



# 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：03678.HK；001236.SZ



# 2022

## ESG REPORT

## 環境、社會和管治報告

# Contents 目錄



ABOUT THIS REPORT	2	關於本報告	2
I. ESG MANAGEMENT	6	一、ESG管理	6
II. INSISTING ON THE BOTTOM LINE OF COMPLIANCE FOR LONG-TERM STABILITY	10	二、行穩致遠，堅守合規底線	10
III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT	23	三、低碳轉型，堅持綠色發展	23
IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES	35	四、信賴共贏，優化客戶服務	35
V. EMPOWERING TALENT, HELPING STAFF DEVELOPMENT	45	五、賦能於人，助力員工成長	45
VI. ALWAYS REMEMBER THE SOURCE, BUILDING A HARMONIOUS HOME TOGETHER	61	六、飲水思源，共建和諧家園	61
APPENDIX	74	報告附錄	74

# 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 Listing Rules on The Stock Exchange of Hong Kong Limited and the Guidelines of Shenzhen Stock Exchange for Self-Regulatory Supervision by Listed Companies. The disclosure of each indicator in this report can be found in the Index of Indicators in the Appendix of this report.

### (III) Reporting scope and boundary

Unless otherwise stated, this report covers the data within the period from 1 January 2022 to 31 December 2022 (“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 44.18% 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」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

本報告嚴格按照香港聯合交易所有限公司上市規則附錄27所載《環境、社會及管治報告指引》及《深圳證券交易所上市公司自律監管指引》進行編製，各項指標在本報告中的披露情況可參見報告附錄的指標索引。

### (三) 報告範圍及邊界

除特殊說明外，本報告所載數據時間範圍在2022年1月1日至2022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、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，佔整體辦公人數的44.18%。



## ABOUT THIS REPORT 關於本報告

### (IV) Source of data and assurance

The financial information in this report is extracted from the 2022 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>), the website of Shenzhen Stock Exchange (<http://www.szse.cn/>) and the website of Holly Futures (<http://www.ftol.com.cn>).

### (VI) Contact

Holly Futures Co., Ltd.

Address: Building 3, No. 399 Jiang Dong Zhong Road, Jianye District, Nanjing, Jiangsu Province

Email: [zqb@ftol.com.cn](mailto:zqb@ftol.com.cn)

### (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2022年年度報告》。其他數據均來自本集團內部數據、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>)、深圳證券交易所網站(<http://www.szse.cn/>)和弘業期貨公司網站(<http://www.ftol.com.cn>)。

### (六) 聯繫方式

弘業期貨股份有限公司

地址：江蘇省南京市建鄴區江東中路399號3幢

郵箱：[zqb@ftol.com.cn](mailto:zqb@ftol.com.cn)

# ABOUT THIS REPORT

## 關於本報告

### ABOUT HOLLY FUTURES

Holly Futures Co., Ltd. was established in 1995, and it is under Jiangsu SOHO Holdings Group Co., Ltd., a wholly-stated-owned limited liability company of Jiangsu SASAC. In December 2015, Holly Futures was listed on the Main Board of Hong Kong Stock Exchange (03678.HK), becoming the first provincial enterprise listed overseas since the establishment of the Jiangsu SASAC. On 5 August 2022, Holly Futures was successfully listed on the Main Board of Shenzhen Stock Exchange (001236.SZ), becoming the first A+H listed futures company in China. The Company's business scope covers commodity futures brokerage, financial futures brokerage, futures investment consulting, asset management, fund sales 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 centers and key cities, and is the first in the industry to establish a national-level post-doctoral workstation. Holly International Financial, a wholly-owned subsidiary of the Company, is mainly engaged in offshore securities and futures trading, asset management, investment advisory and other services, covering major global securities and futures exchanges. Holly Capital, a wholly-owned risk management subsidiary, is mainly engaged in commodities trading and risk management and is a market maker of several futures products.

### 關於弘業期貨

弘業期貨股份有限公司成立於1995年，隸屬於江蘇省國資委全資擁有的國有企業江蘇省蘇豪控股集團有限公司。2015年12月，弘業期貨在香港聯合交易所主板上市(03678.HK)，成為江蘇省國資委成立以來首家在境外首發上市的省屬企業。2022年8月5日，弘業期貨成功登陸深圳證券交易所主板(001236.SZ)，成為國內首家A+H上市的期貨公司。公司經營範圍涵蓋商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理、基金銷售業務。

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，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，並在行業內率先建立國家級博士後工作站。公司全資子公司弘業國際金融主要從事境外證券及期貨交易、資產管理、投資諮詢等服務，覆蓋全球大型證券期貨交易所；全資風險管理子公司弘業資本主要從事大宗商品交易及風險管理業務，是多個期貨品種的做市商。



## 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. The Company has won the awards of “National Civilized Unit”, “China’s Best Futures Company” and “Outstanding Member” of various futures exchanges. The Company has been rated as a “Class A” futures company by CSRC for the fourteenth consecutive year since 2009.

Holly Futures is striving to become an international listed financial company with “more improved mixed ownership system, more flexible organizations and mechanisms and more effective risk management and control”. The Company will focus on five cores of brokerage business, risk management, wealth management, asset management and international business on the premise of well-managed and well-controlled of risks and continue on its expansion of both online and offline “platforms” to leverage the Company’s licensing advantages in risk management, asset management and international business, accelerate innovation development and explore the development of futures derivatives investment banking business. The Company will also continue to expand the breadth and depth of the Company’s “five in one” service model for the real economy, make full use of the “horse racing” mechanism for win-win cooperation, and strive to build a comprehensive derivatives service system that meets the needs of futures options, OTC, spot futures, domestic and overseas market, facilitating the transformation of the Company from a platform service provider to an integrated professional investment banking provider. The Company will highlight the two main lines of deepening reform and upgrading, releasing dividends through reform to promote healthy development of the enterprise, and seek opportunities through transformation to promote sustainable development of the enterprise. With its goal of enhancing its core competitiveness, the Company will deepen reform, transformation and upgrade to further optimize the allocation of resources and adjust the industrial structure, promoting and safeguarding the quality development of the Company.

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、卓越、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。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。公司自2009年起，連續14年被中國證監會評為A級期貨公司。

弘業期貨力爭建設成為「混合所有制更加完善、體制機制更加靈活、風險管控更加有效、上市平台優勢更加突出」的國際型金融上市公司。在管控好風險的前提下，圍繞經紀業務、風險管理、財富管理、資產管理、國際業務五個「中心」，繼續拓展線上和線下兩個「平台」，充分發揮公司風險管理、資產管理、國際業務等牌照優勢，加快創新發展，探索開展期貨衍生品投行業務。持續拓展公司「五位一體」服務實體經濟模式的廣度和深度，充分運用好合作共贏的「賽馬」機制，著力構建適應期貨期權、場內場外、期貨現貨、境內境外需求的綜合衍生品特色服務體系，推動公司實現從平台服務提供商向綜合型專業投行業務提供商的轉型。突出深化改革與轉型升級兩條主線，以改革釋放紅利，推動企業健康發展，以轉型尋找機遇，促進企業持續發展。以提升核心競爭力為目標，深化改革、轉型升級，進一步優化資源配置，調整產業結構，促進和保障公司高質量發展。



# I. ESG MANAGEMENT

## 一、ESG管理

Holly Futures upholds the social responsibility philosophy of “social responsibility and corporate growth are unified”, and attaches importance to the establishment of a high-level ESG governance system and a sound ESG working mechanism, fully integrating ESG concepts into the Company’s development strategy and business activities, and working together with various stakeholders to promote sustainable development in an orderly manner.

### (I) Board statement

The Board of the Group actively promotes ESG disclosure and oversees the ESG work of the Company, including identifying ESG risks, consolidating ESG regulations and systems, addressing important ESG-related issues, reviewing progress on ESG objectives and reviewing ESG reports that include ESG risks, regulations, important issues and objectives.

The Board of Directors and all Directors of the Group warrant that the contents of this report do not contain any false statements, misleading representations or material omissions and accept full responsibility for the Company’s ESG strategy and reporting. The Company’s ESG management work is led by the Securities Department, with each function and business unit responsible for the implementation and execution of ESG issues and the day-to-day management and reporting of ESG-related information. At the same time, the Group sets phased ESG targets based on business development and implements various approaches and policies across the Group to improve the Company’s performance in all aspects of ESG.

### (II) Stakeholders’ engagement

The Company attaches great importance to communication with stakeholders such as the government, shareholders, employees, customers, suppliers, the environment and the community, and has established diversified communication channels and feedback mechanisms in response to the characteristics of each stakeholder. Based on the business characteristics of the futures industry, we understand the expectations 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.

弘業期貨秉承「社會責任與企業成長相統一」的社會責任理念，重視建立高水平的ESG治理體系和完善的ESG工作機制，將ESG理念全面融入公司發展戰略和經營活動中，攜手各利益相關方有序推進可持續發展工作。

### (一) 董事會聲明

本集團董事會積極推進ESG信息披露工作，並對公司ESG工作進行監管，包括識別ESG風險、整合ESG規章制度、處理ESG重要相關事宜、檢討ESG目標相關進度，並審閱包含ESG風險、規制、重要事宜與目標在內的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，並對公司ESG策略及匯報承擔全部責任。公司ESG管理工作由證券部牽頭，由各職能及業務部門負責ESG議題的落地執行和日常管理提報ESG相關信息。同時，本集團依據業務發展情況，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。

### (二) 持份者溝通／利益相關方溝通

本公司高度重視與政府、股東、員工、客戶、供應商、環境、社區等持份者的溝通交流，針對各持份者特點建立了多元化的溝通渠道與反饋機制，依據期貨行業業務特點，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相統一。



# 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"> <li>Compliance operation</li> <li>Addressing climate change</li> <li>Serving the real economy</li> <li>Anti-corruption and anti-money laundering</li> </ul>	<ul style="list-style-type: none"> <li>Meetings with and trainings of government and regulatory authorities</li> <li>Local government and enterprise project cooperation</li> <li>Fulfilment of disclosure obligations for listed companies</li> <li>Regular communication and reports of the enterprise</li> <li>On-site inspections by regulatory authorities</li> <li>政府及監管部門會議及培訓</li> <li>地方政府及企業項目合作</li> <li>履行上市公司信息披露義務</li> <li>定期溝通與報告企業情況</li> <li>監管部門現場檢查</li> </ul>
Shareholders 股東	<ul style="list-style-type: none"> <li>ESG management</li> <li>Risk management</li> <li>Compliance operation</li> <li>Anti-corruption and anti-money laundering</li> <li>Protection of shareholders' rights and interests</li> </ul>	<ul style="list-style-type: none"> <li>Websites of exchanges and other designated media</li> <li>Investor Relations section of the Company's website</li> <li>General meeting</li> <li>Investor survey and research</li> <li>Hotline for investors</li> <li>Company announcement</li> <li>交易所官網及其他指定媒體</li> <li>公司官網投資者關係欄目</li> <li>股東大會</li> <li>投資者調研活動</li> <li>投資者熱線電話</li> <li>公司公告</li> </ul>
Customers 客戶	<ul style="list-style-type: none"> <li>Investor education</li> <li>Responsible marketing</li> <li>Enhancing customer experience</li> <li>Security of customer information</li> </ul>	<ul style="list-style-type: none"> <li>Customer service hotline</li> <li>Customer satisfaction survey</li> <li>Resolving customers' complaints</li> <li>Investor education</li> <li>Holly Easy (弘運通) APP and social media</li> <li>客戶服務熱線</li> <li>客戶滿意度調查</li> <li>客戶投訴處理</li> <li>投資者教育</li> <li>弘運通APP、社交媒體</li> </ul>



# 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"> <li>Diverse and equal employee</li> <li>Occupational health and safety</li> <li>Protection of employees' rights and interests</li> <li>Staff retention and development</li> <li>多元化與平等僱傭</li> <li>職業健康安全</li> <li>保障員工權益</li> <li>員工留任與發展</li> </ul>	<ul style="list-style-type: none"> <li>Enterprise OA platform</li> <li>Complaint box and trade unions</li> <li>Team building activities</li> <li>Employees' satisfaction survey</li> <li>企業OA平台</li> <li>意見箱及工會渠道</li> <li>團建活動</li> <li>員工滿意度調查</li> </ul>
Partners 合作夥伴	<ul style="list-style-type: none"> <li>Coordinate suppliers' development</li> <li>Promote industry development</li> <li>Business ethnic</li> <li>協調供應商發展</li> <li>促進行業發展</li> <li>商業道德</li> </ul>	<ul style="list-style-type: none"> <li>Supplier rating</li> <li>Industrial communication conference</li> <li>供應商評分</li> <li>行業溝通會議</li> </ul>
Environment 環境	<ul style="list-style-type: none"> <li>Use of resources</li> <li>Emission management</li> <li>資源使用</li> <li>排放物管理</li> </ul>	<ul style="list-style-type: none"> <li>Proactive disclosure of environmental data</li> <li>Implementing green office</li> <li>主動披露環境數據</li> <li>落實綠色辦公</li> </ul>
Community 社區	<ul style="list-style-type: none"> <li>Public welfare and charity</li> <li>Rural revitalization</li> <li>Localized operation</li> <li>公益慈善</li> <li>鄉村振興</li> <li>本地化運營</li> </ul>	<ul style="list-style-type: none"> <li>Public welfare and charity activities</li> <li>Rural revitalization project</li> <li>Localized employment and procurement</li> <li>公益慈善活動</li> <li>鄉村振興項目</li> <li>本地化招聘、採購</li> </ul>

# I. ESG MANAGEMENT

## 一、ESG管理

### (III) Materiality assessment

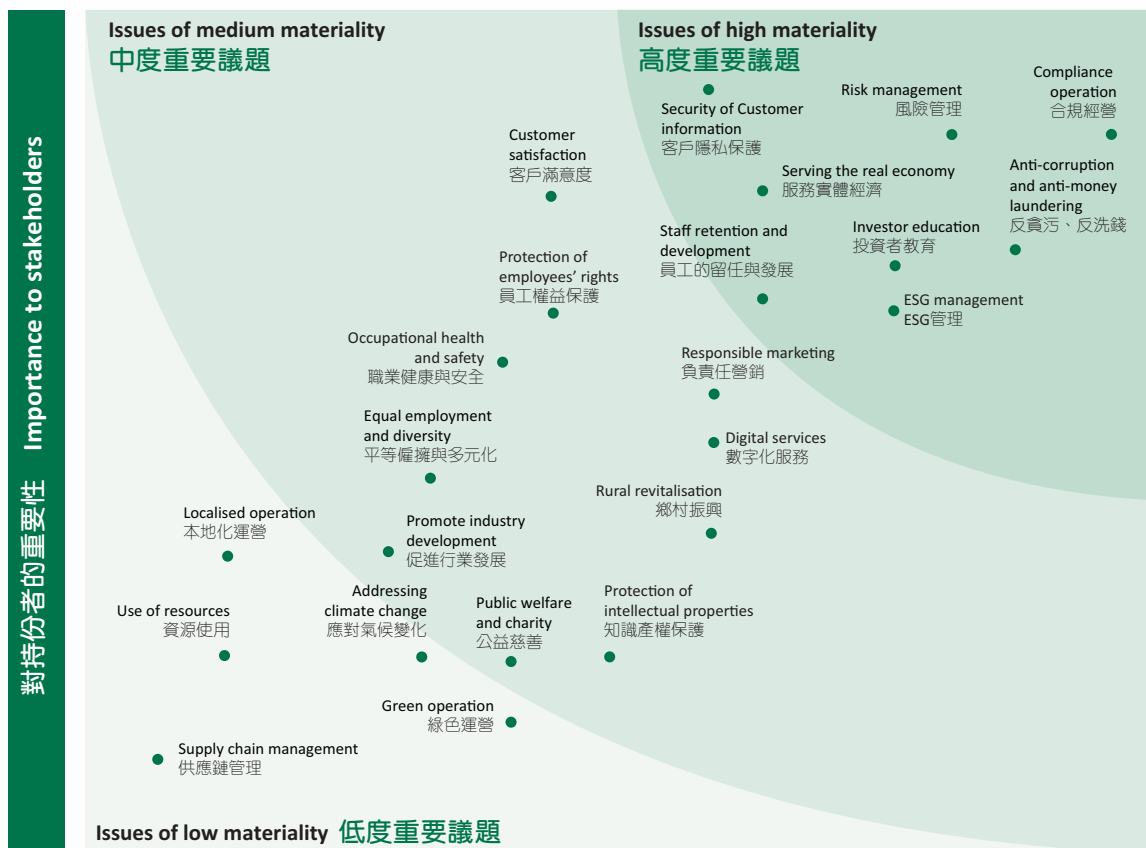
In order to improve the focus and responsiveness of the report, the Company identified 23 substantive ESG issues that the Company need to face by sorting through laws and regulations, international standards, conducting industry analysis and expert interviews, and combining them with the actual development of the Company. The Company conducts internal materiality assessments for each ESG issue and external materiality assessments through questionnaires for various stakeholders such as the community, customers and partners. Ultimately, the Company will identify the issues of high, medium and low materiality of the Company along two dimensions, i.e., the “importance to stakeholders” and the “importance to the sustainable development of Holly Futures”.

