員工流失率—按年齡劃分





V. Empowering talent, helping staff development 五、賦能於人，助力員工成長

Employee turnover rate – by region
員工流失率—按地域劃分



Note: Employee turnover rate = number of employees in a particular group who left during the year/total number of employees in that group at the end of the Reporting Period*100%

註：員工流失率=報告當年特定群組離職人數(人)/報告期末該群組員工總人數(人)*100%

3. Staff development

The Company pays close attention to talent development, and attaches great importance to the appreciation of its employee human capital, and develops various training plans for employees at all levels in order to constantly improve the professional ability and quality of its employees, cultivate the ability of employees to adapt to the future development needs of the futures market, and help improve the organization's performance and employees' personal growth.

The Company focused on enhancing the leadership and management capability of its staff, and 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.

3. 員工發展

公司密切關注人才發展，高度重視員工人力資本增值。為不斷提升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，培育員工適應未來期貨市場發展需要的能力，助力組織績效提升和員工個人成長。

公司注重提高員工的領導力和管理能力，針對經營管理人員，重點開展了提高證券期貨行業發展認知、管理理論、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、服務能力等內容的培訓。同時，公司鼓勵員工通過自學、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、香港期貨從業資格等的員工給予獎勵。



V. Empowering talent, helping staff development

五、賦能於人，助力員工成長



In order to expand the coverage of its employee training, the Company uses online learning platforms such as the Internet, WeChat and videos to enhance online learning experience of the employees and further improved the all-round “online + offline” training mechanism. The Company organized a series of online and offline training activities such as “Commodities Risk Management and Futures Accounting Practice” and “DCE•2021 World Investor Week”, vigorously meeting the development needs of employees. In 2021, the Company’s total training expenses was RMB106,900, its overall training coverage, and the percentages of trained employees by gender and by employment type are all 100%, and the average training hours of employees was 43.77 hours. The trainings fully improved the comprehensive ability and performance of employees in leadership, management, professional and other aspects.

為持續拓寬員工培訓覆蓋面，公司運用網絡、微信、視頻等網絡學習平台提升員工的線上學習體驗，進一步完善「線下+線上」全方位的培訓機制。公司舉辦了「大宗商品風險管理及期貨會計實務」「DCE•2021年世界投資者周」等一系列線上線下的培訓活動，大力滿足員工的發展需要。2021年，公司累計投入培訓費用人民幣10.69萬元，公司整體培訓覆蓋率、按性別及僱員類別劃分的受訓百分比均為100%，員工人均受訓小時數為43.77小時，充分提高了員工在領導、管理、專業等方面的綜合能力和業績。

Case: Organised and conducted a beginner training course on stock options strategy

In order to improve the professional standard of the Company’s options practitioners, promote the rapid development of options business, and better serve customers, the Company organised and conducted a beginner training course on stock options strategy of Shanghai Futures Exchange. The training was provided to internal employees of the Company and adopted the “online + offline” method, with more than 200 employees participated. The training covered basic knowledge of options, one-leg and combination option strategies, options exercise and risk control, etc. After the course, the SSE junior investment advisor certificate examination was conducted, laying a solid foundation for the Company to better serve customers.

案例：組織開展上期所股票期權策略初級培訓班

為提高公司期權從業人員專業水平，推動期權業務快速發展，更好地服務客戶，公司組織開展上海期貨交易所股票期權策略初級培訓班。此次培訓面向公司內部員工，採用「線上+線下」的方式，200餘名員工參加，內容包含期權基礎知識、期權單腿及多種組合策略，期權行權及風險控制等，課後進行上交所初級投顧證書考試，為公司更好服務客戶打下穩固的基礎。





V. Empowering talent, helping staff development 五、賦能於人，助力員工成長

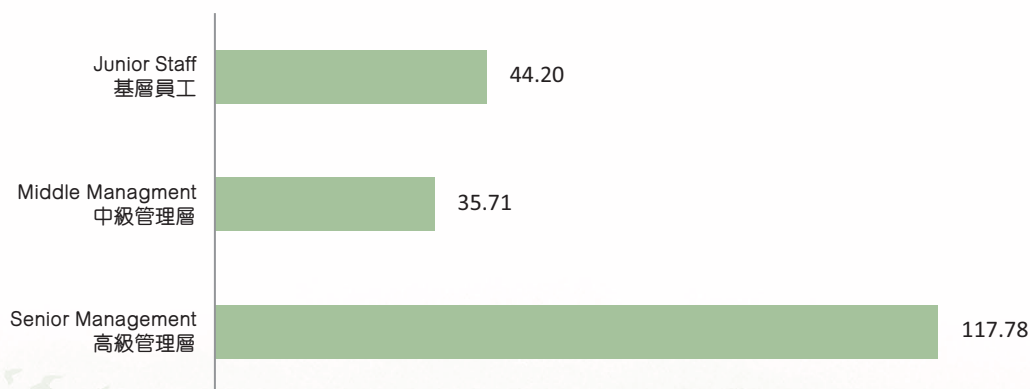
Average training hours of employees – by gender

員工受訓平均時數-按性別劃分



Average training hours of employees – by rank

員工受訓平均時數-按職級劃分



Note: Employee training coverage (%) = number of employees trained during the Reporting Period/total number of employees of that category * 100%

註：員工培訓覆蓋率(%)=報告期內參加過培訓的人員數目(人)／報告期內該類別員工總人數(人)*100%

Average training hours of employees (hour) = total training hours provided to that category employees (hour)/total number of employees of that category

員工受訓平均時數(小時)=提供給該類別員工的培訓總小時數(小時)／該類別員工總數(人)

V. Empowering talent, helping staff development 五、賦能於人，助力員工成長



(III) Healthy work

1. Work Safety

The Company is always committed to creating a safety, healthy and warm working environment for its employees, and takes the protection of employees' personal safety as an important goal. The Company actively promoted transformation and innovation in safety management and strengthens the safety awareness of employees. The Company regularly carried out on-site inspection of security and fire safety, rectified safety hazards in a timely manner, put in place safety warnings and rehearsal, and participated in fire safety and emergency response drills of the Group to improve its emergency command and control capability.

During the Reporting Period, the Company had 1 work-related injury which was due to a traffic accident occurring when the employee was on the way back from work, and the lost days due to work injury was 52 days. There was no work-related fatalities occurred in the past three years.

Case: Carried out epidemic prevention and control and work safety inspections and increase efforts in safety management

In order to strengthen safety management, the Company launched an extensive epidemic prevention and control and work safety inspection during the high-incidence period of safety production accidents around year end and the beginning of a year, focusing on the safety hazards in the machine room, control room and other office areas, checking the maintenance of heptafluoropropane fire extinguishers, and spot-checking the safety skills of employees. The inspection enhanced the work safety capability and awareness of employees.



(三) 健康工作

1. 安全生產

公司始終致力於為員工創造安全、健康、溫馨的辦公環境，把保障員工人身安全作為重要目標。公司積極推進安全管理的轉型創新，強化員工的安全意識。公司定期開展安全保衛和消防安全的現場檢查，及時整改安全隱患，做好安全預警、預演，參加集團消防安防應急處置演練，以提高應急指揮和險情處置能力。

報告期內，公司發生1起工傷事故，為員工下班途中發生交通事故導致，因工傷損失工作日數為52天。過去三年均未發生因公亡故的事件。

案例：開展疫情防控安全生產檢查，加大安全管理力度

為切實加大安全管理力度，公司在歲末年初安全生產事故的高發期開展疫情防控及安全生產大檢查，重點察看機房、監控室及其他辦公區域的安全隱患，瞭解七氟丙烷滅火器的維保情況，現場抽查員工安全技能掌握情況。此次檢查提升了員工的安全生產能力與意識。



V. Empowering talent, helping staff development 五、賦能於人，助力員工成長

2. Physical and mental health

As most of our employees are office workers and work for long hours at their desks, the Company organised regular health checks for employees and arranged relevant seminars related to “awareness of health and safety in the office” from time to time. The Company encouraged employees to do more exercises after sitting for long hours. Employees are reminded to put the computer monitors, keyboards and chairs in proper positions in order to prevent long-term occupational health problems.

