

HENGTOU SECURITIES
2022 Environmental, Social and Governance Report

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1. About This Report

Hengtou Securities, a joint stock company incorporated in the People’s Republic of China with limited liability under the Chinese corporate name “恒泰证券股份有限公司” (the “Company”), and its subsidiaries (the “Group” or “we”) are pleased to publish our 2022 Environmental, Social and Governance (“ESG”) Report (the “Report”). The Report summarizes the Group’s work in implementing the concept of sustainable development and fulfilling corporate social responsibility.

Reporting Standard

The Report is prepared in accordance with the Appendix 27 Environmental, Social and Governance Reporting Guide (the “ESG Guide”) to the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited. The Report has complied with all the “comply or explain” provisions and reporting principles in the ESG Guide.

Materiality	The Report has identified and disclosed the procedures and standards for selecting the ESG factors, as well as the description of stakeholders and their participation and results.
Quantitative	The Report contains standards, methods, assumptions and/or calculation tools for the emission/energy consumption (as applicable) statistics, and the source of conversion factors, all of which are explained in the definition of the Report.
Balance	The Report provides an unbiased picture of the Company’s performance, and avoids selections, omissions, or presentation formats that may inappropriately influence a decision or judgment by the report reader.
Consistency	The Report uses consistent statistical method for disclosing the data. Changes (if any) are clearly explained in the Report.

Reporting Scope

The Report focuses on the major business of the company, and discloses the overall sustainability performance of the business from 1 January 2022 to 31 December 2022 (the “Year” or the “Reporting Period”). Unless otherwise stated, the content pertains to businesses directly controlled by the Group. For detailed information on corporate governance of the Group, please refer to the “Corporate Governance Report” section of the Group’s 2022 annual report or visit the Group’s official website (www.cnht.com.cn).

Reporting Languages and Access to the Report

The Report is published in Chinese and English versions which are uploaded on the websites of Hong Kong Exchanges and Clearing Limited (www.hkexnews.hk) and the Group’s official website (www.cnht.com.cn). In the event of inconsistency between the Chinese and the English versions, the Chinese version shall prevail.

Approval of the Report

The Report has been confirmed by the management, followed by the approval by the Board of Directors of the Group (the “Board”).

Feedback on the Report

If you have enquiries and suggestions about the Report or the Group’s sustainability strategy, please feel free to contact us by email (dongban@cnht.com.cn).

2. Group Profile

The Company was established in 1992 and registered its address in Hohhot, Inner Mongolia Autonomous Region, the People’s Republic of China, which is a comprehensive, fully licensed securities company approved by the China Securities Regulatory Commission (中國證券監督管理委員會). The Company has 120 business offices and 2 branches nationwide, and has formed a layout structure that radiates to large and medium cities in China, such as Beijing, Shanghai, Guangzhou, Shenzhen and Hangzhou by leveraging on its geographical advantage in Inner Mongolia. Meanwhile, it has wholly-owned subsidiaries such as Hengtai Changcai Securities Co., Ltd. (恆泰長財證券有限責任公司), Hengtai Pioneer Investment Co., Ltd. (恆泰先鋒投資有限公司), Hengtai Capital Investment Co., Ltd. (恆泰資本投資有限責任公司) and Hengtai Futures Co., Ltd. (恆泰期貨股份有限公司), and has New China Fund Management Co., Ltd. (新華基金管理股份有限公司), a holding subsidiary.

The Company upholds the core values of “Integrity, Innovation, Pragmatism and Cooperation”, adheres to “customer-oriented”, and devotes ourselves to the transformation and upgrading of wealth management in the digital age, providing customers a full range of financial services, including brokerage transactions, wealth and asset management, margin financing, securities lending, derivatives, etc.

The awards and honours attained during the Year include:

Award or honour	Awarding organisation
Most Forward-looking Value Award, Most Innovative Award (最具前瞻價值獎、最具創新獎)	Innovation Base for Information Technology Application in Securities and Fund Industry (證券基金行業資訊技術應用創新基地)
2022 “Top Ten Investment Education Video” in Inner Mongolia (2022年度內蒙地區“十佳投教視頻”)	Inner Mongolia Securities and Futures Association (內蒙古證券期貨業協會)
Excellent Organisation Award (優秀組織獎)	Inner Mongolia Securities and Futures Association (內蒙古證券期貨業協會)
One-Year Hybrid Bond (Class 2) Golden Bull Asset Management Plan (一年期混合債券型(二級)金牛資管計劃)	China Securities Journal (中國證券報)
Most Fintech Innovative Award of the Year (年度最佳金融科技創新獎)	www.cls.cn (財聯社)
Securities Company of the Year (年度證券公司)	Shanghai United Media Group Web News (上報報業集團 介面新聞)

3. Sustainability Strategy

3.1 Statement of the Board

To strengthen the management of the ESG-related tasks, we have established the ESG governance structure. The Board will be responsible for leading and supervising ESG-related tasks, in order to better handle the opportunities and risks regarding sustainability. The Board regularly deliberates and reviews ESG approach and strategies, including approval and confirmation of ESG-related targets, reviewing the progress of the target, evaluation, prioritization, etc. We have set environment-related directional targets. In the future, we will conduct a progress review based on the Group's ESG-related targets to monitor and improve sustainable development of our work.

3.2 ESG Governance Structure

To ensure the proper implementation of ESG-related tasks, and to assist the Board to better supervise the ESG-related tasks of the Group, the Group has established an ESG working group, forming a management structure of the Board, an ESG working group and implementation level. The details are as follows:



The Board takes full responsibility for the ESG strategy and reporting of the Group, including:

- Review and manage material ESG issues, risks and opportunities;
- Examine and approve ESG management approach, strategies, priorities and targets;
- Regular review the progress of ESG related targets and the ESG performance;
- Examine and approve ESG report.

The ESG working group is led by the secretary of the Board and is managed by the Board Office. Its responsibilities are as follows:

- Identify and assess material ESG issues, risks and opportunities for the Board’s approval;
- Formulate ESG management approach, strategies, plans, annual work and targets for the Board’s approval, and promote relevant implementation;
- Engage in the preparation of the annual ESG report and maintain communication with the ESG consultant team.