This report will respond and make disclosures in respect of the material issues and focus our response on issues of high materiality.

### (三) 重要性評估

為提高報告的針對性與回應性，本公司通過梳理法律法規、國際標準，進行行業分析與專家訪談，結合公司實際發展情況等因素，識別出23項公司需要面臨的ESG實質性議題。公司針對各ESG議題項進行內部重要性評估，並通過問卷調查的方式對社區、客戶、合作夥伴等各持份者進行外部重要性評估，最終從「對持份者的重要性」和「對弘業期貨可持續發展的重要性」兩個維度來識別出公司高度、中度、低度重要議題。

本報告將針對各項重要議題進行響應與披露，並重點回復其中的高度重要議題。



Importance to the sustainable development of Holly Futures 對弘業期貨可持續發展的重要性

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

Holly Futures constantly improve its corporate governance rules and regulations and improve its operational mechanism by drawing on advanced international experience, regulating the composition of the Board to enhance its internal controls and reduce operational risks, protecting the healthy and sustainable development of the Company with a compliant and stable operation.

### (I) Sound governance structure

In strict accordance with the Company Law of the People's Republic of China, the Code of Governance for Listed Companies, the Rules for the Supervision and Administration of Futures Companies and other relevant laws and regulations, Holly Futures has continued to improve its modern corporate governance structure and established a set of governance structure that meets the requirements of the modern corporate system.

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

With the Articles of Association as the core system, Holly Futures has established a corporate governance structure with equal rights and responsibilities, coordinated operations and effective balances among the general meeting, the board of directors, the supervisory board and the management to form a governance mechanism with scientific decision-making, firm execution and strong supervision to ensure sound operation, standardized operation and sustainable development of the Company.

Holly Futures has formulated corresponding rules of procedure to define its powers, responsibilities and decision-making procedures. During the Reporting Period, each of the organs carried out their work seriously, performed their duties in strict accordance with the Articles of Association of the Company, conducted research and made reasonable suggestions and recommendations on important matters relating to the Company's operations. During the Reporting Period, the Company successfully held 2 general meetings, 9 Board meetings, and 4 meetings of the supervisory committee, and for special committees, held 4 meetings of the audit committee, 2 meetings of the remuneration committee, 2 meetings of the risk management committee and 4 meetings of the nomination committee. The convening and voting procedures of the meetings are legal and valid. Please refer to the Corporate Governance Report in the Annual Report for details.

弘業期貨持續完善公司治理規章制度、健全運行機制，吸收借鑒國際先進經驗，規範董事會建設，提升內部控制水平，降低業務營運風險，以合規穩健經營護航公司健康持續發展。

### (一) 完善治理結構

弘業期貨嚴格依照《中華人民共和國公司法》《上市公司治理準則》《期貨公司監督管理辦法》等相關法律法規要求，不斷完善現代化公司治理架構，建立一套符合現代公司制度規範要求的治理構架。

#### 1. 三會一層架構

弘業期貨以公司章程為核心制度體系，建立了股東大會、董事會、監事會與經營管理層之間權責對等、運轉協調、有效制衡的公司治理結構，形成了決策科學、執行堅決、監督有力的治理機制，確保了公司的穩健經營、規範運作和可持續發展。

弘業期貨制定了相應的議事規則，明確了權責和決策程序。報告期內，各機構認真開展各項工作，嚴格按照公司章程履行職責，就公司經營重要事項開展研究並提出合理意見和建議。報告期內公司成功召開了2次股東大會、9次董事會會議、4次監事會會議，專門委員會中審核委員會召開4次會議、薪酬委員會召開2次會議、風險管理委員會召開2次會議、提名委員會召開4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。



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

### 2. Investor Relations Management

Holly Futures attaches great importance to investor relations management and is committed to building good interactions with our investors and protecting the interests of our shareholders. The Company strictly follows the regulatory requirements of the Stock Exchange and the Hong Kong Stock Exchange in disclosing information, safeguarding the truthfulness, accuracy, completeness and timeliness of information disclosure, and maintaining transparent and efficient communication with investors.

The Company supports multi-channel investor relations management and has set up a multi-channel investor communication platform to actively respond to questions from investors through various channels such as the Investor Hotline, the Company's email, the "IR Connect" of the Stock Exchange and the "EasyIR platform" of the Shenzhen Stock Exchange, which gives a detailed presentation on the Company's performance, products and development direction, fully explaining the investment value of the listed company, answering investors' concerns and feeding back their reasonable suggestions to the management.

Holly Futures strictly complies with the Model Code for Securities Transactions by Directors of Listed Issuers (the "Model Code") as set out in Appendix 10 of the Listing Rules by strictly regulating directors' dealings in the Company's securities and managing unpublished price sensitive data that may be available to staff to protect the interests of small and medium shareholders. At the same time, the Board will review the governance and operations of the Company from time to time to ensure compliance with the relevant requirements of the Listing Rules. During the reporting period, all directors and supervisors of Holly Futures fully complied with the standards of the Model Code and there were no incidents of non-compliance with the Model Code by employees.

### 2. 投資者關係管理

弘業期貨高度重視投資者關係管理工作，致力於與投資者建立良好的互動關係並切實保障股東權益。本公司嚴格遵循聯交所、港交所的監管要求披露信息，保障信息披露的真實性、準確性、完整性與及時性，與投資者保持透明高效的溝通。

公司支持多渠道開展投資者關係管理，搭建多渠道投資者溝通平台，通過投資者熱線、公司郵箱、聯交所「投資服務通」、深交所「互動易平台」等各渠道來積極回復投資者提出的問題，就公司的業績、產品、發展方向等作詳細介紹，充分闡述上市公司的投資價值，答覆投資者關心的問題，並將投資者的合理建議反饋至管理層。

弘業期貨嚴格遵守《上市規則》附錄十《上市發行人董事進行證券交易的標準守則》（《標準守則》），嚴格規範董事就本公司證券的交易事項，並就員工有可能掌握的未公佈股價敏感數據進行管理，保障中小股東利益。同時董事會會不定期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。報告期內，弘業期貨所有董事和監事均完全遵守《標準守則》標準，未發生員工違反《標準守則》的事件。

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

### 3. Board diversity

Holly Futures is committed to diversity and professionalism in our governance philosophy, providing the Board with a diverse range of voices to provide a multi-faceted perspective to meet the challenges of the new normal, promote more balanced decision-making and enhance the leadership of the director and competitiveness of the Company. The Company recruits high caliber individuals of different genders and backgrounds with diverse perspectives to ensure a proper balance of diversity on the Board, thereby enhancing the professionalism and independence of the Board. The number and percentage of female directors, supervisors and senior management members of the Company are as follows:

	Directors 董事	Supervisors 監事	Senior management 高級管理人員
Number of female members 女性人數	1	2	2
Percentage of female members 女性比例	12.5%	66.7%	33.3%

As of the end of the Reporting Period, the Board of Holly Futures consisted of two executive directors, three non-executive directors and three independent non-executive directors, of which the independent non-executive directors all hold master's degrees or above and have extensive experience in the fields of operation and management, legal compliance, finance and accounting, etc. They are conducive to making independent judgments on important matters, expressing objective and impartial decision-making opinions, and safeguarding the interests of the Company as a whole while paying practical attention to the legitimate interests of small and medium shareholders from being undermined. During the Reporting Period, the Company organized the "Continuous Supervisory Training of 2022" and "Directors' Training of 2022", which covered compliance information disclosure, prohibition of insider trading and market manipulation, share incentive scheme, refinancing scheme, anti-money laundering and anti-corruption, etc., of which, the "Continuous Supervisory Training of 2022" was attended by all directors, supervisors and senior management of the Company, a total of 17 persons, with a per capita training duration of 2 hours, while the "Directors' Training of 2022" was attended by all the directors of the Company, a total of 8 people, with a per capita training duration of 2 hours.

### 3. 董事會多元化

弘業期貨落實多元化和專業化的管治理念，以擁有多元化的聲音來為董事會提供多角度思維，以應對新常態下的挑戰，推動更加均衡的決策，提升董事領導力與公司競爭力。公司選聘不同性別、不同背景、擁有多元視角的高層次人才，以確保董事會成員在多元化方面維持適當的平衡，從而提高董事會的專業性和獨立性。公司董事、監事、高級管理人員女性人數及佔比如下：

截至報告期末，弘業期貨董事會由2名執行董事、3名非執行董事、3名獨立非執行董事組成，其中獨立非執行董事均為碩士及以上學位，在經營管理、法律合規、財會金融等領域具有豐富經驗，有助於對重大事務進行獨立判斷，發表客觀、公正的決策意見，在維護公司整體利益的同時，切實關注中小股東合法權益不受損害。報告期內，公司組織開展了《2022年度持續督導培訓》與《2022年度董事培訓》，培訓內容涵蓋合規信息披露、禁止內幕交易與操控市場行為、股權激勵方案、再融資方案、反洗錢反貪污等，其中《2022年度持續督導培訓》參訓人員為公司全體董監高人員，共計17人，人均培訓時長為2小時，《2022年度董事培訓》參訓人員為公司全體董事，共計8人，人均培訓時長為2小時。



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

### (II) Optimization of compliance risk control

Guided by the risk management principles of “comprehensiveness, sustainability, independence and effectiveness”, Holly Futures has continued to enhance its compliance management system and various risk management policies and systems, and strengthen internal controls and risk management, ensuring that its business operations comply with relevant laws and regulations, and promoting the sound operation of the Company in accordance with the law.

#### 1. Sound compliance and risk control system

In order to regulate corporate management and control operational risks, Holly Futures has formulated the Measures for Compliance Management of Holly Futures to establish a sound multi-level compliance management system with the Chief Risk Officer at its core, ensuring that compliance management covers all businesses, departments and employees, through all aspects of decision-making, execution, supervision and feedback.

#### Responsibility of the compliance management organization system

Position 崗位	Responsibility 職責
The Board 董事會	Promoting a compliance culture, establishing a sound organizational structure, considering and approving compliance policies, appointing and removing the Chief Risk Officer, checking the execution of the compliance system and evaluating the effectiveness of the Company's compliance management 倡導合規文化、建立健全組織架構、審議批准合規政策、首席風險官的任免、檢查合規制度的執行情況、對公司合規管理的有效性做出評價
Supervisors 監事	Overseeing whether the Board, senior management and compliance officers are fulfilling their compliance management responsibilities, overseeing the compliance of the Board's decisions and decision-making processes and overseeing the implementation of the Company's compliance management system 監督董事會、高級管理層和合規負責人是否履行了合規管理責任、監督董事會的決策及決策流程是否合規、監督公司合規管理制度的實施

### (二) 優化合規風控

弘業期貨以「全面性、可持續性、獨立性、有效性」的風險管理原則為指引，持續優化合規管理體系及各項風險管理政策制度，加強內部控制和風險管理，確保業務運營遵守相關法律法規，促進本公司依法穩健經營。

#### 1. 健全合規風控體系

為了規範企業管理，控制經營風險，弘業期貨制定《弘業期貨股份有限公司合規管理辦法》，建立健全以首席風險官為核心的多層級合規管理體系，確保合規管理覆蓋公司所有業務、所有的部門和全體員工，貫穿決策、執行、監督、反饋等各個環節。

#### 合規管理組織體系職責



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

Position 崗位	Responsibility 職責
Senior management 高級管理層	Cooperating with the formulation and revision of the compliance management system, considering and approving the compliance management plan, providing the necessary financial, material and technical support for compliance management, and establishing an effective communication and coordination mechanism and mutual assistance and collaboration mechanism 配合制定修訂合規管理制度、審核批准合規管理計劃、為合規管理提供必要的財力、物力和技術支持、建立有效的溝通協調機制和互助協作機制
Chief Risk Officer 首席風險官	Overseeing the day-to-day compliance of the Company's business and providing strong support and protection for the sustainable and healthy development of the Company with other functional departments 對公司日常業務合規性監督檢查、與公司其他職能部門共同為公司持續健康發展提供堅強的支持和保障
Head of departments 各單位負責人	Assuming leadership responsibility for the effectiveness of compliance management of the departments and integrating compliance management into specific business activities 對本單位合規管理的有效性承擔領導責任、將合規管理工作貫徹到具體經營活動過程中

The Company has implemented a four-tier risk management structure, namely “The Board – Risk Management Committee – Chief Risk Officer – Risk Control Officers in each business department”, to identify and control operational risk, moral risk, market risk, credit risk and investment risk faced by the Company in its operation, keeping the risks within tolerable limits.

公司實施「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」四層風險管理構架，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、投資風險進行識別和把關，將風險控制在可承受的範圍內。

### 2. Ensuring compliant operations

Holly Futures has put in place a full set of internal control systems throughout the Company's decision-making, execution, supervision and feedback processes, effectively implementing the systems and regulations related to each business process and position responsibilities to ensure various businesses are running and connected properly. During the Reporting Period, the Company revised the Provisions on Punishment for Employee Violations of Holly Futures Co., Ltd. (Trial) to provide additional information on serious breaches of the Company's rules and regulations by employees and to regulate the futures trading advisory business in accordance with the regulatory rules, in order to continuously improve the Company's rules and regulations and effectively reduce the risk of non-compliance by employees.

### 2. 確保合規運營

弘業期貨將公司整套內部控制制度貫穿公司決策、執行、監督、反饋等各個環節，有效落實與各項業務流程和崗位職責有關的制度規範，確保了各項業務得以良好運轉和銜接。報告期內，公司修訂了《弘業期貨股份有限公司員工違規處分規定（試行）》，對員工嚴重違反公司規章制度的情形進行了補充，並根據監管規則規範期貨交易諮詢業務等相關表述，以不斷完善公司規章制度，有效降低員工違規風險。



## 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 strengthened its daily compliance management and supervised practitioners at all levels to carry out various business operations and management activities in a standardized manner. The Risk Control Officer has sorted the existing business process settings and business operations in accordance with various compliance management requirements to identify internal control deficiencies and make corresponding improvement recommendations. At the same time, they have made timely and dynamic adjustments to the corresponding rules and regulations in accordance with the recommendations on the rectification of internal control deficiencies, improving the internal control system and control measures in actual work.

We have been carrying out internal audit work by formulating annual internal audit work plans and carrying out various audits to perform audit supervision and protection functions. In 2022, 14 internal audits were conducted, including 6 economic responsibilities audits, 7 special audits and 1 performance audit. The Company's internal audit team has issued internal audit reports in a timely manner, actively rectified the problems identified in the annual audit and carried out regular supervision and inspection to ensure that all rectifications are in place.

During the Reporting Period, neither the Company nor its directors, supervisors and senior management were subject to any penalties or public reprimands, and no significant penalties were imposed by the financial taxation, foreign exchange and auditing authorities.

公司加強日常合規經營管理，督促各級從業人員規範開展各項業務經營管理活動。風控專員依照各項合規管理要求對現有業務流程設置和業務運行情況逐一開展梳理，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，對相應規章制度進行適時動態調整，在實際工作中完善了內控制度和控制措施。

我們紮實開展內部審計工作，制定年度內部審計工作計劃，開展各項審計工作，發揮審計監督保障職能。2022年開展了14項內部審計項目，其中6項經濟責任審計，7項專項審計，1項績效審計，公司內部審計小組及時出具內審報告，對年度審計中發現的問題進行積極整改，並開展常態化督促檢查，以確保全部整改的落實到位。

報告期內，公司及董事、監事、高級管理人員均無被處罰和公開譴責的情況，無被財稅、外匯、審計等部門施以重大處罰的現象。

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

### 3. Preventing compliance risks

Holly Futures has established the concept of “giving priority to compliance, everyone in compliance, to be proactive in compliance, creating values from compliance” to cultivate the awareness of compliance among all staff, enhance their compliance level and establish a good long-term mechanism for compliance management through various forms of special training on compliance, including the promotion of laws and regulations, compliance management practices, clean practice education and case warning education, etc..

### 3. 防範合規風險

弘業期貨樹立「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。

#### Case: Internal Control Compliance Trainings of Holly Futures

The Company has formulated a long-term internal control and compliance training plan, organized quarterly compliance training and promoted the monthly “Compliance Talk” to employees. By launching various compliance culture activities to promote the compliance culture, the Company has strengthened the understanding and application of the Company’s compliance system by employees and comprehensively enhanced the awareness of compliance practice among employees, thereby strengthening the overall management of the Company’s internal control system and risk prevention. During the Reporting Period, the Company conducted 4 internal control compliance training sessions with a total of 529 person/time.

#### 案例：弘業期貨內控合規培訓

公司制定了長期的內控合規培訓計劃，組織開展季度合規培訓、每月向員工推送《合規講堂》，開展多樣化的合規文化活動宣傳合規文化，強化在職人員對公司合規制度的理解與運用，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。報告期內，公司開展了4次內控合規培訓，參與人數共計529人次。



Holly Futures launches online compliance trainings  
弘業期貨開展線上合規培訓



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

### (III) Anti-corruption and Anti-money laundering

Holly Futures made its efforts in fulfilling its responsibilities for anti-corruption and anti-money laundering work of financial institutions, giving full play to the main role of financial institutions by intensifying efforts in supervision and inspection, continuously strengthening publicity and training, and promoting the synergy of anti-corruption and anti-money laundering. During the Reporting Period, there were no irregularities or litigation involving bribery, extortion, fraud and money laundering.