In addition to health checks, the Company paid attention to the psychological health of employees, helped them ease their emotions and release pressure in a timely manner. At the same time, giving full play to the role of the labour union, the Company organised 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. In 2021, there were no violations related to employee occupational health and safety.

2. 身心健康

由於我司大部分員工都為辦公室工作人員，需在辦公桌上長時間工作。故此公司定期組織員工進行健康檢查，並且不定期安排「辦公室健康及安全意識」相關講座。公司鼓勵員工在久坐之後多做運動，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。

公司在健康體檢的基礎上，重視員工心理健康問題並及時疏導情緒、釋放壓力。同時，公司充分發揮工會的力量，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，激發員工對工作和生活的熱情，培養積極向上的生活態度。2021年，未發生員工職業健康及安全相關的違規事件。

Case: Organising a seminar on CPR rescue

The Company invited deputy chief physician of Gulou Hospital to give a seminar on the knowledge of cardiopulmonary resuscitation rescue in the Company, and the participants included our safety officers and over 60 employees. The seminar explained the pathogenesis of cardiovascular disease, prevention and various resuscitation measures, and rehearsed the scene of cardiopulmonary resuscitation after the patient suddenly collapsed and stopped breathing. The seminar enhanced the medical knowledge of the employees and their ability to race against time and save lives in times of crisis.

案例：組織開展心肺復甦急救知識講座

公司特邀鼓樓醫院副主任醫師至公司開展心肺復甦急救知識講座，安全員及60多名員工參加。講座對心腦血管疾病發病原理、預防及各種搶救措施進行講解，並現場演練病人突然倒地停止呼吸後進行心肺復甦搶救的場景。本次講座，提升了員工的醫療知識水平，和在危急時與時間賽跑、搶救生命的能力。



V. Empowering talent, helping staff development 五、賦能於人，助力員工成長



Case: Organising the “Aerobic Cycling and Working Out” of Holly Futures

In order to further promote the spirit of our corporate culture and enhance the physical quality of the employees, the Company launched the activity of “Aerobic Cycling and Working Out” in the forest park of Santai Mountain in Suqian City. Throughout the activity, the employees actively participated and devoted themselves to it, giving full play to the spirit of solidarity and sports, not only exercising their bodies, but also greatly enhancing the cohesion of the Company.

案例：弘業期貨開展「有氧騎行·運動健身」

為進一步弘揚公司企業文化精神，增強員工身體素質，公司在宿遷市三台山森林公園開展「有氧騎行·運動健身」的活動。整個活動中，員工積極參與，全身心投入，充分發揮了團結互助的體育精神，不僅鍛煉了身體，還極大地增進公司的凝聚力。





VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園

While focusing on creating value for its customers, Holly Futures, led by Party building, actively explores the futures market, strives to provide high quality services for the real economy and escorts the development of enterprises. Meanwhile, the Company continued to use the “insurance + futures” professional tools in in-depth promotion of targeted poverty alleviation, and won ten honours including the Best Futures Company in China, Top 10 Poverty Alleviation Enterprises, Junding Award for Anti-epidemic Pioneer Futures Companies in China, Junding Award for Outstanding Poverty Alleviation Companies in China, etc.

(I) Develop together with partners

In order to promote the common development of the whole industry chain, the Company actively strengthens the selection, evaluation and management of suppliers, and actively organizes industry exchange meetings to enhance the common sustainable development of the upstream and downstream of the industry.

1. Supplier management

The Company formulated the Procurement Management Measures of Holly Futures (Trial) and the Fixed Assets Management Measures of Holly Futures to strengthen the standardisation of procurement management, reinforce suppliers' performance management and reduce the procurement risks of the Company.

In the process of procurement, the Company insists on the principle of open, fair and just, and makes its procurement through asking for market price, bidding, competitive negotiation, single source procurement, etc., and constantly improves the standardisation and efficiency of procurement projects. In order to enhance suppliers' awareness of performing their responsibilities, the Company screens, evaluates and regularly checks the qualifications of suppliers, and discontinues to cooperate with suppliers with poor ratings.

弘業期貨在注重為客戶創造價值的同時，以黨建為引領，積極探索期貨市場，努力為實體經濟提供高質量服務，護航企業發展。同時，公司不斷踐行公益事業，運用「保險+期貨」專業工具在精準扶貧上深耕不輟，獲得「中國最佳期貨公司」「十佳扶貧企業」「中國抗疫先鋒期貨公司君鼎獎」「中國優秀扶貧期貨公司君鼎獎」等數十項榮譽。

(一) 協同夥伴發展

為促進全產業鏈的共同發展，公司積極加強對供應商的篩選、評估和管理工作，並積極組織召開行業交流會議，努力提升產業上下游的共同可持續發展。

1. 供應商管理

公司制定了《弘業期貨採購管理辦法(試行)》《弘業期貨固定資產管理辦法》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，進而降低公司採購風險。

在公司採購過程中，本公司堅持公開、公平、公正的原則，通過市場詢價、招標、競爭性談判、單一來源等方式進行採購，不斷提高採購項目規範程度及採購效益。為提高供應商的履責意識，公司對合作的供應商資質進行篩選、評估和定期檢查，對評分不良的供應商不予繼續合作。

VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園



The Company also pays great attention to checking, identifying, reviewing and enhancing the ESG performance of the suppliers in their operation. As of the end of 2021, the Group has a total of 81 IT and IT equipment suppliers, and the regional distribution of suppliers is indicated below. During the Reporting Period, all suppliers have passed the Company's annual review. The company has not found any significant actual and potential negative impact or violation of business ethics, environmental protection and labour standards by any supplier.

公司還十分注重排查、識別、評審及提高供應商運營過程中的環境及社會責任表現。截至2021年末，本集團共有81家資訊科技及資訊科技設備供應商，供應商地區分佈情況如下所示。報告期內，所有供應商均已通過本公司年度審核，公司未發現有任何供應商對商業道德、環境保護、勞工準則造成任何重大實際及潛在的負面影響或違規事件。

Social risk management

- adding safety management requirements to supplier procurement requirements

社會風險管理

- 在採購需求中增加對供應商的安全管理要求

- requiring suppliers to provide proof of social security for key project personnel

- 要求供應商提供主要項目人員的社保證明

Environmental risk management

- under the same conditions such as meeting procurement requirements, quality and service standards, priority is given to selecting energy-saving and environmentally friendly products

環境風險管理

- 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

- 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

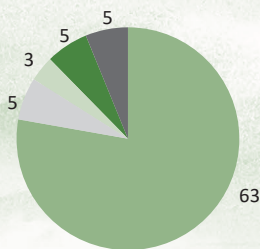
- 對環保有要求的採購需求中，要求供應商具備ISO14001管理體系認證、中國環境標誌產品認證證書等相關資質，並在採購評分中對資質證書的提供賦予分值

Enhancement and social responsibility performance

- 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

提高及社會責任表現

- 通過核算採購總擁有成本等，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



■ 長江三角洲地區 Yangtze River Delta
■ 珠江三角洲地區 Pearl River Delta
■ 環渤海地區 Pan Bohai Rim
■ 中部地區 Central
■ 東北地區 Northeast



VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園

2. Promote peer exchanges

In order to establish a smooth and efficient communication mechanism between financial institutions and enhance their cooperation and exchanges, the Company holds seminars on financial institution cooperation to promote the improvement of services of the entire industry.

Case: Organised and held seminars on financial institution cooperation to promote peer exchanges

With the full support of the finance branch of the alumni association of Nanjing Audit University, the Company organised and held seminars on financial institution cooperation. The Company introduced the asset management business and international business segments. Through the meeting and exchanges, the participants gained a new understanding of the futures industry and a more comprehensive understanding of the Company's domestic and international, exchange traded and OTC, futures and options, and asset management businesses. The meeting also discussed potential cooperation opportunities in innovative futures business between financial institutions, and indicated that we will strive to hold more high-quality exchange activities to better serve the Company's development strategy of transforming into an integrated professional investment banking business provider.