The implementation level consists of the relevant departments of the Group, including the president’s office, human resources department, administration center, compliance management department, trade union office, and new retail business head office, etc. Its responsibilities are as follows:

- Promote and implement various ESG-related tasks according to the arrangement of the Group;
- Collect and report ESG internal policies, systems and ESG-related performance indicators;
- Comply with various ESG-related policies and system.

3.3 Stakeholders Engagement

We believe in the business operation philosophy of “win-win to win more” (「共赢，所以更赢」). The Group’s key stakeholders include investors and shareholders, customers, employees, business partners, suppliers, regulators, media, professional organizations, communities and non-governmental organizations. Having taken an open and positive attitude, we are in close contact with key stakeholders through different communication channels in an attempt to timely understand their wishes and expectations. Not only does it help us keep pace with our society, but also helps us be clear about which aspects in the sustainable development progress we should be more focused on. With communication with stakeholders at least [once] a year, the Company gained full understanding of their requests, opinions and expectations and has taken their concerned topics into the Group’s operations and decision making process with timely response to address their feedbacks. The materiality analysis of sustainable development is the first and foremost goal. The material topics and expectations will be picked by taking into account of the stakeholders’ professional knowledge, their influence and their intention to cooperate with the Group.

The table below depicts the major communication channels to communicate with stakeholders in 2022.

Stakeholder	Communication channels
Investors/Shareholders	<ul style="list-style-type: none"> • Annual general meeting • Investor meeting • Interim report and annual report • Corporate newsletter • Result announcement • Shareholder visiting activity • Establishment of investor education base • Promotional activity for investor education • Phone • Email
Customers	<ul style="list-style-type: none"> • Daily operation/communication • Customer service centre • Customer satisfaction survey and opinion form • Customer consultation group • Customer relation manager visit • Online service platform • Phone • Mailbox
Employees	<ul style="list-style-type: none"> • Performance interview/appraisal • Group discussion/meeting • Employee suggestion box • Employee communication conference • WeChat group for work • Publication/business presentation • Employee intranet
Business partners	<ul style="list-style-type: none"> • Report • Meeting • Visit • Talk

Stakeholder	Communication channels
Suppliers	<ul style="list-style-type: none"> • Supplier management procedure • Supplier/Contractor assessment system • Tendering system and process • Meeting • Site visit
Regulators	<ul style="list-style-type: none"> • Compliance report • Submission of regulatory document • Written response to public consultation • Meeting
Media	<ul style="list-style-type: none"> • Press release • Senior management visit • Result announcement • Official Website • WeChat Official Account
Professional organizations	<ul style="list-style-type: none"> • Meeting • Regular visit • Membership • Working group
Communities/Non-governmental organizations	<ul style="list-style-type: none"> • Seminar/talk/workshop • Meeting • Promotional activity for investor education

3.4 Materiality Topics

In order to further promote the sustainability development of the Group during the Year, we have conducted materiality assessment. With reference to the current regulatory requirements, laws and regulations, the materiality issue database of the Sustainability Accounting Standards Board, and other international standards, along with the Group's characteristics and needs, and the expectations and demands of various stakeholders, the Group identifies and determines the materiality of the following sections, which have been confirmed by the Board:

Materiality	Sections	Disclosed information in 2022
Highly material	Compliance	Detailed disclosure of implementation of various laws and regulations, and conducting compliant operation and risk control management
	Training and Development	Detailed disclosure of various measures and trainings to enhance employees' professionalism and improve their career development
Moderately material	Water Consumption and Efficiency	Disclosure of energy consumption and measures taken in energy conservation and emission reduction, especially the water consumption and efficiency
	Remuneration and Welfare	Disclosure of employee benefits and compensation, and wages for attracting and retaining talent
General material	Waste Management	Disclosure of measures regarding the management of electronic wastes such as office materials and computer materials

3.5 Risk Management

By keeping track of the latest laws and regulations and keeping abreast of the latest trends in the operating locations, while taking into account the international standards and our operating performance, the Group has identified the following ESG risks during the Year, which are approved by the Board:

Type of ESG Risk	Risk Level	Details of the risk
Law and Compliance Risk	High	Risk of legal sanctions or penalties, financial loss and reputational loss that stem from breach of contracts, legal actions, failure to comply with laws and regulations, etc.
Employee Health and Safety	Moderate	Affected by the Covid-19 pandemic, employees are at risk of infection prevention and control, quarantine, illness, etc.

4. Compliance Operation

The Group is committed to operating with integrity and establishing a good brand image. We continue to track the latest local laws and regulations, and constantly improve the corresponding regulations and systems to improve our service and business operation efficiency.

4.1 Anti-corruption

The Group is strictly against corrupt practices such as corruption, bribery, extortion, fraud and money laundering, and adopts a zero-tolerance policy for the above-mentioned behaviours. We strictly comply with the Supervision Law of the People's Republic of China (《中華人民共和國監察法》), Securities Law of the People's Republic of China (《中華人民共和國證券法》), Company Law of the People's Republic of China (《中華人民共和國公司法》), Securities Investment Fund Law of the People's Republic of China (《中華人民共和國證券投資基金法》), the Criminal Law of the People's Republic of China (《中華人民共和國刑法》), Regulations on Administration Supervision of Securities Company of the People's Republic of China (《中華人民共和國證券公司監督管理條例》), Regulations for the Administration of Futures Trading (《期貨交易管理條例》), Measures for the Compliance Management of Securities Companies and Securities Investment Fund Management Companies (《證券公司和證券投資基金管理公司合規管理辦法》), Notice of the Securities Association of China on Issuing the Guidelines for the Compliance Management of Securities Companies (《證券公司合規管理實施指引》), Law of the People's Republic of China on Anti-money Laundering (《中華人民共和國反洗錢法》), Notice of the People's Bank of China on Issuing the Guidelines for the Assessment of Money Laundering and Terrorism Financing Risks and Categorized Management of Customers of Financial Institutions (《金融機構洗錢和恐怖融資風險評估及客戶分類管理指引》) and other laws and regulations applying to the local conditions. The Group proactively fulfils the anti-money laundering and the financial stabilization obligations of financial institutions.