#### 1. Anti-corruption

Holly Futures practices the value of “probity and efficiency” (廉而有為) and has zero tolerance for corrupt practices. Relying on the innovation of supervision mechanism to promote the in-depth development of anti-corruption and integrity promotion work, it has strengthened the enforcement of the anti-corruption system, built a firm ideological line of defense of “not daring to, not being able to, not wanting to corrupt”, and provided a strong disciplinary guarantee to promote the sustainable development of the Company.

#### Building the Anti-Corruption System

Holly Futures has steadily implemented the building of integrity with the Party style. The Party Committee of the Company has formulated the List of Primary Responsibilities of the Party Committee to Comprehensively Perform Strict Governance on the Party, the List of Performing the Subject Entity’s Responsibility to Comprehensively Manage the Party in Strict Governance by the Party Committee, the Measures for the Management of Integrity Files of Holly Futures (Revision) and other anti-corruption system to implement a system of accountability for the building of integrity with the Party style, 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”, the staff of the Company have signed a letter of responsibility for the building of integrity with the Party style, creating a good atmosphere for anti-corruption.

### (三) 反貪腐、反洗錢

弘業期貨認真履行金融機構反貪腐、反洗錢工作職責，發揮金融機構的主體作用，加大監督檢查工作力度，不斷強化宣傳培訓，推動形成反貪腐、反洗錢工作合力。報告期內，公司未發生涉及賄賂、勒索、欺詐及洗黑錢的不合規事件及訴訟事件。

#### 1. 反貪腐

弘業期貨踐行「廉而有為」價值觀，對腐敗行為零容忍，依靠監督機制創新推動反腐倡廉工作深入發展，增強反腐倡廉制度執行力，築牢「不敢腐、不能腐、不想腐」的思想防線，為推動公司可持續發展提供堅強紀律保證。

#### 反貪腐制度建設

弘業期貨穩步推行黨風廉政建設體系制度，公司黨委研究制定了《黨委履行全面從嚴治黨主體責任清單》《弘業期貨廉潔檔案管理辦法(修訂版)》等反貪腐制度，實行黨風廉政建設責任制，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」，層層簽訂黨風廉政建設目標責任書，公司員工各司其職，營造了反貪腐良好氛圍。

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

### Precise and efficient supervision

In order to further deepen the Company's comprehensive management of the Party in strict governance and enhance the effectiveness of collaborative supervision, the Company has established the party members' conduct and uncorrupted government construction and anti-corruption work coordination team. The main person in charge of the Company's discipline inspection authority regularly convenes relevant functional departments to communicate information in a timely manner, study the key tasks of party members' conduct and uncorrupted government construction and anti-corruption and report on the supervisory work, forming a coordinated supervision force. The coordination team convenes meeting once every half year or whenever necessary. The implementation of the matters agreed at the meeting will be monitored by the Co-ordination Team Office and the relevant functional departments.

- **Daily supervision:** The Company has optimized and adjusted the Work List of Special Supervisors in Performing Responsibility. 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, and issued party members' conduct and uncorrupted government construction opinion reply materials for cadres, prompting the cadres to enhance their awareness on rules and regulations and build a firm ideological defense. We have 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.

### 精準高效監督

為進一步深化公司全面從嚴治黨，增強協同監督實效，公司成立了黨風廉政建設和反腐敗工作協調小組，由公司紀檢機構主要負責人定期召集各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、通報監督工作情況，以形成監督合力。協調小組每半年召開一次會議，如有必要也可隨時召開，會議議定事項會由協調小組辦公室與相關職能部門督促落實。

- **日常監督：**公司持續優化調整《特約監督員履責工作清單》，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、對幹部進行提醒談話並出具黨風廉政意見回復材料，促使幹部增強規矩意識，築牢思想防線。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

### Integrity Education Campaign

Holly Futures has organized anti-corruption and integrity education campaigns in various forms, including meetings, group discussions and online and offline training for cadres. We require our key personnel to sign the “Integrity Pledge” to consciously strengthen their awareness of integrity in practice. During the Reporting Period, the Company provided anti-corruption trainings and warning education, including anti-corruption policy training, whistleblowing policy training, and continuous supervisory trainings, to all directors, supervisors and senior management. It has also carried out a series of events on party members’ conduct and uncorrupted government construction, including “Green Integrity Month”, “Family Culture and Family Education Month”, “A Clean Breeze for the New Moon”, and took its staff to visit the Chinese Academy of Science and Technology Museum, an educational base of clean government in Jiangsu Province.

### 2. Anti-money laundering

Holly Futures adheres to the principle of “risk-based and compliant operation” and takes its anti-money laundering statutory obligations and social responsibilities seriously by continuously improving the risk management system for money laundering and the building of a sound anti-money laundering organization, as well as stepping up anti-money laundering publicity and training to strengthen the foundation of anti-money laundering compliance management continuously.

#### Anti-money laundering system

Holly Futures strictly complies with the requirements of 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, the Measures on Administrative Identification of Clients and Preservation of Client Identities Information and Trading Records of Financial Institutions, and the Measures for the Implementation of Anti-money Laundering in the Securities and Futures Industry and other related laws and regulations in relation to anti-money laundering to comply with anti-money laundering obligations.

### 廉潔教育活動

弘業期貨多形式開展反腐倡廉警示教育活動，組織幹部會議、集體座談、線上線下培訓。我們要求關鍵崗位人員簽訂《廉潔從業承諾書》，自覺強化廉潔從業意識。報告期內，公司向所有董事、監事和高級管理人員提供包括反貪污政策培訓、舉報政策培訓、持續督導培訓在內的反貪污培訓和反腐敗警示教育，並開展「青廉有為月」「家風家教月」「清風迎新月」等一系列黨風廉政建設主題活動，並帶領員工參觀江蘇省廉政教育基地中國科舉博物館。

### 2. 反洗錢

弘業期貨秉承「風險為本、合規經營」的原則，認真履行反洗錢法定義務和社會責任，不斷完善洗錢風險管理體系、健全反洗錢組織建設、加大反洗錢宣傳培訓力度，持續夯實反洗錢合規管理基礎。

#### 反洗錢制度體系

弘業期貨嚴格遵守《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》《金融機構客戶身份識別和客戶身份資料及交易記錄保存管理辦法》以及中國證監會《證券期貨業反洗錢工作實施辦法》等反洗錢相關法律法規要求，切實履行反洗錢義務。



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

In order to meet regulatory requirements continuously and build an effective anti-money laundering work mechanism, the Company has revised and improved the following four systems during the Reporting Period, taking into account regulatory requirements and practical work: the Compilation of Internal Control Systems of Holly Futures Co., Ltd., the Measures for the Management of Self-Assessment of Money Laundering and Terrorist Financing Risks of Holly Futures Co., Ltd., the Anti-money Laundering Inspection and Audit Measures of Holly Futures Co., Ltd., and the Administrative Measures on Anti-Money Laundering and Confidentiality of Holly Futures Co., Ltd..

### Anti-money laundering management system

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”. The Board of the Company has ultimate responsibility for anti-money laundering and is primarily responsible for the following: establishing objectives for building a money laundering risk management culture, validating money laundering risk management strategies, approving policies and procedures for money laundering risk management, delegating responsibility for money laundering risk management to the Anti-Money Laundering Leadership Team (senior management) of the Company, regularly reviewing anti-money laundering reports and keeping abreast of significant money laundering risk incidents and their resolution, etc. The Compliance Risk Control Department is the centralized management department of the Company's anti-money laundering work. We have established a comprehensive anti-money laundering management system to integrate the anti-money laundering concept into daily operation and management, ensuring that the anti-money laundering tasks are completed on time, with quality and efficiency.

### Anti-money laundering procedures

Holly Futures has embedded its anti-money laundering philosophy into daily operations and management, and has a solid anti-money laundering presence in all statutory business areas, including identification and retention of information for customer account opening, monitoring of transaction behavior and funds during client transactions, concerns and measures to address riskiness, freezing of terrorist assets, and anti-money laundering performance appraisal and risk management, to practically fulfill its obligations of anti-money laundering.

為了持續滿足監管要求，構建行之有效的反洗錢工作機制，報告期內，公司結合監管要求與實際工作，對以下4項制度進行了修訂與完善：《弘業期貨股份有限公司反洗錢內部控制制度》《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》《弘業期貨股份有限公司反洗錢內部檢查與審計辦法》《弘業期貨股份有限公司反洗錢保密工作管理辦法》。

### 反洗錢管理體系

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。公司董事會承擔反洗錢的最終責任，主要負責工作有：確立洗錢風險管理文化建設目標、審定洗錢風險管理策略、審批洗錢風險管理的政策和程序、授權公司反洗錢工作領導小組（高級管理層）牽頭負責洗錢風險管理、定期審閱反洗錢工作報告並及時瞭解重大洗錢風險事件及梳理情况等。公司反洗錢工作的歸口管理部門是合規風控部。我們建立了完善的反洗錢管理體系，將反洗錢理念融入日常經營管理之中，並確保反洗錢工作任務按時、保質、高效地完成。

### 反洗錢流程

弘業期貨將反洗錢理念嵌入日常經營管理之中，在所有法定的業務環節紮實開展反洗錢工作，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，切實履行反洗錢義務。



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

During the Reporting Period, the Company revised its work plan on the basis of the 2021 Anti-money laundering self-assessment work plan and conducted risk assessments with the Money Laundering Risk Self-Assessment Working Team of the Company to identify potential risk points in various business areas of the Company and make recommendations for rectification.

In order to implement the regulatory requirements of the People's Bank of China and complement the construction of the anti-money laundering blacklist system, the Company has acquired the Dow Jones blacklist database for four consecutive years since 2019, realizing real-time anti-money laundering blacklist monitoring of customers and transactions and effectively preventing money laundering and sanctions risks.

### Workflow chart for anti-money laundering

**Preliminary review:** Anti-money laundering specialist and part-time staff of the corresponding department conduct due diligence and prepare an analysis report.

**Secondary review:** The department head reviews the analysis report and submits it to the anti-money laundering specialist for review after confirmation and approval.

**Final review:** The anti-money laundering specialist in the headquarters conducts a comprehensive analysis based on multiple sources of information.

### Anti-money laundering inspection and audit

The Company strictly complies with the Anti-money Laundering Inspection and Audit Measures of Holly Futures Co., Ltd. and has comprehensively conducted the anti-money laundering inspection and audit of branches. During the Reporting Period, we have made anti-money laundering special sampling inspection on all 45 branches, of which on-site inspection and audit were carried out on 10 branches and remote inspection and audit were carried out on 14 branches.

報告期內，公司在《2021年洗錢風險自評估工作方案》的基礎上進行了工作方案的修訂，並由公司洗錢風險自評估工作小組開展風險評估，以發現公司各項業務環節潛在風險點並提出整改建議。

為落實人行監管要求，配合反洗錢黑名單系統建設，實現對客戶和交易的反洗錢黑名單實時監控，有效防範洗錢及制裁風險，公司自2019年開始連續4年採購了道瓊斯黑名單數據庫。

### 反洗錢工作流程圖

**初審：**相應部門的反洗錢專兼職人員開展盡職調查，撰寫分析報告。

**覆審：**部門負責人覆核分析報告，確認通過後提交反洗錢專員審核。

**終審：**總部反洗錢專員根據多方信息綜合分析進行。

### 反洗錢檢查與審計

公司嚴格按照《弘業期貨股份有限公司反洗錢內部檢察與審計辦法》，全面開展對分支機構的反洗錢檢查與審計工作。報告期內，我們對全轄45家分支機構進行了反洗錢專項抽樣檢查，其中現場檢查與審計10家，遠程檢查與審計14家。

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

### Anti-money laundering training

Holly Futures has continued to strengthen anti-money laundering training to enhance early warning and prevention efforts, and further improve the effectiveness of anti-money laundering work. According to different positions and businesses, the Company has organized senior management, anti-money laundering staff and business department staff to study the regulatory developments of anti-money laundering, learn about suspicious transaction screening and conduct anti-money laundering Q&A sessions, the anti-money laundering awareness and work skills of the practitioners were enhanced.

In accordance with the requirements of each phase of anti-money laundering work, Holly Futures has conducted anti-money laundering training sessions every quarter to introduce the current development and regulatory status of anti-money laundering, study anti-money laundering penalty cases and learn about suspicious transaction screening. At the same time, an anti-money laundering knowledge test was conducted after the training session to enable participants to grasp the training content in a more intuitive way. During the Reporting Period, the Company achieved 100% coverage of anti-money laundering training and anti-money laundering knowledge tests for all levels of staff, including department heads, anti-money laundering staff and frontline staff.

### Knowledge tests at the anti-money laundering training

During the Reporting Period, Holly Futures launched an online assessment for all staff after the anti-money laundering training to reinforce the effectiveness of learning through a combination of training and testing, allowing participants to grasp the training content in a more intuitive way. The online evaluation covered 1,166 person/time and the results showed that the training had achieved remarkable results, laying the foundation for the Company to carry out anti-money laundering in an orderly manner.

### 反洗錢培訓

弘業期貨持續強化反洗錢學習培訓，提升預警宣傳防範力度程度，進一步提升反洗錢工作實效。公司根據不同崗位和不同業務，組織高級管理層、反洗錢崗位人員、業務部門人員解讀反洗錢監管動態、學習客戶可疑交易甄別、開展反洗錢工作答疑交流，提升了從業人員的反洗錢工作意識與工作技能。

弘業期貨每季度開展反洗錢專項培訓會，按照每階段的反洗錢工作要求，介紹反洗錢工作形勢與監管現狀，解讀反洗錢處罰案例，學習客戶可疑交易甄別。同時，於培訓會後開展反洗錢知識測試，以使參訓人員更直觀的掌握培訓內容。報告期內，公司實現各部門負責人、反洗錢崗與一線員工等各層級人員反洗錢培訓100%覆蓋、反洗錢知識測試100%覆蓋。

### 反洗錢培訓知識測試

報告期內，弘業期貨在反洗錢培訓後及時展開全員線上測評，通過培訓與測試相結合方式，強化學習成效，讓參訓人員更直觀地掌握培訓內容。線上評測覆蓋1,166人次，評測結果顯示培訓達到了良好的效果，為公司有序開展反洗錢工作奠定了基礎。



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

Holly Futures insists on carrying out the spirit of the 20th Party Congress and on taking Xi Jinping's thought on ecological civilization as its fundamental guideline to firmly establish and practice the concept of "green mountains and clear water are our invaluable assets", contributing to the development of a beautiful China.

We have incorporated the concept of low-carbon development into our daily operations by promoting a green office for all staff and optimizing the use of resources in order to reduce greenhouse gas emissions and resource consumption. At the same time, the Company has mitigated the potential impact of climate change on its business and operations by proactively identifying climate change risks and opportunities.

#### (I) Improving environmental management

Holly Futures strictly abides by laws and regulations related to environmental protection such as the Environmental Protection Law of the People's Republic of China, 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.

##### 1. Use of resources

As a financial company, Holly Futures' activities do not cause direct damage or abuse to the environment or natural resources, and do not result in significant emissions of wastewater, waste gas or waste materials.

In the course of its daily operations, the main types of resources consumed by the Company are: consumption of materials such as paper, water, electricity and fuel for utility vehicles, etc., from daily office work; The main types of triple waste emissions that have a major impact on the environment are: waste water such as domestic sewage generated from office, exhaust from utility vehicles, hydrofluorocarbons and perfluorocarbons from air conditioners, and waste emissions such as toner cartridges and lamp tubes.

弘業期貨堅持貫徹黨的二十大精神，堅持以習近平生態文明思想為根本遵循，牢固樹立和踐行綠水青山就是金山銀山的理念，為推進美麗中國建設做出貢獻。

我們將低碳發展理念貫穿於公司日常運營中，倡導全體員工綠色辦公，優化資源利用，以降低溫室氣體排放與資源消耗。同時，公司通過積極識別氣候變化風險與機遇，來減弱氣候變化對公司業務和運營的潛在影響。

#### (一) 完善環境管理

弘業期貨嚴格遵守《中華人民共和國環境保護法》《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。

##### 1. 資源使用

弘業期貨屬於金融企業，公司業務範圍內的活動不會對環境及天然資源產生直接性破壞和濫用，不會產生大量廢水、廢氣、廢棄物排放。

在公司日常運營過程中，資源消耗的主要種類為：日常辦公造成的紙張等物料消耗、水耗、電耗、公用車油耗等；對環境產生主要影響的三廢排放種類為：辦公室產生的生活污水等廢水，公用車尾氣排放、空調使用產生的氫氟碳化物及全氟化碳等廢氣，硒鼓、燈管等廢棄物排放。

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

During the Reporting Period, we did not have any environmental pollution incidents or penalties imposed for breaches of environmental laws and regulations, and problems with access to applicable water sources.