2. 促進同業交流

為建立金融機構間順暢、高效的沟通交流機制，增進各金融機構的合作交流，公司舉辦金融機構合作研討會等促進整個行業的共同的服務水平提升。

案例：組織召開金融機構合作研討會促進同業交流

在南京審計大學校友會金融分會的大力支持下，公司組織召開金融機構合作研討會。公司對資產管理業務、國際業務板塊進行介紹。通過會議交流，與會代表對期貨行業有了全新的認識，對公司國內國際、場內場外、期貨期權、資產管理等業務有了更全面的瞭解。會議還就期貨創新業務與金融機構之間潛在的合作機會進行討論，並表示將力爭舉辦更多高質量的交流活動，更好地服務於公司向綜合型專業投行業務提供商轉型的發展戰略。

(II) Contribution to the society

The Company always uphold the social responsibility philosophy of "development of the Company and the society together". The Company actively undertakes social responsibility, serves and contributes to the society in aspects such as Party building, paying tax, helping entities, cultivating talents and responsible investment.

(二) 貢獻社會力量

公司始終堅持「公司與社會共同發展」的社會責任理念，在黨建工作、依法納稅、助力實體、人才培養、負責任投資等方面積極承擔社會責任，服務社會、貢獻社會。



VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園



1. Consolidate the foundation of Party building

The Company always puts Party building in the Company's strategic consideration, and gives full play to the role of Party building and corporate culture construction in leading our ideas and uniting our minds. Guided by Xi Jinping's thought of socialism with Chinese characteristics in the new era, the Company has studied and carried out the spirit of the 19th Party Congress in depth, 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, promoting a comprehensive and in-depth implementation of strict governance of the Party.

During the Reporting Period, the Company further strengthened the ideological and political education of Party members and organized a series of Party building and cultural dissemination work. In order to thoroughly implement the important speech of General Secretary Xi Jinping at the mobilization meeting of Party history learning and education, the Company actively mobilized Party members and cadres to learn Party history, understand ideologies, do practical work and make new advances, strengthen ideological weapon and firm ideals and beliefs through learning, and promote the Company to start well and make good progress in the 14th Five-Year Plan period full of energy.

1. 夯實黨建根基

公司始終把黨建工作放在公司戰略的高度，充分發揮黨建和企業文化建設對於引領思想、凝聚人心的作用。公司以習近平新時代中國特色社會主義思想為指導，深入學習貫徹黨的十九大精神，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，推動「從嚴治黨」工作的全面落實。

報告期內，公司進一步強化黨員思想政治教育工作，組織開展一系列黨建文化傳播工作。為深入貫徹習近平總書記在黨史學習教育動員大會上的重要講話，公司積極動員黨員幹部學黨史、悟思想、辦實事、開新局，在學習中強化理論武裝、堅定理想信念，以更加飽滿的精神狀態推動公司「十四五」開好局、起好步。



VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園

Case: Holly Futures successfully organised a singing contest to celebrate the centenary of the Party

In celebrating the 100th anniversary of the Party, the Company successfully organised the singing contest “Singing a new era, taking a new journey” cum award presentation for “Two Excellent and One Advanced”. During the event, the Company presented the awards of “Advanced Grassroots Party Organisation”, “Excellent Party Worker” and “Excellent CPC Member” to recognise advanced workers and motivate those who work hard.

案例：弘業期貨成功舉辦慶祝建黨100週年歌詠比賽

為共賀黨的百年華誕，公司成功舉辦「唱響新時代·邁步新征程」歌詠比賽暨「兩優一先」表彰大會。會上，公司頒發了弘業期貨「先進基層黨組織」「優秀黨務工作者」「優秀共產黨員」獎項，以此表彰先進工作者，激勵實幹爭先者。



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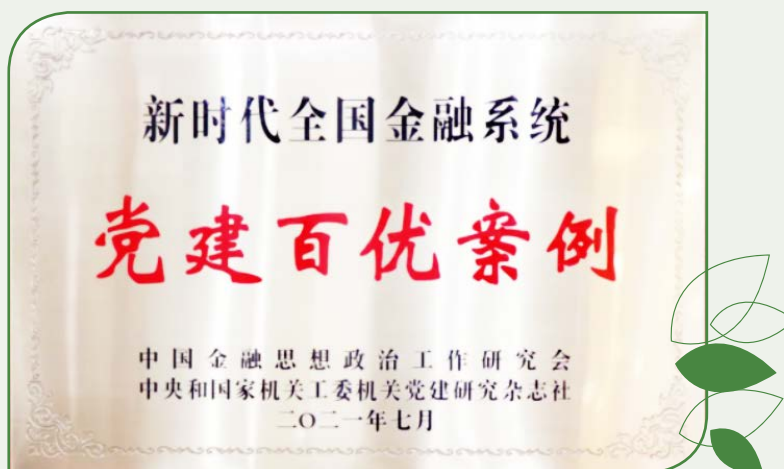


Case: Holly Futures was successfully selected as one of the “Top 100 Excellent Cases of Party Building in the National Financial System of the New Era”

In recent years, taking the opportunity of education under the theme of “Stay True to Our Original Aspiration and Keep Our Mission Firmly in Mind”, the Company has vigorously organised and implemented the “Party Building Led ‘345’ Project of Holly Futures to Make New Advances in the Company’s Development”, concentrating the positive energy of development and promoting the construction of a new development pattern with new achievements in Party building. With its case of party building brand under the “345” Project, the Company was successfully selected as one of the “Top 100 Excellent Cases of Party Building in the National Financial System of the New Era”, being the only futures company receiving this honour.

案例：弘業期貨成功入選「新時代全國金融系統黨建百優案例」

近年來，公司以「不忘初心、牢記使命」等主題教育為契機，大力組織實施《弘業期貨開展黨建引領「345」工程，開創公司發展新局面》，凝聚發展正能量，以黨建工作新成效推動構建新發展格局。憑借「345」工程黨建品牌案例，公司成功入選「新時代全國金融系統黨建百優案例」，成為獲得此項殊榮的唯一一家期貨公司。



The “345” Project includes:

First, strengthening the organization construction and achieving the three 100%, that is achieving 100% coverage rate of Party organizations, achieving 100% participation rate of Party organization activities, and achieving 100% of the grassroots departments to make visit and research.

Second, basing on the leading of pioneers and highlighting the four key approaches, that is taking themed education as a key approach, the “branch construction year” activities as a key approach, establishing advanced models as a key approach, and clean government construction as a key approach.

Third, promoting development with Party building and grasping the five practices, that is grasping the practice of operation and management, grasping the practice of serving the real economy, grasping the practice of cadre team construction, grasping the practice of risk prevention, and grasping the practice of social responsibility.

「345」工程包括：

一是夯實組織建設，做到三個100%。做到黨組織覆蓋率100%，做到黨組織活動參與率100%，做到基層部門走訪調研100%。

二是立足先鋒引領，突出四大抓手。以主題教育為抓手，以「支部建設年」活動為抓手，以樹立先進典型為抓手，以廉政建設為抓手。

三是黨建促進發展，抓好五項實踐。抓好經營管理實踐，抓好服務實體經濟實踐，抓好幹部隊伍建設實踐，抓好風險防範實踐，抓好社會責任實踐。



VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園

2. Insisting on paying tax according to law

The Company always adheres to the concept of paying tax lawfully and honestly, and has declared and paid various taxes truthfully and promptly, actively fulfilling its tax payment responsibility and feeding back to the society. In 2021, Holly Futures paid taxes of RMB66.2419 million in total, representing a year-on-year increase of 199%.

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 2021, Holly Futures contributed RMB369,800 to the Futures Investor Protection Fund, representing a year-on-year increase of 87%.