We have formulated the Compliance Manual (《合規手冊》), Compliance Management Measures (《合規管理辦法》), Comprehensive Risk Management (《全面風險管理辦法》), the New Business (Product) Management Measures (《新業務(產品)管理辦法》), the New Business and New Product Risk Management Measures (《新業務和新產品風險管理細則》), Legal Risk Management Measures (《法律風險管理辦法》), Anti-Money Laundering Management Measures (《反洗錢工作管理辦法》), Internal Control Outline (《內部控制綱要》), Administrative Regulations on Suspicious Transaction Reporting and Asset Freezing of Suspected Terrorist Financing (《涉嫌恐怖融資可疑交易報告及資產凍結管理規定》), Administrative Regulations on Corporate Inccorrupt Practices (《公司廉潔從業管理規定》), Discipline Inspection and Supervision Work System (紀律檢查委員會工作制度), Discipline Inspection and Supervision of Letters and Visits (《紀檢監察信訪舉報工作管理辦法》), the Risk Limit Management Measures (《風險限額管理辦法》), the Handbook of Risk Management Culture (《風險管理文化手冊》), the Credit Risk Management Regulations (《信用風險管理規定》), Administrative Regulations on Client Transaction (《客戶交易行為管理規定》), the Regulations on Stress Testing Management (《壓力測試管理規定》) and Information Isolation Wall Management Measures (《信息隔離牆管理辦法》), etc., which cover the concepts and forms of fraud, anti-fraud management system and accountability, fraud prevention and control, fraud reporting and investigation, fraud case handling and reporting, anti-fraud work discipline and other related policies, procedures and guidelines, as well as employee code of conduct. We encourage different stakeholders to report the existing or possible fraudulent behaviours within the Group to disciplinary committee of the Company by means of letters, visits, telephone, e-mails, faxes, etc. Once a report is received, the disciplinary committee will deal with it in a timely and fair manner according to the existing procedures. The disciplinary committee will strictly keep the whistleblower's personal information and report contents confidential to ensure that the whistleblower's legitimate rights and interests are protected by laws.

In addition, we have established a risk management system directly led by the Board, and set up a risk control and supervisory committee under the Board, which is responsible for supervising the Company's overall risk management, ensuring the effective supervision of various risks amid the related business operations. Under this system, we clearly define the responsibilities of each level, as well as risk identification and assessment, risk monitoring, risk response and reporting, risk management evaluation and accountability methods.

To strengthen the awareness of honesty among the employees, it is a requirement for them to sign the commitment of Inccorrupt Practices (《廉潔從業承諾書》), and we provide integrity trainings and education for directors and employees every year. In order to promote an inccorrupt business operation rules with an inccorrupt business supporting system for our business lines and departments. In May 2022, we convened a meeting on Inccorrupt Culture Construction Work (《公司廉潔文化建設工作》) to promote awareness of financial risks prevention by conscientiously learning from financial corruption cases, and by adhering to the bottom line of "clean practice and compliant practice", we will promote the construction of the party conduct and of an honest and clean government and the effective implementation of risk prevention and control work in clean employment. In July 2022, we organised a compliance training for all staff on "Adhering to the Concept of Honesty and Integrity and Conducting Business in Accordance with the Law and Compliance-Code of Conduct for Securities Practitioners", which mainly focused on the management and regulation of the practising behaviour of securities practitioners and aimed to clarify the bottom line of securities practitioners. In November 2022, we held a month of activities on the theme of "Enhancing the Construction of a Corruption-free Practices Culture" to enhance the awareness of employees' corruption-free practices through training and knowledge contest.

During the Year, the Group did not have any lawsuits related to corruption brought against the Company or its employees, nor did it find any violation of laws and regulations related to bribery, extortion, fraud or money laundering, or any situation that had a significant impact on the Group.

4.2 Safeguarding the Rights and Interests of Customers

In order to standardize the complaint handling mechanism of the Group, timely solve the problems arising in the brokerage business, and enhance the brokerage service, we have formulated the Administrative Measures for Reporting of Investor Complaints (《投資者投訴舉報管理辦法》), Regulations on Handling of Reports of Investor Complaints in Brokerage Business (《經紀業務投資者投訴舉報處理規定》), which lists the types of complaint, the complaint handling process, and the disciplinary actions for employees breaching the regulations. Customers may express their views and suggestions on our services in person or by telephone, fax, letter or e-mail or via our website. Upon the receipt of customer's complains, complaints would be categorized according to their nature, scope, frequency and severity, then the complaint acceptance staff will need to fill in the Investor Complaints and Whistle-blowing Acceptance Form (《投資者投訴舉報受理表》), and the corresponding handling of the task will be followed. The complaint acceptance staff must track the whole process of complaint handling and give replies to the complainant as soon as possible after the process is completed. Meanwhile, the staff must understand the satisfaction of customers regarding the process, keep records of the complaint and fill in Investor Complaints Feedback Form (《投資者投訴回訪反饋表》). All materials in the process will be archived for future reference.

During the Year, a total of 56 complaint cases were received by the new retail business head office, of which 52 complaints have been handled properly, with 3 product complaints and 1 service complaint being handled.

The Group also complies with the Advertising Law of the People's Republic of China (《中華人民共和國廣告法》), Trademark Law of the People's Republic of China (《中華人民共和國商標法》), and other related regulations and laws, to ensure that the truth and accuracy of our publicly disclosed information.

During the Year, the Group did not violate any laws and regulations related to advertisements and labels in relation to the services provided.