報告期內，我們未發生任何環境污染事件，未發生任何因違反環保方面的法律法規而受到處罰的情況，未發生求取適用水源上的問題。

The environmental key performance indicators of the Company were as follows:

本公司環境關鍵指標表現如下：

Type 類別	Unit or type 單位或類別	2022 2022年	2021 2021年
<b>A1.1 The types of emissions and respective emissions data</b>			
<b>A1.1 排放物種類及相關排放資料</b>			
Nitrogen oxides emissions 氮氧化物排放量	kg 千克	11.52	12.45
Per capita emissions of nitrogen oxides 氮氧化物人均排放量	kg/person 千克/人	0.04	0.04
Sulfur oxides emissions 硫氧化物排放量	kg 千克	0.272	0.294
Per capita emissions of sulfur oxides 硫氧化物人均排放量	kg/person 千克/人	0.001	0.001
<b>A1.2 Total hazardous waste produced and intensity</b>			
<b>A1.2 所產生有害廢棄物總量及密度</b>			
Total amount of ink cartridge 墨盒總量	piece 支	0	0
Per capita amount of ink cartridge 墨盒人均量	piece/person 支/人	0	0
Total amount of toner cartridge 硒鼓總量	item 個	166	150
Per capita amount of toner cartridge 硒鼓人均量	item/person 個/人	0.57	0.45
Lamp 燈管	piece 支	178	183
Per capita amount of lamp 燈管人均量	piece/person 支/人	0.61	0.55
<b>A1.3 Total non-hazardous waste produced and intensity</b>			
<b>A1.3 所產生無害廢棄物總量及密度</b>			
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	-	-

### III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

### 三、低碳轉型，堅持綠色發展

Type	Unit or type	2022	2021
類別	單位或類別	2022年	2021年
<b>A2.1 Total energy consumption and intensity</b>			
<b>A2.1能源總耗量及密度</b>			
Consumption of purchased electricity	kWh	966,531	988,531
外購電力消耗量	千瓦時		
Per capita electricity consumption	kWh/person	3,310	2,951
人均耗電量	千瓦時／人		
Consumption of gasoline	kl	18.5	20
汽油消耗量	千升		
Total amount of gasoline per capita	kl/person	0.06	0.06
人均汽油總用量	千升／人		
Direct energy consumption	ton standard coal	20.36	22.36
直接能源消耗	噸標準煤		
Indirect energy consumption	ton standard coal	118.39	121.49
間接能源消耗	噸標準煤		
Total energy consumption	ton standard coal	136.65	143.85
能源消耗總量	噸標準煤		
Energy consumption intensity	ton standard coal/person	0.47	0.43
能耗強度	噸標準煤／人		

#### A2.2 Total water consumption and intensity

#### A2.2總耗水量及密度

Water consumption in the office	ton	14,890	15,824
辦公室耗水量	噸		
Per capita water consumption in the office	ton/person	50.99	47.24
人均辦公室耗水量	噸／人		

Note: (1) The statistics of the environmental data are from the headquarters of Holly Futures. In 2022, the number of staff at the headquarters of the Company accounted for 44.18% 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 of 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，2022年公司總部人數佔整體辦公人數的44.18%。

(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

#### 2. Environmental Qualitative Objectives

As the Company does not belong to a high pollution, high energy consumption or high emission enterprise, the Company has not yet formulated quantitative environmental performance targets. Our qualitative environment targets set for 2023 are:

- Energy saving and emission reduction: to use energy and resources such as water, electricity and oil rationally to build awareness of environmental protection, to continuously promote the digital development of the Company's office platform by promoting paperless meetings and video conferences and advocating paperless offices and green travel;
- Compliant disposal: to reduce the generation of pollutants, ensure that waste water, exhaust and noise emissions are consistently met, collect solid waste separately and dispose of hazardous waste in a harmless manner;
- Environmental compliance: to continue to maintain 0 environmental pollution incidents, non-compliance events and lawsuits related to environmental protection.

#### (II) Pursuing green environmental protection

Holly Futures has actively promoted environmental protection including energy saving and emission reduction to all staff to cultivate their awareness of environmental protection and integrate the concept of green and sustainable development into all aspects of daily business activities. Through a series of measures to save resources such as water and electricity, optimize the efficiency of paper consumption, reduce exhaust emissions from public vehicles and reduce the production of solid waste and exhaust, we are practicing green operations and helping our country to achieve the goal of a green, low-carbon and circular economy as soon as possible.

#### 2. 環境定性目標

因公司不屬於高污染、高耗能、高排放企業，公司未制定量化的環境績效目標，我們設定的2023年度環境定性目標為：

- 節能降耗：合理使用水、電、油等能源、資源，樹立環保意識，持續推動公司辦公平台數字化發展，推崇召開無紙化會議與視頻會議，倡導無紙化辦公及綠色出行；
- 合規處置：減少污染物質的產生，確保廢水、廢氣、噪音排放穩定達標，固體廢棄物分類收集，危險物100%無害化處理；
- 環境合規：繼續保持環境污染事件、涉及環保的不合規事件及訴訟事件為零。

#### (二) 踐行綠色環保

弘業期貨對全體員工積極進行節能減排等環保宣貫，培養員工環保意識，讓綠色可持續發展理念融入日常經營活動的方方面面。我們通過一系列措施節約水電資源、優化用紙效能、降低公用車廢氣排放、減少固廢和廢氣的產生，用實際行動踐行綠色運營，助力國家早日實現綠色經濟、低碳經濟、循環經濟目標。



## III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

### 三、低碳轉型，堅持綠色發展

#### 1. Optimizing the use of resources

Holly Futures insists on the concept of green and low-carbon offices and implements energy saving and emission reduction measures from the very beginning. Through posting posters and slogans, Holly Futures conveys the concept of “energy saving and carbon reduction, green development” to its staff, minimizing waste of resources in the office process and contributing to environmental protection.

During the Reporting Period, the Company’s headquarters consumed 14,890 tons of water, down by 5.90% year-on-year; and consumed 966,531 kWh of purchased electricity, down by 2.23% year-on-year.

During the Reporting Period, our measures for optimizing the use of resources in daily operation include:

##### Measures for saving water and electricity

- Posting of water/electricity saving posters, slogans, etc. in all water/electricity consumption areas;
- Inspecting water supply installations regularly to avoid wastage of water resources due to equipment failure;
- Turning off water taps after use and recycling of wastewater from property cleaning to ensure a clean office environment while improving water resource utilization;
- Running only essential machinery during holiday periods;
- Reducing the number of printers and avoids idle equipment;
- Encouraging staff to adjust the brightness of computer screens to a comfortable and energy-efficient level;
- Monitoring and inspection of lighting and air-conditioning equipment to prevent power loss due to equipment damage;
- Giving priority to the use of nationally certified low-energy appliances, prohibiting the use of high-power electricity consuming non-office equipment, and using energy-saving lamps in all office premises.

#### 1. 優化資源利用

弘業期貨堅持綠色低碳辦公的理念，從細節做起，落實節能減排措施。公司通過在張貼宣傳畫、標語等形式，向員工傳達「節能降碳，綠色發展」的理念，最大限度降低辦公過程的資源浪費，為環境保護貢獻力量。

報告期內，公司總部辦公室耗水量為14,890噸，同比下降5.90%；公司總部外購電力消耗量966,531千瓦時，同比下降2.23%。

報告期內，我們在辦公生活中優化資源利用舉措包括：

##### 水電節約措施

- 各用水/電區域張貼節約用水/電宣傳畫、標語等；
- 定期檢查供水裝置，避免設備故障引起的水資源浪費情況；
- 水龍頭隨用隨關，物業保潔保障廢水循環使用，保證清潔辦公環境的同時提高水資源利用率；
- 節假日期間僅運行必備機器；
- 減少打印機數量，避免設備閒置；
- 提倡員工調整計算機屏幕為舒適省電的亮度；
- 對照明及空調設施設備巡檢監控，避免因設備損壞造成電力損失；
- 優先使用國家認證的低能耗電器，禁止使用大功率非辦公設備，辦公場所全部使用節能燈。

# III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

## 三、低碳轉型，堅持綠色發展

### Measures for saving paper

- Using the OA management system for approval through paperless electronic flow;
- Promoting the use of email and implemented video and telephone conferencing for staff;
- Printing documents in font size as small as possible if not specifically requested;
- Using both sides of paper as far as possible and used secondary paper wisely;
- Employees have brought their own cups, reducing the use of disposable paper cups.

### 2. Reducing environmental pollution

Holly Futures adheres to the 3Rs principle of “reducing, recycling and reusing” to properly handle the waste generated and minimize the adverse impact on the environment caused by the waste generated from the Company’s operations.

During the Reporting Period, our measures for reducing environmental pollution in daily operation include:

#### Bus travel measures

- Formulating the “Regulations on the Management of Official Vehicles” to strengthen the centralized management and unified deployment of operational vehicles, improve the efficiency of vehicle use, and reduce the frequency of daily trips and vehicle running costs, reducing the atmospheric pollution caused by exhaust emissions;
- During the holiday period, all company vehicles will be sealed and the off-site sales department will be required to keep the sealing certificate;
- Public service vehicles are only covered in urban areas, provincial areas and other provinces in vicinity, with preference given to public transport in other provinces;
- Encouraging staff to use environmentally friendly transport such as buses and bicycles when going out.

### 紙張節約措施

- 使用辦公自動化(OA)管理系統，通過無紙化電子流轉方式進行審批；
- 提倡員工盡量使用電子郵件，實施視頻與電話會議；
- 無具體要求的情況下，打印文件盡量使用舒適小號字體；
- 盡可能雙面複印，合理使用二次紙；
- 員工自備個人水杯，減少使用一次性紙杯。

### 2. 減少環境污染

弘業期貨堅持「減量化(reducing)、再回收(recycling)、再利用(reusing)」的3R原則，妥善處理已產生的廢棄物，盡可能降低因公司運營產生的廢棄物對環境帶來的不利影響。

報告期內，我們在日常經營中減少環境污染舉措包括：

#### 公車出行措施

- 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，提高車輛使用效率，降低日常出車頻次和車輛運行成本，減少尾氣排放造成的大氣污染；
- 節假日期間，公司公車全部封存，異地營業部需留存封存證明資料；
- 公務用車只保障市區、省內及鄰近省份地區，其他省份優選公共交通；
- 鼓勵員工外出使用公交車、自行車等環保交通工具。



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

#### Purchasing of environmentally friendly air-conditioners

- Focuses are given to environmental standards when purchasing air conditioners to ensure that all air conditioners used in the Company are environmentally friendly;
- Setting a standard for air conditioners at a temperature of not lower than 26° C in summer and not higher than 20° C in winter. The air conditioners are also cleaned and maintained before the onset of summer to ensure their cooling efficiency and energy saving effect, and to reduce the pollution caused by hydrofluorocarbons and perfluorocarbons to the atmosphere.

#### Disposal of waste and wastewater

- Incorporating the domestic sewage produced by the office into the municipal sewage network and transporting them to the municipal sewage treatment plant;
- Entrusting hazardous waste such as electronic waste, toner cartridges and ink cartridges to qualified units for recycling and disposing or recycling them by the recycler;
- Focusing on the recycling of waste generated from daily operation and catering, especially plastics, waste paper and metal;
- Separating recyclable waste, food waste, other waste and hazardous waste and passing them to the sanitation department for shipping and disposal regularly.

#### 採購環保空調

- 公司在採購空調時，重點考核環保標準，保證公司使用空調均為環保空調；
- 公司制定空調夏季不低於26攝氏度，冬天不高於20攝氏度的統一使用標準，並在夏季來臨之前對空調進行集中清洗維護，保證空調的製冷效率和節能效果，並減少氫氟碳化物及全氟化碳對大氣造成的污染。

#### 廢棄物及廢水處置

- 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處理廠；
- 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；
- 對日常辦公及餐飲中產生的廢棄物，尤其是塑料、廢紙、五金等予以重點回收處理；
- 可回收垃圾、廚餘垃圾、其他垃圾及有害垃圾分別單獨投放，定期交環衛部門清運處理。

## III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

### 三、低碳轉型，堅持綠色發展

#### (III) Addressing climate change

Climate change has become one of the common challenges for all mankind, Holly Futures recognizes that actively addressing climate risks is an imperative issue and the obligation of every enterprise. We proactively identify and propose measures to address the Company's climate risks, strengthen climate risk management and set corresponding carbon targets 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).

##### 1. Identifying climate risks

In accordance with the climate risk disclosure framework of TCFD, the Company 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. 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.

#### (三) 應對氣候變化

氣候變化已成為全人類的共同挑戰之一，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。我們積極識別公司涉及的氣候風險並提出應對措施，加強氣候風險管理，設定相應破目標，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。

##### 1. 識別氣候風險

公司按照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。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。

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

Climate risk identification matrix

氣候風險識別矩陣

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	Business sectors involved 涉及業務板塊
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	The Company 全公司
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	The Company 全公司
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	The Company 全公司



### 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	Business sectors involved 涉及業務板塊
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，從而增加了能源轉型的成本。	Medium and long 中長期	Medium 中	The Company 全公司
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	The Company 全公司
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	The Company 全公司



# III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT

## 三、低碳轉型，堅持綠色發展

### 2. Climate Risk Management

In response to the risk of climate change, Holly Futures has taken steps to reduce greenhouse gas emissions while adapting to climate change and dynamically identified domestic and foreign climate-related policies and regulations. 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.

Holly Futures integrated climate change related risks into its overall risk management culture.

Our risk management process:



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

- Operation: maintaining continuous operation and reliable services under frequent occurrence of extreme weather; carrying out online services in multi-channels and multi-models to ensure that customers can complete transactions and process business transactions without leaving home
- Environmental health and safety: conducting regular emergency drills to familiar with health and safety incidents due to climate change (e.g., flood and storm)
- Strategy: adapting to gradually tightened emission policy
- Legal and compliance: identifying of legal and policy changes related to climate change
- Reputation: meeting the expectations of customers and stakeholders for low greenhouse gas emissions, low triple waste emissions, etc.
- Financial: identifying the potential financial impact of the climate risks on the Company, e.g., the impact of climate-related policy on energy prices

### 2. 氣候風險管理

為應對氣候變化風險，弘業期貨充分採取相應的措施，在減少溫室氣體排放的同時積極適應氣候變化，動態識別國內外氣候相關的政策法規，建築工程上，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。

弘業期貨將氣候變化相關風險融入整體風險管理文化。

我們的風險管理流程：

本公司在當前風險管理中與氣候變化相關的風險管理示例：

- 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；多渠道、多方式開展線上服務，保障客戶足不出戶完成交易和業務辦理
- 環境健康安全：定期開展應急演練，以熟練應對氣候變化(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低溫室氣體排放、低三廢排放等預期
- 財務：識別氣候風險對公司帶來的潛在財務影響，如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

### 3. Indicators and targets

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. During the Reporting Period, the direct GHG emissions (scope 1) of Holly Futures' headquarters was 36.30 tons of carbon dioxide equivalents, down by 16.80% year-on-year; its energy indirect GHG emissions (scope 2) was 551.20 tons of carbon dioxide equivalents, down by 20.74% year-on-year; and the per capita GHG emissions intensity was 2.01 tons of carbon dioxide equivalents/person, down by 8.80% year-on-year.

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.

### 3. 指標及目標

基於弘業期貨業務性質，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。報告期內，弘業期貨總部直接溫室氣體排放（範圍一）為36.30噸二氧化碳當量，同比下降16.80%；能源間接溫室氣體排放（範圍二）為551.20噸二氧化碳當量，同比下降20.74%；人均溫室氣體排放強度為2.01噸二氧化碳當量/人，同比下降8.80%。

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，未來在對公司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。

Type	Unit or type	2022	2021
類別	單位或類別	2022年	2021年
Direct greenhouse gas emissions (Scope 1)	CO <sub>2</sub> e tons	36.30	43.63
直接溫室氣體排放量(範圍一)	噸二氧化碳當量		
Indirect greenhouse gas emissions (Scope 2)	CO <sub>2</sub> e tons	551.20	695.43
間接溫室氣體排放量(範圍二)	噸二氧化碳當量		
Total greenhouse gas emissions	CO <sub>2</sub> e tons	587.50	739.06
溫室氣體排放總量	噸二氧化碳當量		
Per capita emissions of greenhouse gases	CO <sub>2</sub> e tons/person	2.01	2.21
溫室氣體人均排放量	噸二氧化碳當量/人		

Note: 1. The scope of the statistics covers the headquarters of the Company. In 2022, the number of staff at the headquarters of the Company accounted for approximately 44.18% of total number of office staff;

2. The emission factor for the use of electricity is taken from the average emission factor of the national electricity grid in 2022 (0.5703tCO<sub>2</sub>/MWh) published by the Ministry of Ecology and Environment of China, and the gasoline calorific value is from the General Rules for Calculation of Comprehensive Energy Consumption (GB/T2589-2020).