3. Helping the real economy

The Company seriously implements the financial work plans of the Party Central Committee, takes “serving the real economy, preventing and controlling financial risks, and deepening financial reform” as the fundamental starting point, actively brings into play the professional advantages of futures enterprises, promotes the enhancement of the ability of spot enterprises to use futures derivatives to manage production and operation risks, protecting the steady development of the real economy. During the Reporting Period, the Company undertook and organised the “Stabilizing Enterprises and Assuring Farmers, Escorting Real Economy” – Commodity Risk Management (Henan) Forum, PTA Sub-forum, and organised the “Yushang Lecture’ – Forum on Using the Futures Market in Risk Management of Entities”, discussing the use of futures derivatives in risk management.

2. 堅持依法納稅

公司始終依法納稅、誠信納稅的理念，如實、及時申報繳納各項稅額，積極履行納稅責任、回報社會。2021年，弘業期貨共繳納各項稅金合計人民幣6,624.19萬元，比去年增長199%。

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。2021年，弘業期貨繳納期貨投資者保障基金人民幣36.98萬元，比去年增長87%。

3. 助力實體經濟

公司認真貫徹落實黨中央各項金融工作部署，以「服務實體經濟、防控金融風險、深化金融改革」為根本出發點，積極發揮期貨企業的專業優勢，促進提升現貨企業利用期貨衍生品工具管理生產經營風險的能力，為實體經濟穩健發展保駕護航。報告期內，公司承辦「穩企安農•護航實體」—大宗商品風險管理(河南)論壇PTA分論壇，主辦「『虞商講堂』—實體企業運用期貨市場開展風險管理專題論壇」，針對運用期貨衍生品工具開展風險管理進行探討。

VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園



Case: Organised the “Yushang Lecture’ – Forum on Using the Futures Market in Risk Management of Entities”

Holly Futures organised the “Yushang Lecture’ – Forum on Using the Futures Market in Risk Management of Entities”, which, through the lecturing by industry experts and presentation, exchanges and interaction of local enterprises, has promoted a large number of enterprises in Changshu to further establish risk awareness, understand and master more knowledge of futures and their derivatives. It helped enterprises to find more reasonable and effective methods in the process of business management, effectively avoid the business risks brought by uncertainties, thus ensuring the healthy development of the entities.

案例：舉辦「『虞商講堂』—實體企業運用期貨市場開展風險管理專題論壇」

弘業期貨通過業內專家的傳授，本地企業的現身說法以及交流互動，籌備「『虞商講堂』—實體企業運用期貨市場開展風險管理專題論壇」，推動了常熟地區廣大企業進一步樹立風險意識，瞭解並掌握更多期貨及其衍生品的知識。幫助企業在經營管理過程中尋找更為合理、有效的方法。有效規避不確定性因素帶來的經營風險，從而保障實體企業良性健康的發展。



4. Cultivating futures talents

The Company is deeply aware of the importance of strengthening the training of talents in the futures market, and actively cooperate with universities 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.

4. 培育期貨人才

公司深知加強期貨市場人才培養的重要性，積極與高等院校合作，推動期貨知識納入國民教育體系，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。



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The Company signed the school-enterprise cooperation framework agreement with the Business School of Hohai University. Guided by the long-term cooperation strategy of “production, education and research”, the Company is committed to a jointly built, jointly managed and jointly sharing platform that integrates corporate practice, academic research and professional teacher guidance with the aim of realizing the complementary advantages and resource sharing between financial enterprises and excellent universities, and finally achieve a win-win situation. At the same time, taking “complement each other’s strengths, resource sharing, mutual benefit and win-win, common development” as the principle, cultivating high-quality applied financial talent as the central task, and jointly building a new platform for high-quality school-enterprise cooperation as the main line, the Company integrates deeply into the teaching practices of Hohai University to guide students to establish the awareness of the objective of a financial services entity to serve the development of enterprises and the prosperity of the real economy.

5. Engaging in green finance

The Company integrates corporate social responsibility construction into its development strategy, operation management and various business lines, and vigorously develops green finance to reward shareholders and stakeholders. The Company further serves the real economy, improves service quality, builds a harmonious labour relation and protects 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.

The Company implements the great strategy of “carbon peaking and carbon neutrality” of China, and develops green finance derivative products with its professional capabilities according to customer needs, helping green industries avoid risks and operate stably, contributing our effort to green development.

公司與河海大學商學院簽署校企合作框架協議，以「產、學、研」長期合作戰略為引領，致力於和河海大學共同搭建集企業實踐、學術研究和專業教師指導於一體的共建、共管、共享平台，實現金融企業和優秀大學間的優勢互補、資源共享，最終實現雙贏。同時，以「優勢互補、資源共享、互惠雙贏、共同發展」為原則，以培養應用型高素質金融人才為中心任務，以共同構築高質量校企合作新平台為主線，公司深切融入河海大學的教學實踐中，引導學生們樹立金融服務實體的宗旨意識，助力達成金融服務企業發展、服務實體經濟繁榮的目的。

5. 投身綠色金融

公司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。公司進一步服務實體經濟、提升服務水平、構建和諧的勞動關係。以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。

公司踐行國家實現「碳達峰、碳中和」的偉大戰略，根據客戶需求，通過自身專業能力開發綠色金融衍生產品，幫助綠色產業規避風險、穩健運營，為綠色發展貢獻自己的力量。

VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園



Case: Customised green fuel hedging and arbitrage solution

In order to actively promote the green development of global shipping, low-sulfur fuel oil has replaced high-sulfur fuel oil as the mainstream fuel oil consumed in the marine fuel oil market. According to the operation needs of customers engaging in international fuel oil trade, the Company designed the corresponding low-sulfur fuel oil hedging and arbitrage solution to help customer avoid risk and achieve stable operation.

Based on the overall consideration of factors such as maturity of the current development technology and costs, natural gas is an integral part in achieving green and low-carbon energy transformation. With the background of the upcoming launching of LNG (liquefied natural gas) futures on the Shanghai Futures Exchange, the Company made a field research of the LNG spot market in Nantong to understand the import and domestic trade process and relevant policy requirements, and planned to commence cooperation with local authorities in areas such as establishing a spot trading market, system construction and consultation.

案例：定制綠色燃料的套期保值和套利方案

為積極推動全球航運綠色發展，低硫燃料油已經取代高硫燃料油成為船用油市場主流消費品種。根據從事燃料油國際貿易客戶的經營需求，公司設計了相應的低硫燃料油套期保值和套利方案，幫助客戶規避風險、實現穩健經營。

綜合考慮目前的開發技術成熟度、成本等多種因素，天然氣是實現綠色、低碳能源轉型的關鍵組成部分。在上海期貨交易所LNG(液化天然氣)期貨即將上市的背景下，公司針對南通LNG現貨市場進行了實地調研，瞭解了LNG進口、內貿流程及相關政策要求，並計劃與當地相關部門在建立現貨交易市場、制度建設、諮詢等方面展開合作。

(III) Feedback to the society

The Company always insists on the philosophy of development of the enterprise and society together, and actively serves and gives back to the society by consolidating the achievements of poverty alleviation, organizing public welfare activities and participating in charitable donations, etc.

1. Helping rural revitalisation

Poverty is a problem that countries around the world must face and solve in the process of economic and social development. In response to the national call, the Company has been exploring the industrial poverty alleviation model with characteristics of the “futures industry” by innovating the traditional poverty alleviation methods, activating the “blood-making” function of poverty stricken areas, realizing professional, targeted and diversified assistance. The Company strives to improve the efficiency and sustainability of poverty alleviation to better fulfill its social responsibility. During the Reporting Period, the Company continued to thoroughly implement the work of “connecting enterprises with villages to pursue common prosperity” under the requirements of the provincial party committee, the provincial government and the provincial SASAC, and incessantly innovated and developed the “insurance + futures” mode to serve the development of agriculture, rural areas and farmers, and protect the income of farmers.