4.3 Safeguarding Privacy of Customers

The Group strictly abides by the laws in the operating region, including the Law of the People's Republic of China on Guarding State Secrets (《中華人民共和國保守國家秘密法》), the Implementation Measures of the Law on the Protection of State Secrets of the People's Republic of China (《中華人民共和國保守國家秘密法實施辦法》), and the Detailed Rules for the Implementation of the Law on the Protection of State Secrets of the Inner Mongolia Autonomous Region (《內蒙古自治區保守國家秘密法實施細則》), etc. We have formulated the Confidentiality Management Measures (《保密管理辦法》), the Information System Data Management Measures (《信息系統數據管理辦法》), the Business Department Confidentiality Work Code (《營業部保密工作守則》), the Business Department Brokerage Business Operation Platform Authority Management Rules (《營業部經紀業務運營平台權限管理細則》), the Securities Business Department Client File Management Regulations (《證券營業部客戶檔案管理規定》), and other policies, in order to protect customers' privacy and business information. We require relevant managers to educate employees on confidentiality, and require employees to consciously abide by the Group's confidentiality regulations. For employees who violate the regulations, we will impose corresponding penalties according to the situation. Regarding the information system management, our related department has formulated emergency plans for system problems and conducted drills as per requirements. At the same time, we conduct necessary management and maintenance of the information system in a timely manner. We will sign a non-disclosure agreement with the relevant technical staff. We have also set access rights and established a software copy and a registration list to prevent illegal copying, loss and unauthorized use of software.

During the Year, we have no major violations like breaches of customer privacy or loss of customer data, and no major risk incidents like cybersecurity incidents.

4.4 Intellectual Property Protection

We understand the importance of intellectual property protection and comply with the Patent Law of the People's Republic of China (《中華人民共和國專利法》), the Implementation Rules of the Patent Law of the People's Republic of China (《中華人民共和國專利法實施細則》), and other laws and regulations in the operating region. We will continuously improve the intellectual property management system and procedures, safeguard the intellectual property rights of the Group and others, such as patent rights, trademark rights, copyrights, etc. We will also evaluate potential infringement risks and formulate corresponding countermeasures.

4.5 Supply Chain Management

We comply with the Tendering and Bidding Law of the People's Republic of China (《中華人民共和國招標投標法》) and other laws and regulations. We also have formulated the Management Measures for Centralized Procurement (《集中採購管理辦法》) and E-platform Procurement Measures (Trial) (《電商平台採購管理辦法(試行)》), standardizing the procurement process and risk prevention, which constantly improve the Group's sustainable supply chain management. We require both tenderers to sign the Integrity Contract (《廉政合同》). Based on the principles of fairness, impartiality, openness, economy, efficiency and effectiveness, the Group reviews the reputation, finance, compliance and social responsibility of the suppliers. We attach great importance to the management of potential environmental and social risks in supply chain, and evaluate suppliers' environmental and social performance during the procurement process to protect the environment and prevent social risks in the supply chain. We will also give priority to green products and services that are efficient in terms of resource use with eco-friendly labels. Our audit department will regularly check the procurement workflow and evaluate suppliers to ensure the selected suppliers meet various business management requirements.

Due to the nature of the Group's business, we had no major suppliers during the Year.

5. Caring for Employees

The Group strictly complies with the Law of the People's Republic of China on the Protection of Minors (《中華人民共和國未成年人保護法》), the Provisions on Prohibition of Child Labour (《禁止使用童工規定》), the Labour Law of the People's Republic of China (《中華人民共和國勞動法》), the Labour Contract Law of the People's Republic of China (《中華人民共和國勞動合同法》), Implementing Regulations of the People's Republic of China Employment (《中華人民共和國勞動合同法實施條例》) and other laws and regulations in the operating region. We have formulated the Employee Handbook (《員工手冊》), Measures on Welfare (《福利管理辦法》), Measures on Attendance and Leave (《考勤與休假管理辦法》), and other policies relating to recruitment and promotion, compensation and dismissal, working hours, vacation, equal opportunity, diversity, anti-discrimination, welfare, bonus, etc., aiming to provide employees with an equal, inclusive, anti-discrimination and safe working environment.

5.1 Talent Acquisition

For an effective talent acquisition, the Group adheres to the employment principles of “careful organization, comprehensive evaluation, fairness and justice, selection of the best”, along with written tests and interviews to examine candidates from multiple dimensions such as work experience, skills, education and conduct. Various approaches are used to acquire talents. By reviewing the applicants’ identity documents, resumes and qualification documents to assess their suitability for the position to ensure that the recruited employees comply with laws and regulations and prevent the use of child labour. The qualified recruits will have to legally sign binding contracts of Labour Contract (《勞動合同》), Non-disclosure Agreement (《保密協議》) and Employee Handbook Reading Confirmation Form (《員工手冊閱讀確認表》), and other documents, protecting the rights and interests of both sides. We have listed the types of employee resignation and the resignation process in the Administrative Measures for Employee Resignation (《員工離職管理辦法》). The human resources department would conduct interviews with the personnel in key positions to understand the reasons for their resignation, and to identify and manage the resignation-related matters. Resigned employees also need to complete the job handover as per instructions and cooperate with the relevant resignation arrangements of the human resources department. To prevent forced labour from occurring, we have listed the working hours in our Employee Handbook. Once any irregularities are found, we would handle the situations based on the Employee Handbook of the Group. During the Reporting Period, the Group did not violate any relevant laws and regulations on remuneration and dismissal, recruitment and promotion, working hours, equal opportunities, diversity, anti-discrimination, prevention of child labour or forced labour, and no cases of child labour or forced labour are found in the Group.

The Company had a total of 2,390 employees as of 31 December 2022.

5.2 Talents' Benefits

The Group is concerned about the well-being of its employees and has formulated the Welfare Management Measures (《福利管理辦法》) and the Administrative Regulations on Employee Social Security and Housing Provident Fund (《員工社會保險及住房公積金管理規定》), hoping to attract and retain talents with competitive salaries and benefits. Regarding holidays, in addition to statutory holidays, employees may enjoy sick leave, work injury leave, personal leave, annual leave, marriage leave, bereavement leave, prenatal leave, maternity leave and family planning leave. Regarding subsidies, in addition to the welfare of “five social insurances and one housing provident fund”, we also provide annual body check, festival fees, and team activity fees, heating fees, heat stroke prevention and cooling fees, lunch subsidy, communication subsidies, transportation subsidies, multiple work subsidies, remote work and living subsidies, housing subsidies, and remote area subsidies, etc.