註： 1. 統計範圍為公司總部，2022年度總部辦公人數約佔本公司全部人數的44.18%；

2. 使用電力排放因子取自國家生態環境部發佈的2022年全國電網平均排放因子(0.5703tCO<sub>2</sub>/MWh)，汽油熱值來源於《綜合能耗計算通則(GB/T2589-2020)》。

## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

Holly Futures is always customer-focused, with the aim of standardization, honesty, service, professionalism, service and customer service. In accordance with the business philosophy of honesty, security, professionalism and efficiency, we continue to strengthen our customer service and maximize customer benefits.

#### (I) Protection of clients' interests

Holly Futures follows the requirements of the Futures Trading Management Regulations, and the Measures for Supervision and Management of Futures Companies to regulate the conduct of financial institutions, maintain the order of the financial market, and manage the quality of investor services, providing in-depth investment education activities for the public.

##### 1. Customer Money Management

Holly Futures always protects the safety of our clients' funds and strictly enforces the Administrative Measures for the Closed Management of Customer Margins for Futures Companies and other regulatory regulations. During the year, the Company revised the Margin Management Rules of Holly Futures Co., Ltd. to grasp the system construction and enforce its implementation.

The Company has opened a special account for client margin at a designated clearing bank which discloses in detail the account name, account number and opening bank information of the margin account, implementing dedicated account management and actively accepting investor supervision. We have maintained a separate dedicated clearing account for each client for margin settlement. In the event of a shortfall in margin due to an overdraft or shortfall in a futures trade, we will promptly replenish the margin with our own funds.

弘業期貨始終以客戶為中心，以規範、誠信、服務、專業、服務和客戶服務為宗旨，按照誠實、安全、專業、高效的經營理念，不斷強化客戶服務，實現客戶利益最大化。

#### (一) 維護客戶利益

弘業期貨按照《期貨交易管理條例》《期貨公司監督管理辦法》要求，規範金融機構行為，維護金融市場秩序，做好投資者服務質量管理，為廣大提供有深度的投教活動。

##### 1. 客戶資金管理

弘業期貨時刻守護客戶的資金安全底線，嚴格執行《期貨公司保證金封閉管理辦法》等監管條例。本年內公司重新修訂了《弘業期貨股份有限公司保證金管理制度》，抓好制度建設，強化制度執行。

公司在指定結算銀行開設客戶保證金專用賬戶，詳細公開保證金賬戶戶名、賬號、開戶行信息，實行專戶管理，主動接受投資者監督。我們為每一客戶單獨開設專用結算賬戶，用於保證金清算。當客戶在期貨交易中透支、穿倉導致保證金不足時，我們會及時以自有資金補足。

## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

#### 2. Information security and privacy protection

It is our corporate social responsibility to protect the information security and legitimate rights of our customers. Holly Futures strictly abides by the Network Security Law of the People's Republic of China, Personal Information Protection Law of the People's Republic of China and other relevant laws and regulations. In order to strengthen customer information protection and deepen data security governance, we have formulated the Information Technology Management Regulation, the Information Security Management Regulation, the Network and Information Security Incidents Emergency Response Plan, and the Measures for Data Backup and Media Management, implementing several security measures to ensure the security of our customers' information.

Holly Futures conducted training on network hazards and security covering all staff of the Company, requiring staff to strictly comply with relevant requirements and protect customer information security. The training has improved the understanding of the Company's staff on information security and network security related knowledge and strengthened their awareness of information security. The Company strictly manages the access of staff to the server room and the operating system, and strictly manages the operational authority of staff to query and use data, with the Chief Risk Officer carrying out the authority approval process, thereby reducing the risk of information leakage.

#### 3. Responsible marketing

Holly Futures strictly follows the requirements of the Law of the People's Republic of China on the Protection of Consumers' Rights and Interests, the Guiding Opinions of the Office of the State Council on Strengthening the Protection of Financial Consumers' Rights and Interests, and the Implementation Measures of the People's Bank of China on the Protection of Financial Consumers' Rights and Interests to ensure the truthfulness of the content of marketing and promotion, and to establish risk assessment guidelines for various financial products and regulate due diligence, evaluation, risk assessment and sales decisions. We assess the risk level of financial products and fully disclose the risk of futures trading to our clients. By assessing their risk tolerance, we can ensure that the risk level of the products matches the risk level of our clients.

#### 2. 信息安全與隱私保護

保護客戶的信息安全及其合法權益是公司應承擔的企業社會責任，弘業期貨嚴格遵守《中華人民共和國網絡安全法》《中華人民共和國個人信息保護法》等相關法律法規，強化客戶信息保護、深化數據安全治理，制定了《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》《數據管理制度》《數據備份與介質管理辦法》等制度辦法，採取了多項安全保障措施來確保客戶信息安全。

弘業期貨開展覆蓋公司全員的網絡隱患及安全培訓，要求員工嚴格遵守相關要求，保護客戶信息安全，通過培訓提高了公司員工對信息安全、網絡安全相關知識的瞭解，強化了員工的信息安全意識。公司嚴格管理人員進入機房和操作系統，嚴格管理員工查詢和使用數據的操作權限，由首席風險官執行權限審批流程，從而降低信息洩露風險。

#### 3. 負責任營銷

弘業期貨嚴格按照《中華人民共和國消費者權益保護法》《國務院辦公廳關於加強金融消費者權益保護工作的指導意見》《中國人民銀行金融消費者權益保護實施辦法》等各項政策要求，保障對營銷宣傳內容的真實性，並建立各類金融產品風險評估方針，對產品的盡職調查、評價、風險評估、銷售決策等進行規範。我們評估金融產品風險等級，並向客戶充分揭示期貨交易風險，評估客戶的風險承受能力，並保證產品風險等級與客戶風險等級相匹配。



## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

We regulate the conduct of our staff in strict accordance with the requirements of the "Regulations for the Administration of Futures Practitioners" and the "Code of Practice for Futures Practitioners", requiring all staff to comply with relevant laws and regulations, organizing staff to study various types of training from regulatory bodies and exchanges, while adhering to the principles of impartiality, fairness and openness in the course of practice, taking responsibility for all parties involved in transactions and providing services to clients in an independent and objective manner, thereby effectively avoiding marketing risks and ensuring that adverse events do not occur as a result of insufficient knowledge and choice by clients.

#### 4. Protection of intellectual property rights

Holly Futures respects and honors knowledge and guarantees that it does not infringe the intellectual property rights of others and that all information provided by Holly Futures to its users is developed by itself or jointly with others, or legally licensed by third parties. During the Reporting Period, there were no cases of infringement of intellectual property rights by the Company.

### (II) Enhancing high quality services

Holly Futures strives to create value for our clients by continuously improving our own service system and enhancing our professionalism in futures, and is committed to providing quality and professional financial services to our clients.

#### 1. Internet financial services

Holly Futures is proactively embracing the opportunities and challenges brought about by the wave of digitalization, implementing the "Holly Technology" strategy by continuously increasing investment in technology, building an intelligent customer service system, thereby improving customer experience and enhancing service standards. The Company strives to gradually transform its customer service model from a geographically-radiated sales network to a network-based customer service model, using technology to provide more in-depth products and services.

我們嚴格依照《期貨從業人員管理辦法》《期貨從業人員執業行為準則》的要求規範員工行為，要求所有員工必須遵守相關法律法規，組織員工學習監管機構、交易所等各類培訓，在執業過程中堅持公正、公平、公開的原則，對交易各方負責，並以獨立客觀的態度為客戶提供服務，從而有效規避營銷風險，確保不會因客戶認知不足、選擇不足導致不良事件發生。

#### 4. 知識產權保護

弘業期貨尊重知識、崇尚知識，保證不侵犯他人的知識產權。弘業期貨為用戶提供的所有信息均為自行開發或與他人共同開發，或經第三方合法授權。報告期內，公司未發生侵犯知識產權案件。

### (二) 提供高質量服務

弘業期貨努力用心為客戶創造價值，不斷完善自身的服務體系，提高期貨專業水平，致力於為廣大客戶提供優質專業的金融服務。

#### 1. 互聯網金融服務

弘業期貨主動迎接數字化浪潮帶來的機遇和挑戰，推行「科技弘業」戰略，持續加大技術投入，建設智能化客戶服務體系，改善客戶體驗，提高服務水平。公司努力實現從營業網點地域輻射的客戶服務模式逐步轉化為以網絡為渠道的客戶服務模式，利用技術提供更深入的產品和服務。



## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

The Company has used the IT system as a platform to speed up the optimization and reengineering of business processes, establish an efficient service system with smooth communication, orderly convergence and close proximity to customers. The Company has also realized face-to-face communication between the Company and customers on the Internet, and improved the online column of experts to provide professional consultation services to customers.. The Company also upgraded and improved our Holly Easy (弘運通) APP, and the key core business systems to create a comprehensive “online Holly Futures”.

During the Reporting Period, the Company held seminars on customer needs and collected suggestions from customers, combining business needs and usage experience to provide strong support for the upgrading and improvement of online services: the Holly Futures APP has improved the functions of “7X24 Information” and “Commodity and Seat Data”, and added “Margin Enquiry” and “Banking and Futures Docking Guide”, as well as optimized the “Information Display”, “Software Download” and “Contact Us” pages, so that customers can quickly conduct basic business through online channels, providing maximum convenience and enhancing the customer service experience.

#### 2. Integration of investment and research

Holly Futures has always been “rooted in the industry, serving the industry” research and service philosophy, and is committed to building a professional research team with a combination of futures and cash, and integrated investment and research.

In 2022, the Company has continued to promote the construction of integrated investment and research, build a large research system and establish an integrated development pattern of buyers and sellers, providing research and analysis, thematic training, risk management consultation and design and formulate various hedging investment plans for industrial clients, and promoting the integrated development of its brokerage, investment consultation, asset management and risk management businesses.

公司以IT系統為平台，加快實現業務流程的優化和再造，建立溝通順暢、銜接有序、貼近客戶的高效服務體系，在互聯網上實現公司與客戶的面對面交流，完善專家在線欄目，為客戶提供專業諮詢服務；升級完善自有App弘運通及主要核心業務系統，傾力打造全面「線上弘業期貨」。

報告期內，公司召開客戶需求交流座談會，結合業務需求、使用體驗收集客戶建議，為在線服務的升級完善提供有力支持：弘業期貨小程序相繼完善了「7X24小時資訊信息」「商品及席位數據」功能，添加了「保證金查詢」「銀期對接指南」等功能，並優化了「資訊展示」「軟件下載」和「聯繫我們」頁面，通過線上渠道可以快速實現基本業務的辦理，給予客戶最大的便利，提升客戶服務體驗。

#### 2. 投研一體化建設

弘業期貨始終「扎根於產業、服務於產業」的研究和服務理念，致力於打造成期現結合、投研一體化的專業化研究團隊。

2022年，公司繼續深入推進投研一體化建設，打造大研究體系、構建買方賣方並進的發展格局，為產業客戶提供研究分析、專題培訓、風險管理諮詢以及設計制定各類套保投資方案等一攬子服務，全力推進經紀業務、投資諮詢業務、資產管理業務、風險管理業務融合發展。

## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

#### 3. Development of integrated financial services

Holly Futures is committed to “customer first, service first” and takes the diverse needs of customers as its starting point, focusing on the analysis of user profiles and preference data to tailor professional services and provide accurate products for different types of customers.

We have made our efforts providing early warning alerts, in-depth market analysis reports, industry chain profit tracking and monitoring, corporate client roadshow services and a database of all varieties of industry chain to cater to the differentiated needs of different types of investors. During the year, we launched our mobile CRM – Holly Futures Zhike (弘業知客), which classifies and ranks customers through multiple data fields, refining customer management and providing a more convenient way for account managers to understand and serve customers anytime, anywhere.

During the Reporting Period, the Company won several awards, including the “Best Futures Company in China”, “Best Commodity Futures Service Award” and “Excellent Customer Service Award”.

#### 4. Properly handle customer complaints

Holly Futures has established a comprehensive and efficient complaints handling mechanism. In accordance with the "Customer Complaint Handling Regulations" issued by the Company, Holly Futures has standardized the handling and management of customer complaints, recognized the person in charge of each functional department and business department as the first responsible person for handling customer complaints in the respective department, thereby forming a customer handling mechanism between the headquarters and each business department to improve service efficiency and enhance customer experience. We clearly informed our customers of the monitoring matters, complaint channels, telephone numbers and other relevant contents on our website to ensure the smooth flow of services and complaint channels.

#### 3. 開展綜合金融服務

弘業期貨踐行「客戶至上，服務至上」，以客戶多樣化需求為出發點，注重通過對用戶畫像、偏好數據的分析，為不同類型客戶量身定制專業化服務，提供精準化的產品。

我們做精做好行情預警提示、行情分析深度報告、產業鏈利潤跟蹤監測、企業客戶路演服務以及產業鏈全品種數據庫等，滿足不同類型投資者的差異化需求。本年內，我們上線了弘業知客移動CRM系統，系統通過多個數據字段對客戶進行分類分級，精細化客戶管理，為客戶經理隨時隨地瞭解客戶、服務客戶提供更便捷的方式。

報告期內，公司榮獲「中國最佳期貨公司」「最佳商品期貨服務獎」「優秀客戶服務獎」等多項榮譽。

#### 4. 妥善處理客戶投訴

弘業期貨構建了完善高效的投訴處理機制，依據公司出台的《客戶投訴處理辦法》規範客戶投訴處理和管理工作，確認公司各職能部門、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，並形成總部與各業務部門聯動的客戶處理機制，從而提高服務效率，提升客戶體驗。我們在公司網站明確告知客戶監督事項、投訴渠道、受理電話等相關內容，保障服務和投訴渠道暢通。

## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

#### Customer complaint channels of Holly Futures

Complaint telephone number: 4008281288-8

Complaint email: 4008281288@ftol.com.cn

Address: 17/F, Building A4, Financial City II, No. 399 Jiang Dong Zhong Road, Jianye District, Nanjing, Jiangsu Province

Complaint telephone number of Jiangsu Securities Bureau: (025)84575515

The Company recognized the person in charge of each functional department and business department as the first responsible person for handling customer complaints in the respective department, thereby forming a customer handling mechanism between the headquarters and each business department. After handling the complaints, we will pay return visits to our customers. By maintaining good communication with our customers, we can solve their problems in a timely manner, further understand their needs and suggestions, and make timely improvements to the management problems reflected through complaints, so as to continuously improve the quality of our services and service standards. In 2022, Holly Futures completed all 11 customer complaints and fed back the results to the regulatory bodies.

#### (III) Investor education and protection

2022 is a year of milestones to the futures market, with the Futures and Derivatives Law of the People's Republic of China coming into force on 1 August 2022. Against this backdrop, it is particularly important to enhance the dissemination of futures knowledge and to do a good job of risk alerting and servicing since the rationality and maturity of investors will ensure that the various functions of the futures market can be fully utilized, thereby enhancing the stability of client relationships with futures companies. During the Reporting Period, the Company further implemented the Investor School Implementation Program of Holly Futures and the Investor Education and Protection Work Program of Holly Futures issued by the Company, and the headquarter, in collaboration with 45 sub-branches, continued to promote the development of the Company's investor education and protection work.

#### 弘業期貨客戶投訴渠道

投訴電話：4008281288-8

投訴郵箱：4008281288@ftol.com.cn

信訪地址：江蘇省南京市建鄴區江東中路399號金融城二期A4幢17樓

江蘇證監局進行投訴電話：(025)84575515

公司確定各職能部門、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，形成總部與各業務部門聯動的客戶處理機制。投訴處理完畢後我們會對客戶進行回訪，通過與客戶保持良好的溝通交流，及時解決客戶難題，進一步瞭解客戶需求和建議，對透過投訴折射出的管理問題及時加以改進，不斷提升服務質量和服務水平。2022年弘業期貨對11個客戶投訴均處理完畢，並反饋結果至監管機構。

#### (三) 投資者教育與保護

2022年對期貨市場是具有里程碑意義的一年，《中華人民共和國期貨和衍生品法》於2022年8月1日起正式施行。在此背景下，加強期貨知識的普及，做好風險提示和服務工作顯得尤為重要，投資者的理性與成熟能保障期貨市場各項功能的充分發揮，從而提高期貨公司客戶關係的穩定性。報告期內，公司進一步貫徹落實公司出台的《弘業期貨投資者學校實施方案》和《弘業期貨投資者教育和保護工作方案》，總部協同45家分支機構持續推動公司投資者教育和保護工作的開展。



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

### 1. Investor education

Holly Futures places great importance on investor education and we are committed to the principles of full participation, clear division of labor and accountability. By continuing to promote the Company's investor education, we have gained recognition from investors and achieved a good social impact. We insist on explaining the risks and rules thoroughly to help investors fully understand the risks of investing in the capital market and develop a correct investment philosophy.

In 2022, the Company drafted the Guidelines for Futures Investors Education of Holly Futures to further promote the continuous and in-depth development of the Company's investment education work. At the same time, the Company actively organized training sessions on and offline with regulatory bodies, futures associations and stock exchanges to enhance the professional skills of all staff and develop their awareness of investor education and protection.