(三) 感恩回饋社會

公司始終堅持企業與社會共同發展的理念，通過鞏固扶貧成果、組織公益活動、參與慈善捐款等，積極服務社會、回饋社會。

1. 助力鄉村振興

貧困是全球各國在經濟社會發展過程中必須要面對和解決的問題。為了響應國家號召，公司通過創新傳統的扶貧方式，探索具有「期貨行業」特色的產業扶貧模式，激活貧困地區「造血」功能，實現專業幫扶、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。報告期內，公司持續貫徹落實省委省政府及省國資委「萬企聯萬村、共走振興路」的相關工作，不斷創新發展「保險+期貨」模式來服務「三農」發展、保障農民收益。



VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園

Performance of the “insurance + futures” project:

- Involved 24 districts and counties in 9 provinces including Zhecheng in Henan, Yunyang in Chongqing, Jingzhou in Hunan and Fufeng in Shaanxi
- Carried out 17 “insurance + futures” projects
- Benefited 7 former national poverty-stricken counties and 5,471 insured farmers
- Provided price risk management for agricultural products worth approximately RMB400 million, and received compensation amounting to nearly RMB9 million

「保險+期貨」項目績效：

- 涉及河南柘城、重慶雲陽、湖南靖州、陝西扶風等9省24個區縣
- 開展17個「保險+期貨」項目
- 惠及7個原國家級貧困縣、5,471戶參保農戶
- 為價值約4億的農產品提供了價格風險管理，實現賠付金額近900萬元

The Company implemented the natural rubber “insurance + futures” project supported by Shanghai Futures Exchange in Mengla County of Yunnan Province for three consecutive years. In 2021, an additional funding support of RMB1 million was obtained from Shanghai Municipal Government. The project won the third prize of excellent financial innovation project of Nanjing City. Since the launching of live hog futures in January 2021, the Company has carried out 11 “insurance + futures” projects for live hog and live hog feed prices in 19 districts and counties in 6 provinces across the country. For the live hog “insurance + futures” projects in Xuzhou of Jiangsu and Yunyang of Chongqing, the payout rate was 138% and 134% respectively, which provided a firm income protection for the local farmers.

公司連續第三年在雲南省猛臘縣實施上海期貨交易所支持的天然橡膠「保險+期貨」項目，2021年額外獲得上海市政府100萬元的資金支持，項目榮獲南京市金融創新三等獎。生豬期貨於2021年1月上市以來，公司在全國6個省19個區縣開展了11個生豬與生豬飼料價格的「保險+期貨」項目。在江蘇徐州、重慶雲陽實施的生豬「保險+期貨」項目，賠付率分別達138%、134%，為當地養殖戶提供了堅實的收入保障。

Case: The “insurance + futures” project for pig feed in Fufeng County, Shaanxi was closed with live hog farmers receiving a compensation of RMB600,000

Fufeng County was a former poverty-stricken county in the Midwest region of Shaanxi. Live hog breeding industry is an important component of the income of local farmers. Affected by factors such as the African Swine Fever and continuous rise in pig feed prices, the income of local farmers were serious threaten.

To protect the benefit of live hog breeding farmers and enterprises and consolidate the achievements of poverty alleviation, Holly Futures carried out “insurance + futures” project jointly with Pacific Insurance Company, Shaanxi Branch and provided price protection service in the region for pig feed of over 8,500 tons with value near RMB24 million. The final compensation was RMB600,000 and the protection effect was remarkable.

案例：陝西省扶風縣豬飼料「保險+期貨」結項、生豬養殖戶獲賠60萬元

扶風縣原為陝西省貧困縣，位於省內中西部地區，生豬養殖產業是當地農民收入的重要組成部分。受非洲豬瘟、豬飼料價格連續上漲等因素影響，當地農戶的收入受到嚴重威脅。

為保障生豬養殖戶及企業的切實利益，鞏固脫貧攻堅的不易成果，弘業期貨聯合太平洋保險陝西分公司共同開展「保險+期貨」項目，為當地超過8,500噸價值近2,400萬元的豬飼料提供價格保障服務，最終賠付60萬元，保障成效顯著。

VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園



2. Contributing to public welfare and charity

During the Reporting Period, the Company made a total contribution of RMB36,730 to charity, contributing its effort to build a harmonious society and promote social fairness and progress. In face of the repeated resurgence of COVID-19, the Company responded to community call, rapidly organised volunteers from the Company to support the epidemic prevention and control work, performing its responsibility and mission as a state-owned enterprise.

Case: Carried out the help build the “Dream Hut” donation activity to show love

The Company held a donation ceremony to help build the “Dream Hut”. The Company’s leading team, department heads of the headquarters, representatives of the group cadres and staff representatives made donations on the spot to show their love. At the same time, the Company’s branches across the country actively participated and expressed their love through online donation. The “Dream Transformation+” care program aims to let “de facto orphans” have a small world of their own and grow up happily and healthily under the continuous care of the group organization. With the “Dream Hut” as the starting point, the Company will continue to target “de facto orphans” and carry out long-term pairing support in the future.

2. 投身公益慈善

報告期內，公司向慈善事業共捐款36,730元，為建設和諧社會盡一份心力，促進社會的公平和進步。面對新冠疫情反覆，公司積極響應社區號召，迅速組織公司志願者支持疫情防控工作，切實履行國有企業責任和使命。

案例：開展助建「夢想小屋」募捐活動奉獻愛心

公司舉行助建「夢想小屋」捐款儀式，公司領導班子、總部部門負責人、團干代表、職工代表紛紛現場捐款，奉獻愛心。同時，公司各地分支機構踴躍參與，通過線上捐款的方式獻出愛心。「夢想改造+」關愛計劃旨在讓「事實孤兒」擁有屬於自己的一片小天地，並在團組織的持續關愛下快樂健康成長。以「夢想小屋」為起點，今後公司還將持續精準對接「事實孤兒」，長期開展結對幫扶。





VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER 六、飲水思源，共建和諧家園

Case: Supporting the nucleic acid testing work in Nanjing

Due to the outbreak of COVID-19 in Nanjing, the nucleic acid testing site needed the support of volunteers urgently. The Company rapidly dispatched volunteer teams in batches rushing to the community. The volunteers of Holly Futures stuck to their posts, provided assistance enthusiastically, guided people patiently, cooperated and coordinated, and helped the entire testing site to basically complete nucleic acid tests within 48 hours.

案例：支持南京市核酸檢測工作

由於南京疫情突發，核酸檢測點急需志願者支持，公司迅速分批派出多支志願小分隊，火速趕往社區。弘業期貨的志願者堅守崗位，熱心幫扶，耐心引導，配合協調，幫助整個檢測點不到48小時就基本完成核酸檢測。





(I) List of major applicable laws and regulations

This section sorts and lists out the major laws and regulations that are applicable to the Group in the order of the ESG index in accordance with the requirements as stipulated in “the relevant laws and regulations that have a significant impact on the issuer” within “General Disclosure” of the HKEX guidelines.