The salary of employees is determined according to their ranks and their professional qualifications, and is adjusted according to the overall performance of the year. We will also give out annual performance bonuses and special awards to employees based on the results of performance appraisals. In order to make the assessment fairer and more equitable, during the Year, we updated the Performance Management Implementation Rules (《績效管理實施細則》) and the Performance Management (《績效管理辦法》). Our performance management is composed of four steps, including performance planning and goal setting, performance monitoring and guidance, performance appraisal and evaluation, and application of performance results. The specific implementation steps and requirements should be based on the Performance Management Implementation Rules (《績效管理實施細則》) and the actual situation every year. The human resources department will be responsible for issuing the notice, organizing and implementing the above steps. The performance management organizational structure is composed of the company's president office, human resources department, managers of all levels and employees.

5.3 Talent Development

The Group values talent development. This year marked a year in which the Company continued to promote integration and business transformation, enhance its compliance and risk control management capabilities and deepen the steady development of its business. We have formulated the 2022 Training Plan of Hengtai Securities Co., Ltd. (《恆泰證券 2022 年度培訓計劃》) based on the business development needs of the Company, in order to comprehensively improve the business skills and professional capabilities of employees of different positions and ranks. The training work was based on the requirements of industry regulation, the company's strategic development and the needs of employees to enhance their capabilities, and combined with the results of a survey on the training needs of employees at all levels of the Company, the training system was implemented in the form of a project. The training focused on four areas: deepening the transformation of wealth management and launching specific training; cultivating cadres and reserve talents and launching management training at different levels; training on compliance and risk control and culture and integrity to promote stable and sustainable business development; and applying learning maps to enhance post efficiency. A total of 8 training programmes were conducted throughout the year, with a total of 139 courses developed throughout the year, forming seven major categories of courses on business and business synergy, management, compliance and risk control, and integrity in practice. We also organised two key talent development projects for the company's middle-level cadres, the Project Young Eagle (雛鷹計劃) and the Project Eagle (雄鷹計劃), using online training camps to break through the original training model and explore innovation. At the same time, we have expanded and optimized the internal trainer team, and built a classified and graded team of hundreds of internal trainers and an online course system. In addition, we have also held seminars of various types.

Our training performance during the Year is as follows:

	Percentage of employees Trained (%)	Average training hour
By gender		
Female	100	31.1
Male	100	31.1
By employee category		
Junior staff	100	32
Middle management	100	26.7
Senior management	100	1.5

Besides, we have developed career paths for our employees. Employees can choose to be promoted from low-level to high-level, or they can choose to develop across departments according to their own wishes, professional and management skills.

5.4 Health and Safety

The Group strictly complies with the 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》), the Workplace Occupational Health Supervision and Administration Regulations (《工作場所職業衛生監督管理規定》), the Work Injury Insurance Regulations (《工傷保險條例》) and Occupational Safety and Health Ordinance (《職業安全及健康條例》) of Hong Kong Special Administrative Region, and other laws and regulations in the operating areas, with an aim to provide a healthy and safe working environment to employees.

We have established a series of emergency measures and a safety early warning system to provide employees with necessary protection. We have updated the Employee Social Insurance and Housing Provident Fund Management Regulations (《員工社會保險及住房公積金管理規定》) in order to provide group commercial insurance, accidental injury protection and accident, illness hospitalization allowance and annual physical examination for employees. With a view to raise employees' safety awareness and escape ability, we also regularly hold rescue and fire drills, and occupational safety education and trainings.

During the Year, the Group did not violate any relevant laws and regulations regarding the provision of a safe working environment and protection of employees from occupational hazards, and there was no loss of working days due to work-related injuries. For the three years ended 31 December 2022, the Group has had no deaths of employees due to work-related accidents.

6. Green Operation

We minimize the environmental impact caused by the business management activities. We strictly comply with the Environmental Protection Law of the People's Republic of China (《中華人民共和國環境保護法》), the Energy Conservation Law of the People's Republic of China (《中華人民共和國節約能源法》), the Law of the People's Republic of China on the Prevention and Control of Environmental Pollution by Solid Waste (《中華人民共和國固體廢棄物污染環境防治法》), the Water Pollution Prevention and Control Law of the People's Republic of China and other laws and regulations (《中華人民共和國水污染防治法》), and encourage employees to protect the environment and improve their environmental awareness. We have formulated the Regulations on the Management of Office Environment (《辦公室環境管理規定》) to encourage employees to improve resource usage efficiency, save energy and water, and reduce waste generation.

During the Year, the Group has not violated any laws and regulations related to environmental protection or caused major accidents affecting the environment and natural resources, nor has it received any notice of penalties or lawsuits related to the environment.

The Group has continued the reporting scope of environmental key performance (Hohhot Office) consistent with previous years, we have set the environmental targets during the Year as maintaining or gradually reducing consumption on the basis of 2021, and have considered setting more specific quantitative environmental targets during a suitable time. The details are as follows:

Environmental Aspects	Targets
Energy Efficiency	Maintain or gradually reduce power consumption on the basis of the energy consumption intensity of 242.9 kWh/square meter of 2021. It will be actively implemented according to the Group's energy saving measures.
Environmental Aspects	Targets
Water Efficiency	Maintain or gradually reduce water consumption based on the water consumption intensity of 0.4 cubic meters per square meter of 2021. It will be actively implemented according to the Group's water saving measures.
Waste Reduction	Maintain or gradually reduce waste generation on the basis of the non-hazardous waste generation intensity of 6.5 kg/person of 2021. It will be actively implemented according to the Group's material-saving and waste sorting measures.
Greenhouse Gas Emission Reduction¹	Maintain or gradually reduce direct greenhouse gas (Scope 1) and indirect greenhouse gas (Scope 2) emissions based on the greenhouse gas emission intensity of 0.15 metric tons CO ₂ e/person of 2021. It will be actively implemented according to the Group's energy-saving and greenhouse gas emission reduction measures.