We have launched a variety of original investment education works that are accessible to the public and easy to understand, making full use of the Company's WeChat public account, APP and TikTok and other online platforms in conjunction with on-site publicity to actively promote and popularize futures financial knowledge and enhance investors' financial literacy. During the year, Holly Futures invited professional lecturers such as exchange experts, industry veteran lecturers and industry customer specialist to give lectures and organized nearly 500 specialized training events on and offline for investor education, enhancing the breadth and depth of investor education.

### 1. 投資者教育

弘業期貨高度重視投資者教育工作，我們本著全員參與、分工明確、責任到人的原則，持續推動公司投資者教育，得到了投資者的認可，取得了良好的社會影響。我們堅持把「風險講夠、規則講透」，幫助投資者充分認識資本市場的投資風險，樹立正確的投資理念。

2022年，公司起草《弘業期貨投資者教育工作指引》，進一步推進公司投教工作持續深入開展。同時，公司積極組織學習監管機構、期貨業協會、交易所各類線上線下培訓，提高全體員工專業技能並培養員工投資者教育和保護意識。

我們推出適應大眾、通俗易懂的各種原創投教作品，充分利用公司微信公眾號、APP、抖音等線上平台和現場宣傳相結合，積極宣傳普及期貨金融知識，提升投資者金融素養。本年內，弘業期貨邀請了交易所專家、行業內資深講師、產業客戶專家等專業級講師參與授課，舉辦了近500場各類線上線下投資者教育專項培訓活動，增強了投資者教育普及的廣度和深度。

## IV. TRUST AND WIN-WIN, OPTIMISE CUSTOMER SERVICES

### 四、信賴共贏，優化客戶服務

#### 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, Holly Futures participated in the National Futures Real Trading Competition as the designated dealer. The Company was awarded the "Outstanding Investor Education Award" by the organizing committee of the competition as a designated trader in the National Futures Real Trading Competition, which successfully concluded in 2022.

#### 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、提高投資者的投資實踐技巧，弘業期貨作為全國期貨實盤交易大賽的指定交易商參與其中。在2022年度圓滿收官的第十六屆全國期貨實盤交易中，公司作為指定交易商被大賽組委會授予「優秀投資者教育獎」的榮譽。



Holly Futures won the "Outstanding Investor Education Award"  
弘業期貨榮獲「優秀投資者教育獎」

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

### 2. Investor protection

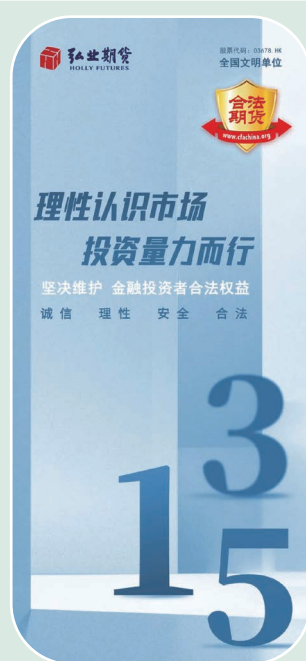
Holly Futures adheres to the philosophy that “protecting small and medium-sized investors means protecting the capital market”, and strictly fulfils its responsibility for investor suitability management, protecting the legitimate rights and interests of investors in a responsible manner.

The Company further implemented the Measures for Administration of Securities and Futures Investor Suitability by strictly regulating the business process of investor account opening, actively improving the assessment of product risk classification and refining the classification of investors to strengthen its social responsibility to protect the interests of small and medium-sized investors. In 2022, we cooperated with relevant organizations to launch the “Rational Understanding of the Market and Investing within your Means” 3.15 Investor Protection Themed Education Campaign, the “Caring for Investors, Working Together – Building a Firm Foundation for the Reform of the Registration System and Protecting the Legitimate Rights and Interests of Investors” 5.15 National Investor Protection Day Campaign, the “Financial Literacy Month, Financial Literacy in Ten Thousand Homes, Be a Rational Investor and Be a Good Financial Netizen” Financial Literacy Month Campaign, the “Understanding the risk before making investments, protecting millions of families” World Investor Week and a series of promotional activities. By organizing online and offline activities, we are committed to guiding investors through multi-channels, multi-faceted and multi-angle to the proper channels to understand futures and stay away from illegal futures.

### 2. 投資者保護

弘業期貨秉承「保護中小投資者就是保護資本市場」的理念，嚴格履行投資者適當性管理職責，以對投資者負責的態度，將保護投資者合法權益貫穿工作始終。

公司進一步落實《證券期貨投資者適當性管理辦法》，嚴格規範投資者開戶業務流程，積極完善產品風險分類評估、細化投資者分類，強化對中小投資者利益保護的社會責任。2022年，我們配合相關組織開展「理性認識市場投資量力而行」3·15投資者保護主題教育活動、「心繫投資者，攜手共行動—築牢註冊制改革基礎，保護投資者合法權益」515全國投資者保護宣傳日活動、「金融知識普及月金融知識進萬家爭做理性投資者爭做金融好網民」金融知識普及月活動、「投資明風險，守護千萬家」世界投資者周等一系列宣傳活動，線上線下並行，多渠道、多方位、多角度引導投資者通過正規渠道瞭解期貨，遠離非法期貨。



3.15 Investor Protection Themed Education Campaign of Holly Futures  
弘業期貨「3·15投資者保護主題教育活動」宣傳海報



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

### Holly Futures launches “Know the Rules – Know the Risks” quiz competition

To welcome the arrival of the “5.15 National Investor Protection Day”, Holly Futures launched the “Know the Rules – Know the Risks” quiz competition to guide investors to establish a correct investment philosophy and stay away from illegal futures traps, thereby protecting their legitimate rights.

### 弘業期貨開展「明規則·識風險」有獎答題活動

為迎接「515全國投資者保護宣傳日」的到來，引導投資者樹立正確的投資理念，遠離非法期貨陷阱，切實維護投資者合法權益。弘業期貨特開展「明規則·識風險有獎答題」活動。



Poster for the “5.15 National Investor Protection Day” of Holly Futures  
弘業期貨「515全國投資者保護宣傳日」宣傳海報



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

Our employees are the most important asset of Holly Futures and the cornerstone of our business. We always adhere to the concept of people-oriented by protecting the rights and interests of employees, caring for their development, and protecting their health, being a responsible employer.

### (I) Diverse and equal employment

Holly Futures has studied and implemented the contents of the 20th Party Congress Report and the 14th Five-Year Plan on the promotion of equal employment and the elimination of unreasonable restrictions. The Company strictly abides by national laws and regulations, and has formulated the Recruitment Management Measures of Holly Futures Co., Ltd. to provide equal employment opportunities for workers. We have built a diverse and inclusive corporate culture based on respect, creating a comfortable and harmonious working environment.

#### 1. Equal employment

Holly Futures places a high priority on attracting talent by actively broadening its recruitment channels and optimizing its recruitment process. The Company has fully disclosed the key requirements such as job requirements and assessment methods, and selected and hired outstanding talents in an objective and transparent manner in line with the Company's business development. We have set up a "platform for cultivating university futures talents" to ensure that fresh graduates enjoy fair employment opportunities and equal rights.

While 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 color, descent, nationality, ethnicity, or religion. We insist on tenure and contractual management coverage, so that all employees have equal opportunities for employment and promotion.

員工是弘業期貨最重要的財富，是公司事業發展的基石。我們始終堅持以人文本的理念，維護員工權益，關懷員工發展，保障員工健康，做負責任的僱主。

### (一) 多元化與平等僱傭

弘業期貨學習貫徹落實黨的二十大報告和「十四五」規劃中關於促進平等就業和消除不合理限制的有關內容，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。我們以尊重為基礎，建立多元包容的企業文化，營造舒適和諧的工作氛圍。

#### 1. 平等招聘

弘業期貨重視吸引人才，積極拓寬引才渠道，優化招聘流程。公司全面公開崗位條件、考評方式等關鍵要求，以客觀、透明的方式選聘符合公司業務發展的優秀人才。我們搭建「高校期貨人才培育平台」，保障應屆畢業生享有公平就業機會和同等權利。

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。我們堅持任期制、契約化管理全覆蓋，令所有員工獲得平等的就業晉升機會。

# V. Empowering talent, helping staff development

## 五、賦能於人，助力員工成長

### 2. Diversified development

Holly Futures has established the concept of diversified talents, set up a mechanism for the introduction and cultivation of diversified talents, and extensively recruited and attracted diversified talents. The Company has established a multi-layer and multi-dimension recruitment platform with “social recruitment – campus recruitment – online recruitment” and has set up a diversified job system to welcome talents from different backgrounds to submit job applications.

We have built an open management system that values and listens to diverse perspectives, promotes acceptance of employees from different backgrounds, and fosters cooperation and collaboration among employees, resulting in a continuous increase in employee satisfaction and happiness.

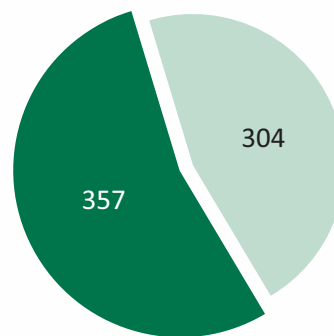
As of 31 December 2022, the total number of employees of the Company was 661, all of them are contract employees, of which 304 were female employees, accounting for 46%, and 357 were male employees, including 2 veterans. During the Reporting Period, total workforce by gender, employment type, age, region and rank are as follows:

### Total workforce – by gender

#### 僱傭總數—按性別劃分

Male  
男性

Female  
女性



### 2. 多元發展

弘業期貨樹立多元化人才觀念，建立多元化人才引進和培養機制，廣泛招聘和吸引多元化人才。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，設置多元化的崗位體系，歡迎不同背景的人才遞交求職申請。

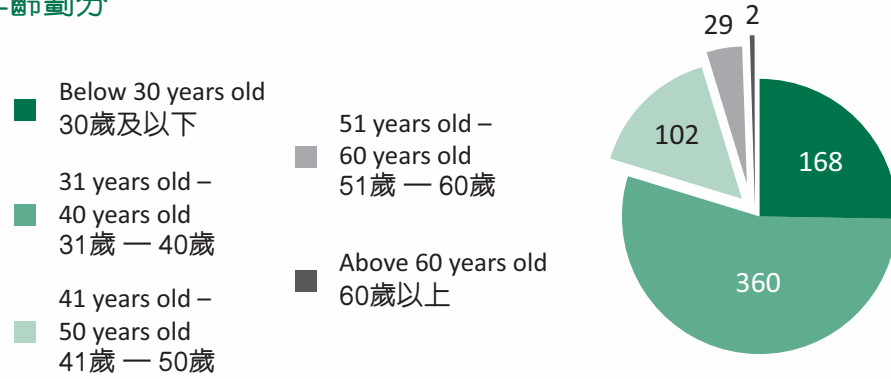
我們建設開放性的管理體系，重視和傾聽多元化觀點，提升對不同背景員工的接納程度，促進員工合作協同，公司員工滿意度和幸福指數持續上升。

截至2022年12月31日，本公司在職員工總數為661人，均為合同制員工。其中女性僱員為304人，佔比46%，男性僱員為357人，其中包括2名退伍軍人。報告期內，按性別、年齡、地域、職級劃分的僱員總數如下所示：



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

Total workforce – by age  
僱傭總數—按年齡劃分



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



## V. Empowering talent, helping staff development

### 五、賦能於人，助力員工成長

During the Reporting Period, the Company has 59 new employees, all of them are full-time employees. Total workforce by gender, region, and age of new employees are as follows:

報告期內，公司總新進員工人數為59人，均為全職員工，按性別、地域、年齡劃分的新進員工人數如下表所示：

Basis of Classification	劃分依據	Unit 單位	Total for 2022 2022年度匯總
<b>Total number of new employees</b>		Person	59
<b>總新進員工人數</b>		人	
<b>By gender</b>	<b>Male</b>		39
<b>按性別劃分</b>	<b>男性員工</b>		
	<b>Female</b>		20
	<b>女性員工</b>		
<b>By region</b>	<b>Within Jiangsu</b>	Person	32
<b>按地域劃分</b>	<b>江蘇省內</b>	人	
	<b>Other regions of the Mainland China excluding the Jiangsu</b>	Person	22
	<b>中國大陸除江蘇省外其他地區</b>	人	
	<b>Overseas (including areas outside the Mainland China)</b>	Person	5
	<b>境外(包括中國大陸境外地區)</b>	人	
<b>By age</b>	<b>Below 30 years old</b>	Person	37
<b>按年齡劃分</b>	<b>30歲及以下</b>	人	
	<b>31 years old – 40 years old</b>	Person	16
	<b>31歲-40歲</b>	人	
	<b>41 years old – 50 years old</b>	Person	3
	<b>41歲-50歲</b>	人	
	<b>51 years old – 60 years old</b>	Person	2
	<b>51歲-60歲</b>	人	
	<b>Above 60 years old</b>	Person	1
	<b>60歲以上</b>	人	



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

**Honors: Holly Futures receives the honorary title of “Women’s Pacesetter on the First of May, Striving to be One” as a provincial enterprise**

Female staff of Holly Futures have contributed their women power to the quality development of Holly Futures, the construction of a new “strong, rich, beautiful and high standard” Jiangsu Province, and the flourishing of the multi-level capital market, fully demonstrating their capability of “heaving half of the heaven” and boldly showcasing women power in the new era.

**榮譽：弘業期貨獲評省部屬企業「五一巾幗標兵崗、爭當五一巾幗標兵」榮譽稱號**

弘業期貨廣大女職工當仁不讓，用巾幗精神為弘業期貨高質量發展、為「強富美高」新江蘇建設、為多層次資本市場蓬勃發展貢獻了自己的力量，充分展現了「半邊天」的擔當，有力彰顯了新時代巾幗風采。

### (II) Protection of rights and interests of employees

Holly Futures strictly abides the Labor Law of the PRC, the Labor Contract Law of the PRC, the Protection of Minors of the PRC and other related laws and regulations, and has formulated the Employee Handbook and other labor policies to practically protect the legitimate rights and interests of employees and build good labor relations.

#### 1. Employees’ rights and interests

Holly Futures is committed to operating in compliance with the law. The Company has signed labor contract with each employee, through which working hours and rest and holidays, labor remuneration, social insurance, labor protection, labor conditions and protection against occupational hazards are agreed upon to guarantee the legal employment and dismissal of employees. We pay full contributions to basic social insurance for employees, including a basic pension plan, basic medical insurance, unemployment and work-related injury insurance, and maternal insurance as required by law, increasing the level of employee medical, maternity and pension protection.

### (二) 保障員工權益

弘業期貨嚴格遵守《中華人民共和國勞動法》《中華人民共和國勞動合同法》《中華人民共和國未成年人保護法》等有關法律法規，訂立了《員工手冊》等勞工政策，切實保障員工合法權益，構建良好的勞資關係。

#### 1. 員工權益

弘業期貨堅持依法合規經營，公司與每位員工簽訂了勞動合同，通過勞動合同對工作時間和休息休假、勞動報酬、社會保險、勞動保護、勞動條件和職業危害防護加以約定，保證員工的合法僱傭和解僱。我們為員工全額繳納基本養老、基本醫療、失業、工傷、生育等基本社會保險，提高員工的、醫療、生育、養老保障水平。



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

In 2022, the labor contract signing rate of the Company's employees are 100%, with a 100% social insurance coverage rate.

We have regulated employment management by verifying the identity of employees and strictly prohibiting the employment of forced labor and child labor. The Company strictly implemented statutory holiday and day-off systems by regularly checking the staff overtime and labor intensity to ensure compliance with relevant labor laws and regulations. For exit employees, we respect their career choices and do not restrict their right to freedom of choice of employment for any reason. During the year, there was no employment of children or forced labor by Holly Futures.

2022年，公司員工勞動合同簽訂率為100%，社會保險覆蓋率為100%

我們規範用工管理，在聘用過程中對員工身份進行核實，嚴禁強制聘用勞工及童工。公司嚴格執行法定假日及休假制度，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。對於辭職的員工，我們尊重其職業選擇，不會以任何理由限制其擇業自由的權利。本年內，弘業期貨不存在使用童工和強制勞工的情況。

### Case: Labor Union of Holly Futures organizes a series of Goddess Day event

On 8 March, Holly Futures organized a series of "Goddess Day" event, with various sub-branches arranging exciting activities for our female staff. Leaders of Holly Futures sent festive gifts and blessings to the female staff of the sales department while paying a visit to Yancheng to provide work guidance. Yixing sales department of Holly Futures launched a floral design activity. Hangzhou sales department of Holly Futures prepared a snack pack for the female staff. This event has further enriched the spiritual and cultural life of female staff and enhanced team cohesion and centripetal force.