(一) 適用的主要法律法規清單

該部分主要遵循香港聯交所指引「一般披露」中涉及的「對發行人有重大影響的相關法律及規例」要求，對適用於本集團主要法律與規例按照ESG指標進行整理和羅列。

Category 分類	Laws and Regulations 法律與規例名稱
Laws and regulations related to environmental protection 環境保護類	Environmental Protection Law of the People’s Republic of China 《中華人民共和國環境保護法》
	Environmental Protection Tax Law of the People’s Republic of China 《中華人民共和國環境保護稅法》
	Water Law of the People’s Republic of China 《中華人民共和國水法》
	Water Pollution Prevention and Control Law of the People’s Republic of China 《中華人民共和國水污染防治法》
	Law of the People’s Republic of China on the Prevention and Control of Pollution from Environmental Noise 《中華人民共和國環境噪聲污染防治法》
	Law on the Prevention and Control of Environmental Pollution Caused by Solid Waste 《中華人民共和國固體廢物污染環境防治法》
	Law of the People’s Republic of China on the Prevention and Control of Atmospheric Pollution 《中華人民共和國大氣污染防治法》
	Law of the People’s Republic of China on Appraising of Environment Impacts 《中華人民共和國環境影響評價法》
	Cleaner Production Promotion Law of the People’s Republic of China 《中華人民共和國清潔生產促進法》
	Circular Economy Promotion Law of the People’s Republic of China 《中華人民共和國循環經濟促進法》
	Integrated Emission Standard of Air Pollutants 《大氣污染物綜合排放標準》



APPENDIX

報告附錄

Category 分類	Laws and Regulations 法律與規例名稱
Laws and regulations related to labour 勞工類	Labor Law of the People's Republic of China 《中華人民共和國勞動法》
	Labor Contract Law of the People's Republic of China 《中華人民共和國勞動合同法》
	Production Safety Law of the People's Republic of China 《中華人民共和國安全生產法》
	Special Equipment Safety Law of the People's Republic of China 《中華人民共和國特種設備安全法》
	Law of the People's Republic of China on the Protection of Women's Rights and Interests 《中華人民共和國婦女權益保障法》
	Law of the People's Republic of China on the Prevention and Control of Occupational Diseases 《中華人民共和國職業病防治法》
	Social Insurance Law of the People's Republic of China 《中華人民共和國社會保險法》
	Trade Union Law of the People's Republic of China 《中華人民共和國工會法》
	Regulation on Work-Related Injury Insurances 《工傷保險條例》
	Regulation on Emergency Responses to Work Safety Accidents 《生產安全事故應急條例》
	Provision on the Prohibition of Using Child Labor 《禁止使用童工規定》
	Laws and regulations related to product responsibility 產品責任類
Futures Trading Management Regulations 《期貨交易管理條例》	
Trademark Law of the People's Republic of China 《中華人民共和國商標法》	
Patent Law of the People's Republic of China 《中華人民共和國專利法》	
Rules on Management of Client Accounts Opening in Futures Market 《期貨市場客戶開戶管理規定》	
Administrative Measures for the Closed Management of Customer Margins for Futures Companies 《期貨公司保證金封閉管理辦法》	
Guideline for Contracts of Futures Brokerages 《期貨經紀合同》指引	
Measures for the Management of Integrity Information of Futures Business Institutions 《期貨經營機構誠信信息管理辦法》	



Category 分類	Laws and Regulations 法律與規例名稱
	<p>Detailed Rules for the Implementation of the Standard Warrant of Futures Company Risk Management Companies to Offset Over-the-Counter Derivatives Trading Margin 《期貨公司風險管理公司標準倉單充抵場外衍生品交易保證金實施細則》</p> <p>Guidelines for Handling Complaints of Investors of Securities, Fund and Futures Operating Institutions 《證券基金期貨經營機構投資者投訴處理工作指引》</p> <p>Measures for Reporting, Investigation and Handling of Cybersecurity Incidents in the Securities and Futures Industry 《證券期貨業網絡安全事件報告與調查處理辦法》</p> <p>Management Rules for Sharing of Credit Risk Information of Futures Investors 《期貨投資者信用風險信息共享管理規則》</p> <p>Measures for the Administration of Risk Control Indicators of Futures Risk Management Companies 《期貨公司居間人管理辦法》</p> <p>Measures for the Administration of Risk Control Indicators of Futures Risk Management Companies 《期貨風險管理公司風險控制指標管理辦法》</p> <p>Working Rules for Credit Reporting of Asset Management Business of Futures Business Institutions 《期貨經營機構資產管理業務信用報告工作規則》</p> <p>Administrative Rules for the Filing of Asset Management Business of Futures Business Institutions 《期貨經營機構資產管理業務備案管理規則》</p> <p>Measures for the Implementation of the Rules for the Undertakings Made by the Parties to Securities and Futures Administrative Law Enforcement 《證券期貨行政執法當事人承諾制度實施辦法》</p>
Laws and regulations related to anti-corruption and corporate governance 反貪腐及企業管治類	<p>Anti-Unfair Competition Law of the People's Republic of China 《中華人民共和國反不正當競爭法》</p> <p>Anti-Money Laundering Law of the People's Republic of China 《中華人民共和國反洗錢法》</p> <p>Anti-Monopoly Law of the People's Republic of China 《中華人民共和國反壟斷法》</p> <p>Company Law of the People's Republic of China 《中華人民共和國公司法》</p> <p>Securities Law of the People's Republic of China 《中華人民共和國證券法》</p> <p>Provisions on Anti-money Laundering through Financial Institutions 《金融機構反洗錢規定》</p> <p>Measures for Supervision and Management of Futures Companies 《期貨公司監督管理辦法》</p> <p>Measures for the Implementation of Anti-money Laundering in the Securities and Futures Industry 《證券期貨業反洗錢工作實施辦法》</p>



APPENDIX 報告附錄

Category
分類

Laws and Regulations

法律與規例名稱

Measures for the Administration of the Appointment of Directors, Supervisors and Senior Managers of Futures Companies

《期貨公司董事、監事和高級管理人員任職管理辦法》

Measures for Administrative Penalties for Securities and Futures Illegal Acts

《證券期貨違法行為行政處罰辦法》

Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited

《香港聯合交易所有限公司證券上市規則》

Code of Corporate Governance for Listed Companies in China

《上市公司治理準則》

Basic Norms for Enterprise Internal Controls

《企業內部控制基本規範》

Labor Union Law of the People's Republic of China

《中華人民共和國工會法》

Companies Ordinance (Chapter 622 of the Laws of Hong Kong)

香港法例第622章《公司條例》





(II) The Content Index of Environmental, Social and Governance Reporting Guide of HKEX

(二) 香港聯交所《環境、社會及管治報告指引》內容索引

Aspects 層面	Description 描述	Section 所在章節
A Environmental		
A環境		
Aspect A1: Emissions		
層面A1：排放物		
General Disclosure 一般披露	Information on the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to exhaust 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政策；及遵守對發行人有重大影響的相關法律及規例的資料。	III (II) Improving environmental management 三(二) 完善環境管理
A1.1	The types of emissions and respective emissions data. 排放物種類及相關排放資料。	III (III) Pursuing environmental protection practices 三(三) 踐行環保實踐
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). 直接(範圍1)及能源間接(範圍2)溫室氣體排放量(以噸計算)及(如適用)密度(如以每產量為單位、每項設施計算)。	III (I) Addressing climate change 三(一) 應對氣候變化
A1.3	Total hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生有害廢棄物總量(以噸計算)及(如適用)密度(如以每產量為單位、每項設施計算)。	III (III) Pursuing environmental protection practices 三(三) 踐行環保實踐
A1.4	Total non-hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生無害廢棄物總量(以噸計算)及(如適用)密度(如以每產量為單位、每項設施計算)。	III (III) Pursuing environmental protection practices 三(三) 踐行環保實踐
A1.5	Description of emissions target(s) set and steps taken to achieve them. 描述所訂立的排放量目標及為達到這些目標所採取的步驟。	III (II) Improving environmental management 三(二) 完善環境管理
A1.6	Description of how hazardous and non-hazardous wastes are handled, and a description of reduction target(s) set 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。	III (III) Pursuing environmental protection practices 三(三) 踐行環保實踐



APPENDIX 報告附錄

Aspects 層面	Description 描述	Section 所在章節
Aspect A2: Use of Resources		
層面A2：資源使用		
General Disclosure 一般披露	Policies on the efficient use of resources, including energy, water and other raw materials. 有效使用資源(包括能源、水及其他原材料)的政策。	III (II) Improving environmental management 三(二)完善環境管理
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)。	III (III) Pursuing environmental protection practices 三(三)踐行環保實踐
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)。	III (III) Pursuing environmental protection practices 三(三)踐行環保實踐
A2.3	Description of energy use efficiency target(s) set and steps taken to achieve them. 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。	III (II) Improving environmental management 三(二)完善環境管理
A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency target(s) set and steps taken to achieve them. 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。	The Company is in the financial industry and this indicator is not applicable 公司屬於金融行業，此指標不適用
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(以噸計算)及(如適用)每生產單位佔量。	The Company is in the financial industry and this indicator is not applicable 公司屬於金融行業，此指標不適用