Remark ¹ : Scope 1 : Direct greenhouse gas emissions from stationary equipment fuel consumption, motor vehicle fuel consumption and refrigerants. Scope 2 : Greenhouse gas emissions indirectly caused by electricity consumption.

6.1 Emission Management

As a responsible enterprise, we actively cooperate with various national policies and measures to achieve the goal of “2060 carbon neutrality”. We implement low-carbon operations to reduce greenhouse gas emissions.

Greenhouse gases and other emissions in Scope 1 are primarily from the vehicles owned by the Group. We regularly carry out maintenance to our fleets to maintain vehicle performance, check tire wear and maintain proper tire inflation, and promptly eliminate vehicles that do not meet the environmental standards.

Greenhouse gases of Scope 2 mainly come from the Group’s purchased electricity. Please refer to the “6.2 Energy Conservation” section for energy saving measures.

We carried out greenhouse gas inventory with reference to the Greenhouse Gas Protocol (《溫室氣體盤查議定書》) developed by the World Resources Institute and the World Business Council for Sustainable Development, and to the ISO14064–1 standard from the International Organization for Standardization. The greenhouse gas emissions from the Group’s Hohhot office are as follows:

	Unit	Quantized Value of 2022	Quantized Value of 2021
Direct greenhouse gas emission (Scope 1)	Tonnes of carbon dioxide equivalent (tCO ₂ e)	28.77	26.54
Indirect greenhouse gas emission (Scope 2)	tCO ₂ e	2,318.38	2,074.34
Total greenhouse gas emission	tCO ₂ e	2,347.15	2,100.88
Greenhouse gas emission per capita	tCO ₂ e/m ²	0.17	0.15

6.2 Energy Conservation

The Group's main electricity consumption comes from lighting and air-conditioning systems in offices. We have implemented the following measures to save electricity:

Air Conditioning System	• The air conditioning system is managed by the property management office, with an internal switch
	• Regularly clean the filter to reduce unnecessary energy consumption
	• Avoid installing air conditioners in locations that are directly exposed to the sun
	• Allow employees to wear casual clothing for work in hot weather and on Fridays
Lighting System	• Make full use of natural light to reduce power consumption
	• Install lights with high energy efficiency
	• Install independent lights in meeting rooms to avoid unnecessary long-term lighting in those areas
	• Regular clean lights to maintain performance
	• Develop employees' habit of turning off when not using

We regularly monitor energy efficiency to adjust energy saving measures in a timely manner. During the Year, the total energy consumption of the Group's headquarter office in Hohhot during operation is 3,800,000.00 kWh, and the total energy consumption intensity is 271.43kWh per square meter. Comparing to the data of 2021, the energy consumption intensity of the Group increases by 11.7% due to the addition of 131 servers.

6.3 Water Conservation

The Group does not have any issues in sourcing water intake. We proactively take a number of measures, including applying sensor faucets to reduce water pressure to the lowest practicable level, regularly checking water meter readings to monitor abnormal water usage and perform necessary maintenance, conducting regular leak testing of concealed water pipes, using water-saving toilet tools and raising employees' awareness of water conservation, in order to reduce the Group's water consumption. During the Year, the total water consumption of the Group in Hohhot office was 6,000.00 cubic meters, and the water consumption intensity was 0.43 cubic meters per square meter.

6.4 Waste Reduction

We are committed to improving the efficiency of resource use, adhering to the principle of “reduction, harmlessness, and resource utilization”, and encourage employees to use reusable products as much as possible. We will carry out stocktaking and amount of materials used, and purchase them when needed. Our office wastes including office consumables and electronic wastes including computer consumables, have been handled in a reasonable and environmentally friendly way. We have also signed an agreement with a food waste collection service company to handle food waste professionally.

During the Year, the total amount of non-hazardous waste generated by the Group's Hohhot office was 2,050.00 kg, and the intensity of non-hazardous waste generation was 6.16 kg per employee; hazardous waste included 605 batteries and 88 used ink cartridges/used toner cartridges. Comparing to 2021, the intensity of non-hazardous waste generation of the Group is reduced by 5.2%.

6.5 Climate Change

The Group understands that climate change will have deep impacts on the environment and society, and bring risks to the financial system. Therefore, during the Year, the Group carried out climate change risk identification. With reference to international standards, relevant national rules and regulations and industry development, the Group assessed the possible impacts on business from the aspects of climate change physical risks and climate change transition risks. After the assessment, the impact of climate change on the Group's business is relatively low. If affected by extreme weather, we will actively follow the relevant policies of the local government and make emergency plans beforehand to ensure the safety of employees. In the future, the Group will continue to monitor climate change risks and take corresponding measures.

7. Contribution to Society

The Group understands that business development is inseparable from the support and communication of the local communities. Therefore, we try our best to make use of our existing resources and power to contribute to our society.

The Group actively undertakes social responsibilities by formulating a detailed work plan for the rural revitalization. During the Year, the Company conducted on-site surveys and research in the supporting counties, and identifying 12 projects for implementing continuous support in Siziwang Banner of Ulanqab City, Chahar Right Middle Banner of Ulanqab City, Taibus Banner of Xilingol League and Arxan City, covering six major areas such as industry, public welfare, culture, ecology and consumption involved in supporting projects. In addition, the Company has conducted visits to inspect the invested assistance projects, keeping a close eye on the implementation of each link, so as to effectively bring into play the driving effect of assistance funds on agricultural households, especially those who have left out of poverty, and the monitoring and assistance objects for preventing the return of poverty, to continuously enhance the ability of self-development, and continuously and steadily increase the income of agricultural households, so as to better cement and expand the results of poverty eradication. On 6 December 2022, the Company organised the investment and education department to conduct an online financial knowledge seminar on basic securities knowledge and prevention of illegal securities activities for farmers and herdsmen in the support areas of Bailang Town, Minshuihe Town and Wuchigou Town in Arxan City, which benefited 43 people.