### 案例：弘業期貨工會組織開展女神節系列活動

3月8日弘業期貨開展「女神節」系列主題活動，各分支機構為女員工安排了精彩紛呈的活動。弘業期貨領導赴鹽城指導工作的同時為營業部女員工送去節日禮物和祝福；弘業期貨宜興營業部開展了插花活動；弘業期貨杭州營業部精心為女員工準備了零食大禮包。本次活動進一步豐富了女員工精神文化生活，增強了團隊凝聚力和向心力。



Promotional poster  
宣傳海報



Festive gifts  
節日禮品

# V. Empowering talent, helping staff development

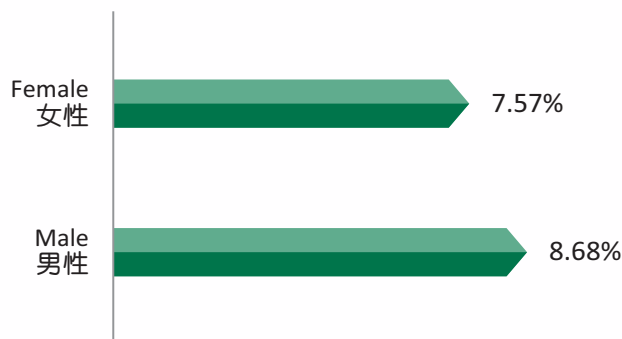
## 五、賦能於人，助力員工成長

### 2. Employee communication

Holly Futures has established an open and transparent communication mechanism to encourage employees to exercise their democratic rights and participate in business decisions. The Company relies on the system of staff councils to build a platform for staff to participate in democratic management and a channel to express their interests and demands to protect the rights of staff to democratic management and supervision. The Company has also set up a “Reform and Innovation Suggestion Box” as an important channel for direct communication between general staff and senior management, with staff actively advising on business development and internal management, enhancing the democracy of decision-making and improving staff participation. According to the principle of “completion within time limit”, the Company gives feedback and deals with core issues concerned by most employees.

The Company pays attention to communication with exit talents and carries out exit interviews with all resigned employees, to know more about the internal and external factors for their resignation, providing a basis for later improvements. We endeavor 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 8.17%, and the turnover rate by gender, age and region are as follows:

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



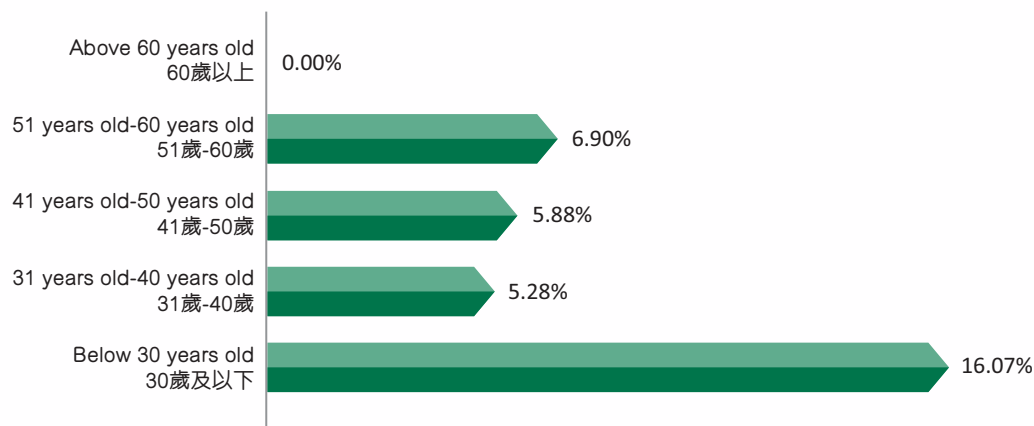
### 2. 員工溝通

弘業期貨建立了開放透明的信息溝通機制，鼓勵員工行使民主權利、參與經營決策。公司依托職代會制度搭建職工參與民主管理的平台和表達利益訴求的渠道，保障員工民主管理、民主監督的權利。公司同時開設了「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，員工對業務發展和內部管理積極諫言，增強了決策民主性，提升員工參與度。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。

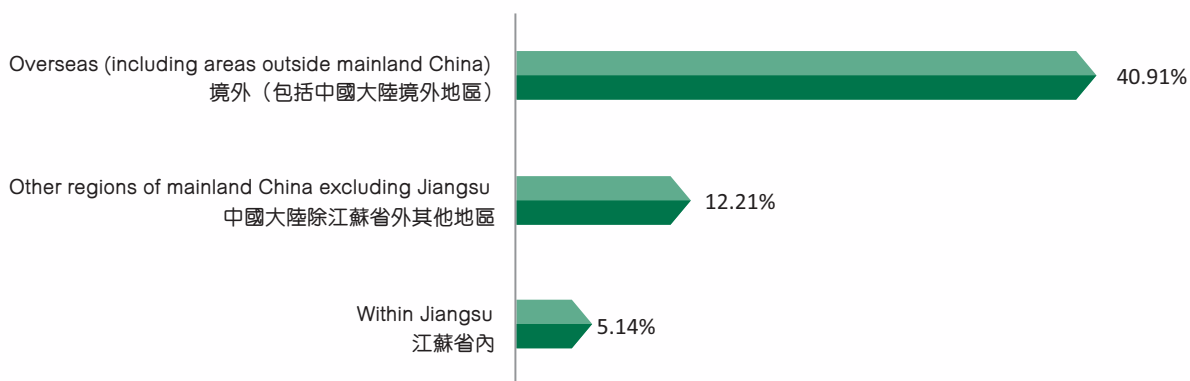
公司注重與離職人才的溝通，針對所有離職員工開展離職前面談，更多地瞭解員工離職的內外部影響因素，為後期改進提供依據。我們致力於從根本上改善潛在的管理問題，提升員工的滿意度，助力員工與企業共同發展。報告期內，員工流失率為8.17%，按性別、按年齡、按地域劃分的員工流失率如下所示：

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

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



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





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

### (III) Empowerment of employees' development

Holly Futures has always adhered to the motto of “actively bringing in elite talents and cultivating outstanding staff to build a highland of talents in the futures industry” and has continuously improved its talent cultivation mechanism. The Company has issued the “Administration Measures on the Introduction of Special Talents” and established a career development system covering all employees, achieving mutual growth of employees and the Company.

The Company pays close attention to the development of talent and attaches great importance to the capital appreciation of its employees. We are constantly improving our training management systems, which include the training system for new staff, the training model for the growth of reserve talents, and the training system for middle management. By establishing a tiered and coordinated training programs, we provide regular targeted and precise trainings to our staff.

### (三) 賦能員工發展

弘業期貨始終秉承「積極引進精英人才、著力培養優秀員工，營建期貨業人才高地」的宗旨，不斷完善人才培養機制。公司出台了《特殊人才引進管理辦法》，建立了覆蓋全員的職業發展體系，實現員工與公司共成長。

公司密切關注人才發展，高度重視員工人力資本增值。我們不斷地完善培訓管理制度，包括新進員工培養體系、後備人才成長培養模式、中層管理人員培養體系；我們建立了分層分類、統籌兼顧的培訓計劃，對員工定期開展培訓，定點精準培養。

Customized training solutions 定制化培訓方案	
Training Target 培訓對象	Training Direction 培訓方向
Operating Managers 經營管理人員	To enhance awareness of the development of the securities industry, management theories, strategic thinking skills, management capabilities, etc. 提高證券行業發展認知、管理理論、技能戰略思維能力、經營管理能力等
Staff in all business lines and departments 各業務條線及部門員工	To strengthen business knowledge, improve product development, marketing skills, service capabilities, etc. 強化業務知識、提高產品開發、營銷技巧、服務能力等

Holly Futures is constantly optimizing its hiring process to provide a more favorable environment for talented people. In terms of internal talent selection mechanism, in order to meet the needs of corporate development and talent development, we have established a dual promotion mechanism of “professional sequence and management sequence”, expanding the career opportunities of our staff. At the same time, the Company has vigorously promoted competition for management positions and launched competitive recruitment for the persons in charge of functional and business departments. In addition, the Company is also deepening and consolidating the performance appraisal of all staff, introducing a last-ranking adjustment and incompetence exit mechanism.

弘業期貨不斷優化用人機制，為優秀人才提供更為優渥的土壤。在內部人才選拔機制上，為了適應企業發展和人才發展需求，我們建立了「專業序列、管理崗位序列」雙通道晉升機制，拓展員工職業發展空間。同時，公司大力推行管理人員競爭上崗，開展職能部門、業務部門負責人競聘工作。此外，公司也在做深做實全員績效考核，出台末等調整和不勝任退出機制。

## V. Empowering talent, helping staff development

### 五、賦能於人，助力員工成長

We attach importance to the cultivation of reserve talents in the financial industry and have set up the Holly Futures – Hehai University Business School Investor Education Base and the Hehai University – Holly Futures Business Student Social Responsibility Education Base. With the guiding principle of school-enterprise cooperation and win-win cooperation, and the specific task of enhancing the financial literacy of university students, we are actively exploring new areas and modes of strategic cooperation between financial institutions and high education institutions, and delivering high-quality professional talents to the financial market.

我們重視金融行業後備人才的培養，搭建弘業期貨—河海大學商學院投資者教育基地、河海大學—弘業期貨商科大學生社會責任教育基地，以校企合作、共建共贏為指導方針，以提升大學生金融素養為具體任務，積極探索金融機構與高等院校戰略合作的新領域、新模式，持續向金融市場輸送高質量專業人才。

#### Case: Holly Futures launches online customized business training session

In the afternoon of 3 September, Holly Futures held an online customized business training session on the theme of “Explanation on the market incubation support program of Guangzhou Futures Exchange”, with the contact person for market incubation work of the GFE from the Brokerage Business Management Department as the internal trainer. Firstly, the trainer introduced the general requirements and development position, shareholding structure, variety planning and other basic information of the GFE. It is followed by an explanation of the categories and specific requirements for market incubation activities at the GFE and the corresponding funding support package. Lastly, the trainer gave a detailed introduction to market incubation activities in terms of application, organization, approval, materials required and management measures.

#### 案例：弘業期貨開展線上定項業務培訓

9月3日下午，弘業期貨開展主題為《廣期所市場培育工作支持方案解讀》的線上定項業務培訓，由經紀業務管理部的廣期所市場培育工作聯絡人擔任內訓講師。首先講師對廣期所的總體要求與發展定位、股權結構、品種規劃等基本情況進行介紹。其次講解廣期所市場培育活動的分類和具體要求以及相應的經費支持方案。最後從市場培育活動的申請、舉辦、審批、需要的材料以及管理措施等方面進行詳細介紹。

## V. Empowering talent, helping staff development

### 五、賦能於人，助力員工成長

#### Case: Changzhou Branch holds the 2022 Labor Union Reading Corner

With the support of the Labor Union of the Company, Changzhou Branch purchased various books and placed them on the bookshelf in the lobby of the branch, organizing staff to make full use of their spare time to read and learn. After the establishment of the reading corner, staff no longer just hold their mobile phones during lunch break but visit the reading corner to pick up the book they like. The reading corner gave everyone a rare opportunity for in-depth exchanges and communication, which further enhanced team cohesion and better coordination among colleagues.

#### 案例：常州營業部舉辦2022年工會讀書角活動

我部在公司工會的支持下，購買各類書籍，統一放置於營業部大廳處的書架，組織員工充分利用閒餘時間進行閱讀學習。建立了讀書角之後，同事們午間休息不再只是拿著手機，而是去讀書角拿上自己喜歡的書本。研讀會給大家一次難得的深入交流和溝通的機會，團隊凝聚力進一步提升，同事之間的工作協調更為默契。



Picture of the reading club  
研讀會照片

Picture of the reading corner  
讀書角照片

#### Case: Zhangjiagang Branch launches a Labor Union activity on the theme of “Read More and Read Happily with Good Books”

Zhangjiagang Branch continued the good reading habits in 2022 by purchasing financial, humanities and social science books to enrich the financial theoretical knowledge of the staff and enhance their humanistic qualities, with an aim of creating a learning-oriented branch. With the support of the Labor Union of the Company, all staff of Zhangjiagang Branch will continue to deepen their learning, keep abreast of the times, and conduct independent exploration while focusing on communication to continuously improve the overall quality of staff.

#### 案例：張家港保稅區營業部開展「多讀書、樂讀書、讀好書」主題工會活動

2022年張家港保稅區營業部延續良好的讀書習慣，立足豐富員工的金融理論知識、提升員工的人文素養，採購一批金融類和人文社科類書籍，旨在營造學習型營業部。張家港保稅區營業部全體員工將在公司工會的支持下，不斷深化學習，與時俱進，積極自主探索，同時注重交流，不斷提升員工的綜合素質。



## 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 employees' training, the Company uses online learning platforms such as the Internet, WeChat and videos to enhance online learning experience of the employees and further improve the all-round "online + offline" training mechanism. The Company has also organized various training activities to vigorously meet the development needs of staff. In 2022, the Company's total training expenses was RMB123,805, its overall training coverage is 100%, and the average training hours of employees was 116 hours. The trainings fully improved the comprehensive ability and performance of employees in leadership, management, professional and other aspects. For specific training related data, please refer to the KPI Table in the appendix of this report.

#### (IV) Occupational Health and Safety

Holly Futures 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 by strictly abiding to the policies and instructions of the relevant department at higher levels, improving the safety rules and regulations while increasing safety publicity and education and promoting the implementation of the main responsibility of enterprises.

##### 1. Work Safety

Holly Futures actively promotes the transformation of safety management, innovates and strengthens its safety supervision and inspection to enhance the prevention and control of material risk in safety production and eliminate hidden dangers in a timely manner. We held the 2022 Annual Meeting on Safety, Production and Stability, and seriously studied the spirit of the document "Notice of Jiangsu State-owned Assets Supervision and Administration Commission on the Safety and Production Work of Provincial Enterprises in 2022", working hard for the high quality development of the Company's safety management.

There were no work-related fatalities occurred in the past three years, and there were no lost days due to work injury during the year.

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，舉辦了各項培訓活動，大力滿足員工的發展需要。2022年，公司累計投入培訓費用人民幣123,805元，公司整體培訓覆蓋率為100%，員工人均受訓小時數為116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。具體培訓相關數據見本報告附錄關鍵績效表。

#### (四) 職業健康安全

弘業期貨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，嚴格按照上級相關部門政策及指示要求，完善安全規章制度文件，加大安全宣傳教育力度，推動企業主體責任落實。

##### 1. 安全生產

弘業期貨積極推進安全管理的轉型，創新強化安全監督檢查，加強安全生產重大風險防控，及時消除事故隱患。我們召開了2022年度安全生產與維穩工作會議，認真學習《江蘇省國資委關於做好省屬企業2022年安全生產工作的通知》的文件精神，為公司的安全管理工作高質量發展而努力。

過去弘業期貨三年均未發生因工亡故的事件，本年內因工損失工作日數為0。

## V. Empowering talent, helping staff development

### 五、賦能於人，助力員工成長

**Case: Holly Futures launches a series of in-depth activities for “Safe Production Month”**

**案例：弘業期貨深入開展「安全生產月」系列活動**

In June 2022, Holly Futures launched a series of education activities for “Safe Production Month” that focuses on the theme of “complying with the safe production law and being the first responsible person”. This series of activities strengthened safety awareness and bottom-line thinking of all staff, created a good atmosphere for safe production and improved the overall emergency handling capability of the Company.

2022年6月，弘業期貨緊緊圍繞「遵守安全生產法，當好第一責任人」主題，組織開展「安全生產月」系列宣教活動。本次系列活動強化全體員工的安全意識和底線思維，營造良好的安全生產氛圍，提高了公司的整體應急處置能力。



Watching the feature film “Life Is of Extreme Importance”  
觀看《生命重於泰山》專題片



Safe production promotion and consultation day  
安全生產宣傳諮詢日



Fire escape drills  
消防逃生演練



CPR demonstration  
心肺復甦演示

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

### Case: Holly Futures launches fire safety campaign for “2022 Safe Production Month”

On 9 June, Holly Futures launched fire safety training campaign and invited teachers from fire training organizations to conduct staff training on fire safety knowledge, promoting the knowledge of fire prevention in summer and raising the awareness of fire safety among all staff. Through this training campaign, staff were further familiarized with methods to ensure electricity safety in office premises, enhancing their essential fire-fighting skills.



Staff training on fire safety knowledge  
員工進行消防知識安全培訓

### 案例：弘業期貨開展「2022年安全生產月」消防安全活動

6月9日，為宣傳普及夏季高溫防火知識，提高全體人員的消防安全意識，弘業期貨開展消防安全培訓活動，邀請了消防培訓機構的老師對公司員工進行消防知識安全培訓。通過本次培訓，員工進一步熟悉了如何保障辦公場所用電安全，增強消防必備技能。

### Case: Holly Futures conducts safety checks before Chinese New Year

On 28 January, members of the Party Committee and leadership team of the Company conducted safety checks before Chinese New Year. By inspecting computer rooms and warehouses on the 4th floor as well as office area on all floors, staff were required to strengthen self-inspection of their own departments as well as key safety areas, rectify any hidden dangers in timely manner, and strictly enforce the holiday duty system of leaders and the 24-hour duty system of the computer room during holiday.