Aspects 層面	Description 描述	Section 所在章節
Aspect A3: Environment and Natural Resources		
層面A3：環境及天然資源		
General Disclosure 一般披露	Policies on minimising the issuer's significant impacts on the environment and natural resources. 減低發行人對環境及天然資源造成重大影響的政策。	III (II) Improving environmental management 三(二)完善環境管理
A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them. 描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	III (III) Pursuing environmental protection practices 三(三)踐行環保實踐
Aspect A4: Climate Change		
層面A4：氣候變化		
General Disclosure 一般披露	Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer. 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。	III (I) Addressing climate change 三(一)應對氣候變化
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. 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。	III (I) Addressing climate change 三(一)應對氣候變化
B Social		
B社會		
Aspect B1: Employment		
層面B1：僱傭		
General Disclosure 一般披露	Information on: the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare. 有關薪酬及解僱、招聘及晉陞、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： 政策；及 遵守對發行人有重大影響的相關法律及規例的資料。	V (I) Equality and diversity V (II) Protection of rights and interests 五(一)平等多元 五(二)權益保障



APPENDIX 報告附錄

Aspects 層面	Description 描述	Section 所在章節
B1.1	Total workforce by gender, employment type (for example, full- or part-time), age group and geographical region. 按性別、僱傭類型(如全職或兼職)、年齡組別及地區劃分的僱員總數。	V (I) Equality and diversity 五(一)平等多元
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。	V (I) Equality and diversity 五(一)平等多元
Aspect B2: Health and Safety		
層面B2：健康與安全		
General Disclosure 一般披露	Information on: the policies; and 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： 政策；及 遵守對發行人有重大影響的相關法律及規例的資料。	V (III) Healthy work 五(三)健康工作
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。	V (III) Healthy work 五(三)健康工作
B2.2	Lost days due to work injury. 因工傷損失工作日數。	V (III) Healthy work 五(三)健康工作
B2.3	Description of occupational health and safety measures adopted, and 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。	V (III) Healthy work 五(三)健康工作



Aspects 層面	Description 描述	Section 所在章節
Aspect B3: Development and Training		
層面B3：發展及培訓		
General Disclosure 一般披露	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. 有關提升僱員履行工作職責的知識及技能的政策。描述培訓活動。	V (II) 3. Staff development 五(二) 3. 員工發展
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。	V (II) 3. Staff development 五(二) 3. 員工發展
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。	V (II) 3. Staff development 五(二) 3. 員工發展
Aspect B4: Labour Standards		
層面B4：勞工準則		
General Disclosure 一般披露	Information on: the policies; and 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： 政策；及 遵守對發行人有重大影響的相關法律及規例的資料。	V (II) Protection of rights and interests 五(二) 權益保障
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。	V (II) Protection of rights and interests 五(二) 權益保障
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。	V (II) Protection of rights and interests 五(二) 權益保障



APPENDIX 報告附錄

Aspects 層面	Description 描述	Section 所在章節
Aspect B5: Supply Chain Management		
層面B5：供應鍊管理		
General Disclosure 一般披露	Policies on managing environmental and social risks of the supply chain 管理供應鍊的環境及社會風險政策。	VI (I) Develop together with partners 六(一)協同夥伴發展
B5.1	Number of suppliers by geographical region 按地區劃分的供應商數目。	VI (I) Develop together with partners 六(一)協同夥伴發展
B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, and how they are implemented and monitored 描述有關聘用供應商的慣例，向其執行有關慣例的供應商數目、以及有關慣例的執行及監察方法。	VI (I) Develop together with partners 六(一)協同夥伴發展
B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored. 描述有關識別供應鍊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。	VI (I) Develop together with partners 六(一)協同夥伴發展
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。	VI (I) Develop together with partners 六(一)協同夥伴發展
Aspect B6: Product Responsibility		
層面B6：產品責任		
General Disclosure 一般披露	Information on: the policies; and 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： 政策；及 遵守對發行人有重大影響的相關法律及規例的資料。	IV (I) Protection of investor interests 四(一)維護投資者利益



Aspects 層面	Description 描述	Section 所在章節
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。	The Company is in the financial industry and this indicator is not applicable 公司屬於金融行業，此指標不適用
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。	VI (II) Providing high quality services 四(二) 提供高質量服務
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。	VI (I) Protection of investor interests 四(一) 維護投資者利益
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。	The Company is in the financial industry and this indicator is not applicable 公司屬於金融行業，此指標不適用
B6.5	Description of consumer data protection and privacy policies, and 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。	VI (I) Protection of investor interests 四(一) 維護投資者利益
Aspect B7: Anti-corruption		
層面B7：反貪污		
General Disclosure 一般披露	Information on: the policies; and 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： 政策；及 遵守對發行人有重大影響的相關法律及規例的資料。	II (III) Anti-corruption and anti-money laundering 二(三) 反貪污、反洗錢
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。	II (II) Optimisation of compliance risk control 二(二) 優化合規風控
B7.2	Description of preventive measures and whistle-blowing procedures, and 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。	II (III) Anti-corruption and anti-money laundering 二(三) 反貪污、反洗錢
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。	II (III) Anti-corruption and anti-money laundering 二(三) 反貪污、反洗錢



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Aspects 層面	Description 描述	Section 所在章節
Aspect B8: Community Investment		
層面B8：社區投資		
General Disclosure 一般披露	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests. 有關以社區參與來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。	VI (III) Feedback to the society 六(三)感恩回饋社會
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)。	VI (III) Feedback to the society 六(三)感恩回饋社會
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)。	VI (III) Feedback to the society 六(三)感恩回饋社會

(III) Memberships and honours and awards

The Company was granted the following awards during 2021:

(三) 會員資格與榮譽獎項

於2021年，公司獲得的獎項如下：

Award-winning subject entity 獲獎主體	Honour and qualification 榮譽資質	Awarding or granting organization 頒發機構
Natural Rubber "Insurance + Futures" Targeted Poverty Alleviation Project 天然橡膠「保險+期貨」扶貧項目	Third prize of excellent financial innovation project of Nanjing City 南京市優秀金融創新項目三等獎	Local Financial Supervision and Administration Bureau of Nanjing City Finance Bureau of Nanjing City 南京市地方金融監督管理局 南京市財政局
Company 公司	Excellent Member in Market Growth 市場成長優秀會員	Zhengzhou Commodity Exchange 鄭州商品交易所
Company 公司	Excellent Member Prize 優秀會員獎	Dalian Commodity Exchange 大連商品交易所
Company 公司	Excellent Industrial Service for Agricultural Product Award 優秀農產品產業服務獎	Dalian Commodity Exchange 大連商品交易所
Company 公司	Market Progress Award 市場進步獎	Shanghai Futures Exchange 上海期貨交易所
Company 公司	Excellent Member Prize 優秀會員獎	Shanghai Futures Exchange 上海期貨交易所