On-site Survey of Supported Counties



Return Visits to Invested Projects

The Company selected outstanding party member representatives from the party members to continue to serve as the resident secretary in Shariburidugacha (沙日布日都嘎查) Jilantai Town, Alxa Left Banner. The designated comrades performed their duties as the resident secretary with dedication, and during the New Year holiday in 2022, the resident clerk launched a sympathy campaign for the poor households in the Baolian Village, visiting 20 households that had left out of poverty and the households of two patients with major diseases to understand their physical conditions, production and living conditions, and family income, bringing them condolences such as rice, flour and oil, and sending condolence money to the patients with major diseases, and making donations and supplies. The total amount of donations and supplies was RMB7,800.

In the context of combating the COVID-19 pandemic, we also encouraged our employees to actively participate in public welfare activities, and about 24 people took the initiative to join their communities to actively participate in epidemic prevention and control and volunteer services, conducting nucleic acid tests, maintaining order and distributing supplies for community residents. On 14 October 2022, the Company arranged a donation of epidemic prevention materials of approximately RMB34,100 to Changhai Community, Xincheng District, Hohhot City; on 19 October 2022, the Company arranged a donation of epidemic prevention materials of approximately RMB19,600 to Inner Mongolia University of Finance and Economics.



Assisting the Community to Prevent and Control Epidemics



Donation of Epidemic Prevention Materials

In terms of environmental protection, in August 2022, the Company made a non-directional donation of RMB30,000 to the SEE Conservation (阿拉善SEE生態協會) and a non-directional donation of RMB70,000 to the SEE Foundation (北京市企業家環保基金會), a Beijing-based organization; from 7 to 9 September 2022, the Company arranged its staff to participate in the “Protecting the Homeland of Birds” project in Hohhot to raise approximately RMB13,400.

Appendix I: Summary of Sustainability Data

The following is a summary of the environmental data of the Group for the Year:

	Unit	2022
Emission of Greenhouse Gases		
Direct greenhouse gas emission (Scope 1)	tonnes of CO ₂ e	28.77
Indirect greenhouse gas emission (Scope 2)	tonnes of CO ₂ e	2,318.38
Greenhouse gas emission intensity (Scope 1 and 2)	tonnes of CO ₂ e	2,347.15
Greenhouse gas emission density (per square meter)	tonnes of CO ₂ e / m ²	0.17
Energy Consumption		
Natural gas consumption	M ³	10,714.00
Diesel consumption	litre	0.00
Gasoline consumption	litre	2,519
Purchased electricity consumption	kWh	3,800,000.00
Purchased power consumption density (per square meter)	kWh / m ³	271.43
Water Consumption		
Total water consumption	m ³	6,000.00
Water density (per square meter)	m ³ / m ²	0.43
Paper Consumption		
Total paper consumption	kg	1,181.25
Per capita paper consumption	kg/capita	3.55
Waste Generation		
Total non-hazardous waste generation	kg	2,050.00
Per capita total non-hazardous waste generation	kg/capita	6.16
Hazardous waste generation (battery)	piece	605
Hazardous waste generation (ink cartridge and toner box)	piece	88

The following is a summary of the social data of the Company for the Year:

Social Aspects	Unit	2022
Total number of employees		
Total number of employees	number of people	2,390
Number of employees (by gender)		
Female	number of people	1,212
Male	number of people	1,178
Number of employees (by employee category)		
Full time junior staff	number of people	2,074
Full time middle management	number of people	300
Full time senior management	number of people	16
Number of employees (by age group)		
Aged 30 below	number of people	534
Aged between 30 and 40	number of people	1,105
Aged 40 above	number of people	751
Number of employees (by geographical region)		
Inner Mongolia	number of people	961
Beijing	number of people	334
Shanghai	number of people	313
Jilin	number of people	262
Guangdong	number of people	159
Zhejiang	number of people	105
Sichuan	number of people	39
Shandong	number of people	48
Liaoning	number of people	42
Jiangsu	number of people	42
Hubei	number of people	7
Social Aspects	Unit	2022
Number of employees (by geographical region)		
Fujian	number of people	14
Tianjin	number of people	14
Shaanxi	number of people	7
Guangxi	number of people	10

Henan	number of people	5
Chongqing	number of people	6
Shanxi	number of people	9
Hunan	number of people	9
Hebei	number of people	4
Other (including Hong Kong, Macau and Taiwan)	number of people	0
Employee turnover rate ¹		
Employee	%	20.0
Employee turnover rate (by gender) ²		
Female	%	15.3
Male	%	22.8
Employee turnover rate (by age) ²		
Aged 30 below	%	34.1
Aged between 30 and 40	%	18.4
Aged 40 above	%	9.2
Employee turnover rate (by geographical region)²		
Inner Mongolia	%	12.2
Beijing	%	21.6
Shanghai	%	33.5
Guangdong	%	25.8
Zhejiang	%	33.3
Jilin	%	11.5
Sichuan	%	17.9
Shandong	%	16.7
Liaoning	%	11.9
Jiangsu	%	21.4
Hubei	%	71.4
Fujian	%	7.1
Tianjin	%	14.3
Shaanxi	%	100
Guangxi	%	0
Henan	%	60
Chongqing	%	16.7
Shanxi	%	11.1

Hunan	%	44.4	
Hebei	%	25	
Other (including Hong Kong, Macau and Taiwan)	%	0	
Occupational Health and Safety			
Work-related fatalities and rates	2020	number of people	0
		%	0
	2021	number of people	0
		%	0
	2022	number of people	0
		%	0
Lost days due to work injury	days	0	
Development and Training			
Percentage of employees participating in training (by gender)			
Female	%	100	
Male	%	100	
Social Aspects	Unit	2022	
Percentage of employees participating in training (by employment category)			
Full time junior staff	%	100	
Full time middle management	%	100	
Full time senior management	%	100	
Average training hours per employee (by gender)			
Female	hours	31.1	
Male	hours	31.1	
Average training hours per employee (by employment category)			
Full time junior staff	hours	32	
Full time middle management	hours	26.7	
Full time senior management	hours	1.5	