Award-winning subject entity 獲獎主體	Honour and qualification 榮譽資質	Awarding or granting organization 頒發機構
University Futures Talent Cultivation Project of Nanjing Audit University	CFA 2020 Futures Investor Education Excellent Case	China Futures Association
南京審計大學高校期貨人才 培育項目	中期協2020年期貨投資者教育優秀案例	中國期貨業協會
Holly Xique FOF Tranche 1 Asset Management Plan 弘業喜鵲精選1號FOF集合 資產管理計劃	Excellent FOF Fund Product Innovation Award 優秀FOF基金產品創新獎	The 11th HED Conference organised by www.caishiv.com in Shanghai 《財視中國》在上海主辦的「第十一屆HED 峰會」
Company 公司	Best Team Award 最佳團隊獎	SOHO Holding Group 蘇豪控股集團
Case of Party Building Brand of the Party Committee of Holly Futures	Top 100 Excellent Cases of Party Building in the National Financial System of the New Era	Research Institute of Party Construction, Research Association of Ideological and Political Work of China Financial Institutions 《機關黨建研究》、中國金融思想政治工 作研究會
弘業期貨黨委黨建品牌案例	「新時代全國金融系統黨建百優案例」	
Case of Party Building Brand of the Party Committee of Holly Futures	Second Prize for 100 Cases of State-owned Enterprise High-quality Development Led by High-quality Party Building	Jiangsu SASAC
弘業期貨黨委黨建品牌案例	高質量黨建引領國企高質量發展100 案例二等獎	江蘇省國資委
Company 公司	Best Futures Company in China 中國最佳期貨公司	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Commodity Futures Industry Service Prize 最佳商品期貨產業服務獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Financial Futures Service Award 最佳金融期貨服務獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Precision Poverty Alleviation and Charity Award 最佳精準扶貧及愛心公益獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Enterprise Brand Establishment Prize 最佳企業品牌建設獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Assets Management Leadership Award 最佳資產管理領航獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Excellent Asset Management Product of the Year 年度優秀資管產品	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Most popular official account for futures operation institutions 最受歡迎的期貨經營機構自媒體	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Annual Best Investor Education Model Innovation Award 年度投資者教育模式創新獎	Futures Daily, Securities Times 期貨日報、證券時報



APPENDIX

報告附錄

Award-winning subject entity 獲獎主體	Honour and qualification 榮譽資質	Awarding or granting organization 頒發機構
Company 公司	Best Risk Management Subsidiary Service Innovation Award 最佳風險管理子公司服務創新獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Technology Finance Progress Award 最佳科技金融進步獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Futures Company Internationalization Progress Award 期貨公司國際化進程新銳獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Comprehensive Service Innovation Award for Derivatives 最佳衍生品綜合服務創新獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Institution Contribution Award for Futures Talent Cultivation 期貨人才培養最佳機構貢獻獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Futures Branch—Suqian Branch 最佳期貨經營分支機構—宿遷營業部	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Futures Branch—Ningbo Branch 最佳期貨經營分支機構—寧波營業部	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Top Management Team of Future Companies in China 中國期貨公司金牌管理團隊	Futures Daily, Securities Times 期貨日報、證券時報
Zhou Jianqiu 周劍秋	Best Leader of China Futures Enterprises 中國期貨公司年度最佳掌舵人	Futures Daily, Securities Times 期貨日報、證券時報
Financial Academy 金融研究院	Top Futures Research Institute in China 中國金牌期貨研究所	Futures Daily, Securities Times 期貨日報、證券時報
Wang Xiaobei 王曉蓓	Best Analyst of Agricultural Commodity Futures 最佳農副產品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
Zhang Yongge 張永鵬	Best Analyst of Industrial Commodity Futures 最佳工業品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
Chen Chunlei 陳春雷	Best Analyst of Agricultural Commodity Futures 最佳農副產品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
Zhang Huigan 張惠干	Best Macro Strategy Analyst 最佳宏觀策略分析師	Futures Daily, Securities Times 期貨日報、證券時報
Shi Ke 史珂	Best Analyst of Financial Futures 最佳金融期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
Zhou Jianqiu 周劍秋	2020-2021 Jiangsu Provincial Excellent Entrepreneur 2020-2021年度江蘇省優秀企業家	Jiangsu Enterprises Confederation 江蘇省企業聯合會
Company 公司	2021 Jiangsu Provincial Pioneer Enterprise 2021江蘇省先鋒企業	Jiangsu Enterprises Confederation 江蘇省企業聯合會



Award-winning subject entity 獲獎主體	Honour and qualification 榮譽資質	Awarding or granting organization 頒發機構
Investor education work series of "Leverage in the Futures Cold Noodles Short Video Series" 投教作品《期冷面系列短視頻之槓桿》	Outstanding Work in the 2021 Jiangsu Futures Industry Investor Education Outstanding Works Collection and Selection Activity 2021年江蘇省期貨行業投資者教育優秀作品徵集評選活動優秀作品	Jiangsu Province Futures Association 江蘇省期貨業協會
Investor education work series of "Turning Gold into Stone in the Futures Detective Short Video Series" 投教作品《期貨小偵探系列短視頻之點金成石》	Outstanding Work in the 2021 Jiangsu Futures Industry Investor Education Outstanding Works Collection and Selection Activity 2021年江蘇省期貨行業投資者教育優秀作品徵集評選活動優秀作品	Jiangsu Province Futures Association 江蘇省期貨業協會

As at the end of 2021, the Company acted as members of the following associations: 截至2021年末，公司擔任協會會員情況如下：

Name of association 協會名稱	Membership 會員性質
China Futures Association 中國期貨業協會	Governing unit 理事單位
Jiangsu Province Futures Association 江蘇省期貨業協會	President Company 會長單位
Jiangsu Chamber of International Commerce 江蘇省國際商會	Governing unit 理事單位
Jiangsu Capital Market Research Association 江蘇省資本市場研究會	Deputy President Company 副會長單位
Jiangsu Youth Chamber of Commerce 江蘇省青年商會	General member 一般會員
Nanjing Finance Promotion Council 南京金融發展促進會	Governing unit 理事單位
Jiangsu Overseas Development and Planning Association 江蘇省海外發展和規劃協會	Deputy President Company 副會長單位
Asset Management Association of China 中國證券投資基金業協會	Special member 特別會員
Jiangsu Financial Association 江蘇省金融業聯合會	Governing unit 理事單位
Jiangsu Province State-owned Enterprise Development and Reform Research Association 江蘇省國有企業發展改革研究會	General member 一般會員



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Name of association 協會名稱	Membership 會員性質
Entrepreneurs Association of China Chemical Enterprise Management Association 中國化工企業管理協會企業家聯誼會	Executive Director, Deputy President Company 常務理事·副會長單位
Jiangsu Association of Science & Technology Innovation 江蘇省科技創新協會	Executive Director Company 常務理事單位
Zhangjiagang Free Trade Zone Petrochemical Industry Chamber of Commerce 張家港保稅區石化業商會	General member 一般會員
Jiangsu Entrepreneurs Federation 江蘇省企業家聯合會	Deputy President Company 副會長單位
National Association of Financial Market Institutional Investors 中國銀行間市場交易商協會	General member 一般會員
Research Association of Ideological and Political Work of China Financial Institutions 中國金融思想政治工作研究會	Governing unit 理事單位

(IV) Feedback

In order to improve our ESG efforts and to continuously improve our ESG management capabilities and standards, we are eager to listen to your comments and suggestions.

We would appreciate your assistance in completing the relevant questions in this feedback form and share your suggestions or comments with us by email.

Email address: zqb@ftol.com.cn

Your information

Name

Employer

Telephone

Email

Comment

(四) 讀者反饋表

為持續改進我們的ESG工作，不斷提高ESG管理的能力和水平，我們非常希望傾聽您的意見和建議。

懇請您協助完成反饋意見表中提出的相關問題，並以電郵向本公司提出建議或分享意見。

電郵地址：zqb@ftol.com.cn

您的信息

姓名

工作單位

聯繫電話

Email

意見回饋



1. Your overall rating of our ESG Report

Very good good Fair

2. Can this report reflect the significant impact of the Company's ESG issues?

Can Fair Don't know

3. What do you think about the clarity, accuracy and completeness of the information, data and indicators disclosed in this report?

Very high High Fair Low Very low

4. Which aspect of this report are you most satisfied with?

5. What information would you like to know more about?

6. What other suggestions do you have for the future release of our report?

1. 您對公司ESG報告的總體評價是

好 較好 一般

2. 您認為本報告是否能反映公司ESG議題的重大影響

能 一般 不瞭解

3. 您認為本報告所披露信息、數據、指標的清晰、準確、完整度如何

高 較高 一般 較低 低

4. 您最滿意本報告哪一方面？

5. 您希望進一步瞭解哪些信息？

6. 您對我們今後發佈報告還有哪些建議？