¹ Employee turnover rate: turnover of employees / year-end employees

² The turnover rate of this category: the number of employees who have resigned in this category / the total number of employees in this category

Appendix II: Reporting based on the ESG Guide

Environmental Aspects			RelatedSection(s)
A1: Emissions	General Disclosure	Information on: (a) the policies;and (b)compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste.	6. Green Operation
	KPI A1.1	The types of emissions and respective emissions data.	6.1 Emission Management; Appendix I: Summary of Sustainability Data
	KPI A1.2	Direct and energy indirect greenhouse gas emissions and, where appropriate, intensity.	6.1 Emission Management; Appendix I: Summary of Sustainability Data
	KPI A1.3	Total hazardous waste produced and, where appropriate, intensity.	6.4 Waste Reduction; Appendix I: Summary of Sustainability Data
Environmental Aspects			RelatedSection(s)
	KPI A1.4	Total non-hazardous waste produced and, where appropriate, intensity.	6.4 Waste Reduction; Appendix I: Summary of Sustainability Data
	KPI A1.5	Description of the measures taken to reduce emissions and the results achieved.	6.4 Waste Reduction;
	KPI A1.6	Description of how hazardous and non-hazardous wastes are handled, and a description of the measures taken to reduce emissions and the results achieved.	6.4 Waste Reduction

A2: Use of Resources	General Disclosure	Policies on the efficient use of resources, including energy, water and other raw materials.	6.2 Energy Conservation; 6.3 Water Conservation
	KPI A2.1	Direct and/or indirect energy consumption by type in total and intensity.	6.2 Energy Conservation; Appendix I: Summary of Sustainability Data
Environmental Aspects			RelatedSection(s)
	KPI A2.2	Water consumption in total and intensity.	6.3 Water Conservation; Appendix I: Summary of Sustainability Data
	KPI A2.3	Description of energy target(s) set and steps taken to achieve them.	6.2 Energy Conservation;
	KPI 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.	6.3 Water Conservation
	KPI A2.5	Total packaging material used for finished products.	Not applicable, the Group's business does not involve packaging materials
A3: The Environment and Natural Resources	General Disclosure	Policies on minimising the issuer's significant impact on the environment and natural resources.	6. Green Operation
	KPI A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them.	6. Green Operation
Environmental Aspects			RelatedSection(s)
A4: Climate Change	General Disclosure	Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer.	6.5 Climate Change
	KPI 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.	6.5 Climate Change
Social Aspects			RelatedSection(s)
B1: Employment	General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare.	5. Caring for Employees; 5.1 Talent Acquisition; 5.2 Talent Benefits; 5.3 Talent Development
	KPI B1.1	Total workforce by gender, employment type, age group and geographical region.	5.1 Talent Acquisition Appendix I: Summary of Sustainability Data
	KPI B1.2	Employee turnover rate by gender, age group and geographical region.	Appendix I: Summary of Sustainability Data

Social Aspects			RelatedSection(s)
B2: Health and Safety	General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards.	5.4 Health and Safety
	KPI B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year.	5.4 Health and Safety; Appendix I: Summary of Sustainability Data
	KPI B2.2	Lost days due to work injury.	5.4 Health and Safety; Appendix I: Summary of Sustainability Data
	KPI B2.3	Description of occupational health and safety measures adopted, and how they are implemented and monitored.	5.4 Health and Safety
Social Aspects			RelatedSection(s)
B3: Development and Training	General Disclosure	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities.	5.3 Talent development
	KPI B3.1	The percentage of employees trained by gender and employee category.	5.3 Talent development; Appendix I: Summary of Sustainability Data
	KPI B3.2	The average training hours completed per employee by gender and employee category.	5.3 Talent development; Appendix I: Summary of Sustainability Data
B4: Labour Standards	General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour.	5. Caring for Employees; 5.1 Talent Acquisition
	KPI B4.1	Description of measures to review employment practices to avoid child and forced labour.	5.1 Talent Acquisition
	KPI B4.2	Description of steps taken to eliminate such practices when discovered.	5.1 Talent Acquisition
Social Aspects			RelatedSection(s)
B5: Supply Chain Management	General Disclosure	Policies on managing environmental and social risks of the supply chain.	4.5 Supply Chain Management
	KPI B5.1	Number of suppliers by geographical region.	4.5 Supply Chain Management
	KPI 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.	4.5 Supply Chain Management
	KPI B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored.	4.5 Supply Chain Management

	KPI B5.4	Description of practices used to promote environmentally preferable products and services when selecting suppliers, and how they are implemented and monitored.	4.5 Supply Chain Management
Social Aspects			RelatedSection(s)
B6: Product Responsibility	General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress.	4.2 Safeguarding the Rights and Interests of Customers; 4.3 Safeguarding Privacy of Customers
	KPI B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons.	Not applicable to the Group's business
	KPI B6.2	Number of products and service related complaints received and how they are dealt with.	4.2 Safeguarding the Rights and Interests of Customers
	KPI B6.3	Description of practices relating to observing and protecting intellectual property rights.	4.4 Intellectual Property Protection
	KPI B6.4	Description of quality assurance process and recall procedures.	Not applicable to the Group's business
	KPI B6.5	Description of consumer data protection and privacy policies, and how they are implemented and monitored.	4.3 Safeguarding Privacy of Customers
Social Aspects			RelatedSection(s)
B7: Anti-corruption	General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering.	4.1 Anti-corruption
	KPI 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.	4.1 Anti-corruption
	KPI B7.2	Description of preventive measures and whistle-blowing procedures, and how they are implemented and monitored.	4.1 Anti-corruption
	KPI B7.3	Description of anti-corruption training provided to directors and staff.	4.1 Anti-corruption
Social Aspects			RelatedSection(s)
B8: Community Investment	General Disclosure	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.	7. Contribution to Society
	KPI B8.1	Focus areas of contribution.	7. Contribution to Society
	KPI B8.2	Resources contributed to the focus area.	7. Contribution to Society