### 案例：弘業期貨開展春節節前安全檢查

1月28日，公司黨委成員及公司領導班子成員開展春節節前安全檢查，對弘業期貨4樓機房、倉庫及各樓層辦公區域進行檢查，要求員工要加強對自身部門及安全重點區域開展自查，發現隱患要及時整改，嚴格執行節日領導帶班值班制度及機房24小時值守制度。



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

### 2. Physical and mental health

Holly Futures cares about the physical and mental health of staff and takes a variety of measures to improve the health of its staff through a wide range of methods and coverage. The Company has been improving the construction of in-house infrastructure, making every effort to contribute to green office, healthy drinking water, safe dining, critical illness protection and other practical matters for the people's livelihood, further enhancing the satisfaction and sense of achievement of the workforce.

The Company regulates occupational health supervision and organizes regular health checks for employees. We have purchased health books and organized health talks and Chinese medicine clinics for our staff to prevent long-term occupational health problems. In addition to health checks, we assist our staff in maintaining a healthy mental state by easing negative emotions and releasing pressure in a timely manner. The Company has also given full play to the role of the Labor Union, the Company organized 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 2022, there were no violations related to employee occupational health and safety.

#### Case: Holly Futures stands firmly on epidemic prevention and control to protect the health and safety of staff

In April 2022, when there was an epidemic emergency in Shanghai, the Group's leadership paid serious attention to the matter and issued special instructions to address the concerns of the staff. Holly Futures has always put employee care at the forefront and has established an upward and downward linkage mechanism to promptly receive feedback from staff on their needs and offer aid to the greatest extent possible. The Labor Union immediately contacted various suppliers and delivered medicines and food, including Lianhuaqingwen (LH) capsule, instant noodles and self-heating rice, to off-site staff in a timely manner, as well as providing them with condolence money. During the epidemic, 33 employees in Shanghai received condolence money and supplies from Soho Holding Group and Holly Futures, which amounted to a total of RMB22,500.

### 2. 身心健康

弘業期貨關心員工身心健康，通過多樣化、全覆蓋的形式，多措並舉提升員工健康水平。公司不斷加大企業內部基礎設施建設，盡心竭力辦好綠色辦公、健康飲水、安全就餐、重疾保障等民生實事，進一步增強職工群眾的滿意度和獲得感。

公司規範職業健康監護，定期組織員工進行健康檢查。我們為員工購買健康普及書籍、舉辦健康講座、中醫問診等活動，以預防長期職業健康問題。在健康體檢的基礎上，我們及時疏導員工負面情緒、釋放壓力，幫助員工保持健康的心理狀態。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。2022年，未發生員工職業健康及安全相關的違規事件。

#### 案例：弘業期貨堅守疫情防控陣地，全力守護員工健康安全。

2022年4月上海疫情告急，集團領導高度重視，作出專門批示要求切實解決員工的後顧之憂。弘業期貨始終將員工關愛放在首位，建立上下聯動機制，及時接收員工的需求反饋，盡最大可能給予幫助。工會第一時間與多方供應商聯繫，及時將連花清瘟膠囊、方便面、自熱飯等藥品和食物送到駐外員工的手中，並發放了慰問金。疫情期間，在上海的33名員工總計收到來自蘇豪控股集團、弘業期貨2.25萬元的慰問金和有關物資。



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

**Case: Labor Union of Holly Futures holds a “caring for workers and sending coolness in summer” charitable event**

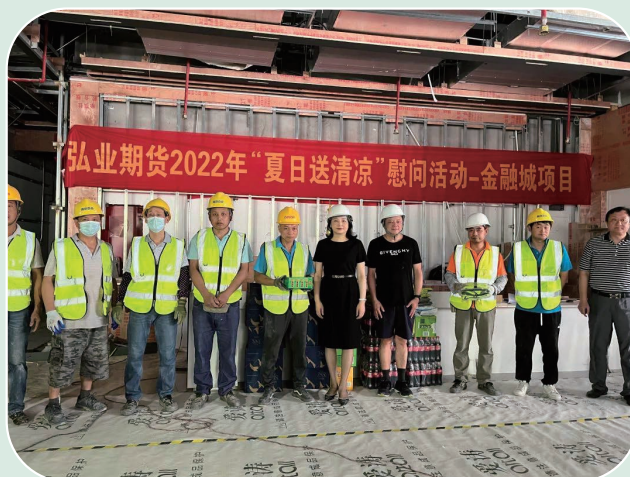
In August 2022, in order to protect the health of our staff from the summer heat, the Labor Union of Holly Futures held a “caring for workers and sending coolness in summer” charitable event to deliver a small coolness kit to each staff. This event has brought the work of heat prevention and cooling into practice, reflecting the Company’s deep concern for its staff, greatly enhancing the happiness index of the staff and strengthening their sense of belonging, gain and security.

**案例：弘業期貨工會舉辦「關愛職工、夏送清涼」慰問活動**

2022年8月，為做好員工防暑降溫工作，保障員工身體健康，弘業期貨工會開展「關愛職工、夏送清涼」慰問活動，向每位員工發放防暑清涼小藥包。此次慰問活動切實將防暑降溫工作落到實處，體現公司對員工的深切關懷，極大地提升了職工的幸福指數，增強職工的歸屬感、獲得感、安全感。



Group photo of the event  
活動合影



Consolation for frontline workers  
慰問一線工人

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

Holly Futures is committed to fulfilling its social responsibility and has taken on the responsibility of monitoring the implementation of social responsibility by its suppliers. Guided by the party building, it is also committed to the spirit of poverty alleviation, serving the three rural areas with innovative models and continuously carrying out public welfare undertakings.

### (I) Develop together with partners

Holly Futures strictly complies with the Procurement Law of the People's Republic of China, the Contract Law of the People's Republic of China, the Company Law of the People's Republic of China and other related laws and regulations, and focuses on screening, identifying, evaluating and improving the environmental and social responsibility performance of suppliers in the course of their operations, while implementing relevant systems and standards and actively participating in experience sharing and industry learning activities to promote the sustainable development of the industry chain.

#### 1. Supplier management

Holly Futures adheres to the principles of impartiality, fairness and openness in the course of cooperation with suppliers, and purchases are made through market enquiries, tenders, competitive negotiations and sign-source procurement, etc.. We have formulated the Procurement Management Measures of Holly Futures (Trial) and other systems to continuously promote the procurement standardization, standardized construction and procurement efficiency of the Company.

In order to enhance suppliers' awareness of performing their responsibilities, the Company screens, approves, evaluates, manages and regularly checks the qualifications of suppliers, and discontinues to cooperate with suppliers with poor ratings. 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 labor standards by any supplier. The Company has a total of 70 IT and IT equipment suppliers, and the regional distribution of suppliers is indicated below.

弘業期貨堅持推進社會責任履行，肩負起監視供應商社會責任實施情況的責任，並以黨建為引領，貫徹扶貧精神，以創新模式服務三農，並不斷踐行公益事業。

### (一) 協同夥伴發展

弘業期貨嚴格遵守《中華人民共和國採購法》《中華人民共和國合同法》《中華人民共和國公司法》等相關法律法規，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，貫徹落實相關制度標準，積極參加經驗交流和行業學習等活動，努力促進產業鏈的共同可持續發展。

#### 1. 供應商管理

弘業期貨與供應商合作過程中始終堅持公開、公平、公正的原則，採購方式為市場詢價、招標、競爭性談判、單一來源等，我們制定了《弘業期貨採購管理辦法(試行)》等制度，持續推進公司採購規範化、標準化建設及採購效益。

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、准入、評估、管理和定期檢查，對評分不良的供應商不予繼續合作。報告期內，所有供應商均已通過公司年度審核，公司未發現有任何供應商在商業道德、環境保護、勞工準則方面有任何重大實際及潛在的負面影響或違規事件。公司共有70家IT及IT設備供應商，供應商地區分佈情況如下所示。

供應商分地區分佈情況





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

We proactively identify, analyze, assess and dynamically monitor supply chain risks and manage the entire process of environmental and social risks of our suppliers in three steps: before, during and after the event, so as to prevent the occurrence of risk sources as far as possible and ensure a safe and compliant supply chain.

**Pre-emptive control**  
Preventing risks from occurring

- adding safety management standards to supplier procurement requirements
- ensuring the authenticity of the supplier's key project personnel
- under the same conditions such as meeting procurement requirements, quality and service standards, priority is given to selecting energy-saving and environmentally friendly products
- in the procurement requirements for environmental protection, requiring suppliers to process relevant qualifications such as ISO14001 management system certification and China Environmental Labeling Product Certification and assigning a score for the provision of certification of competency in the procurement score
- calculating the procurement costs, examining the life cycle of products and equipment and promoting green concepts to suppliers

**In-transit control**  
Controlling the expansion of risks

- using multi-sourcing and preparing back-up suppliers
- conducting due diligence on new suppliers and existing suppliers to prevent negative environmental and social impacts

**Post-event control**  
Reducing risk losses

- analyzing the root causes of risks and rectifying them in a timely manner to ensure that similar risk events do not recur
- excluding suppliers with significant negative environmental and social impacts

我們主動識別、分析、評估並動態監測供應鏈風險，從事前、事中和事後三個步驟管理供應商的全流程環境與社會風險，盡可能防止風險源的發生，保證供應鏈安全合規。

**事前控制預防**  
風險發生

- 在採購需求中明確供應商的安安全管理標準
- 確保供應商主要項目人員的真實可靠
- 符合採購需求、質量和服務標準的同等條件下，優先選擇節能環保產品
- 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
- 核算採購成本，考察產品設備的使用週期，向供應商宣貫綠色環保理念

**事中控制控制**  
風險擴大

- 採用多方採購，準備後備供應商
- 對新增供應商、持續合作供應商開展盡職調查，預防發生負面環境、社會影響

**事後控制減少**  
風險損失

- 分析風險發生的根本原因並及時整改，確保同類風險事件不會再次發生
- 剔除對產生重大負面環境、社會影響的供應商。



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

### 2. Promote industry development

As the first “A+H” listed futures company in the industry, Holly Futures has been actively leveraging its professional strengths. During the Reporting Period, the Company launched live streaming futures events to promote futures-related knowledge and organized the DCE – Industry Walk – Seminar on Risk Management in the Futures Market for Enterprises of Zhenjiang Guojiang Group to continuously promote industry exchanges and communication, and deepen the Company’s influence in the industry, facilitating the development of the futures industry.

#### Case: The Company organizes and holds the DCE – Industry Walk – Seminar on Risk Management in the Futures Market for Enterprises of Zhenjiang Guojiang Group

On 28 June, the DCE – Industry Walk – Seminar on Risk Management in the Futures Market for Enterprises of Zhenjiang Guojiang Group, organized by Holly Futures, was successfully held. The seminar explained the role and significance of corporate hedging through three financial instruments, namely futures, stocks and options, and gave a detailed analysis of how futures companies can serve real enterprises. The seminar was well received by the participating companies. Holly Futures will continue to improve its services and leverage its professional advantages in financial derivatives instruments, striving to create more professional, sophisticated and unique futures services.

#### Case: Holly Futures launches the “Holly Futures’ Macro Study – Study the Trend through Looking at the World” live broadcast event

The agricultural products business department of Holly Futures launched the “Holly Futures’ Macro Study – Study the Trend through Looking at the World” live broadcast event for twice. In the first live broadcast, researchers introduced the basics of soybean oil futures and soybean oil options on the topic of “Soybean Oil Futures and Options” and compared the similarities and differences between futures and options in terms of hedging with real-life examples. In the second live broadcast, researchers analyzed the recent trend in corn futures and concluded that domestic corn supply and demand were still good and prices were still expected to rise. The two live broadcasts were very insightful and informative, giving the audience an intuitive understanding of the soybean oil futures tool and the recent corn market, which was highly appreciated by the participants.

### 2. 促進行業發展

作為業內首家「A+H」上市的期貨公司，弘業期貨積極發揮自身專業優勢，報告期內，公司開展期貨線上直播活動，宣傳期貨相關知識，舉辦「DCE • 產業行—鎮江—國控集團所屬企業運用期貨市場開展風險管理研討會」，不斷促進行業交流與對話，深化公司業內影響力，助力期貨行業發展。

#### 案例：組織召開「DCE • 產業行——鎮江國控集團所屬企業運用期貨市場開展風險管理研討會」

6月28日，由弘業期貨主辦的「DCE • 產業行—鎮江國控集團所屬企業運用期貨市場開展風險管理研討會」順利召開。本次會議通過期貨、股票和期權三種金融工具穿插講解了企業套期保值的作用與意義，並就期貨公司如何服務實體企業進行了詳細剖析。本次研討會得到了參會企業的一致好評，弘業期貨將不斷提升服務水平，發揮金融衍生品工具的專業優勢，力爭打造更專業、更精細、更特色的期貨服務。

#### 案例：弘業期貨開展「弘業期貨大觀研—觀天下、研趨勢」線上直播活動

弘業期貨農產品事業部開展了兩次「弘業期貨大觀研—觀天下、研趨勢」線上直播。首次直播，研究員圍繞「豆油期現工具」主題介紹豆油期貨和豆油期權基礎知識，並以實際案例比較分析期貨與期權在套期保值方面的異同。第二次直播期間，研究員分析玉米期貨近期的行情走勢，最後得出國內玉米供需尚可，價格仍存上漲預期的結論。兩次直播深入淺出，內容豐富，使聽眾對豆油期現工具和近期玉米行情有了直觀的瞭解，受到廣大參與者的高度認可。

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

### (II) Contribution of the Holly Power

Holly Futures actively undertakes social responsibility while safeguarding its own development, actively strengthens the integration of party building and pays taxes on time and legally while optimizing the integration of futures and the real economy, and continuously optimizing the cultivation of talent reserves, contributing its wisdom and power to the development of the futures industry.

#### 1. Strengthening the integration of party building

Holly Futures always insists to be led by the party and the integration of party building by strengthening party building and learning, party style and clean government construction and ideological and political education, learning and implementing the spirit of the Sixth Plenary Session of the 19th CPC Central Committee and the Sixth Plenary Session of the 19th Central Discipline Inspection Commission, steadfastly pushing forward the development of a comprehensive and strict governance of the party to a deeper extent. During the Reporting Period, we actively organized our staff to watch the opening ceremony of the 20th Party Congress and learn the spirit of the 20th Congress. We also held working meetings to learn about the overall strict governance of the party, the construction of the party style and clean government, anti-corruption and reform and development, in order to strengthen our theoretical armament and firm up our ideals and beliefs in learning.

#### Case: Holly Futures organizes all staff to watch the opening ceremony of the 20th Party Congress

On the occasion of the 20th National Congress of the Communist Party of China, the Company organized its team members, middle-level management members of the headquarters and branch secretaries to watch the opening ceremony live. Other members and staff of the party committee watched the event online and offline to ensure full coverage of the opening broadcast. All the leaders, cadres and staff of the Company were able to experience the glorious achievements made by the Central Committee of the Party with Comrade Xi Jinping at its core since the 19th Party Congress, uniting the whole Party and the whole nation.



### (二) 貢獻弘業力量

弘業期貨在保障自身發展的同時積極承擔社會責任，積極強化黨建融合，如實準時合法納稅，優化期貨與實體經濟的融合，不斷優化儲備人才力量的培養，為期貨行業的發展貢獻智慧和力量。

#### 1. 強化黨建融合

弘業期貨始終堅持黨建引領和黨建融合，加強黨建學習、黨風廉政建設和思想政治工作，學習貫徹黨的十九屆六中全會和十九屆中央紀委六次全會精神，堅定不移推進全面從嚴治黨向縱深發展。報告期內，我們積極組織員工收看黨的二十大開幕會，學習二十大精神，召開學習全面從嚴治黨、黨風廉政建設、反腐敗、改革發展等工作會議，在學習中強化理論武裝、堅定理想信念。

#### 案例：弘業期貨組織全體員工收看黨的二十大開幕會

在中國共產黨第二十次全國代表大會召開之際，公司組織班子成員、總部中層、各支部書記等集中收看了開幕直播。其他黨員職工以「線上+線下」方式收看，確保開幕直播收視全覆蓋。全體領導幹部和員工共同感受黨的十九大以來，以習近平同志為核心的黨中央團結帶領全黨全國各族人民取得的輝煌成就。

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

### Case: Holly Futures' party branches hold branch meetings

The third, second and fifth party branches of Holly Futures held their 2021 annual organizational life meetings and democratic review of party members in accordance with the requirements of the Notice on Convening the Organizational Life Meeting of Grassroots Party Organizations and Conducting Democratic Review of Party Members in 2021 of the party committee of the holding group to carry out centralized learning and exchange of ideas, with members of each party branch participating in an "online + offline" mode.

At the party members' meeting, members studied the Implementation Measures for Disposal of Unqualified Party Members in Jiangsu Province, the Ten Prohibitions on Democratic Life Meetings and Organizational Life Meetings and the Role Model 6 through criticism and self-criticism. They have also launched the Learning to be Strong self-examination, effectively helping party members to complete self-examination, strengthen their beliefs and enhance the cohesion and combat power of the organization.



### 案例：弘業期貨各黨支部召開支部黨員大會

弘業期貨第三、第二、第五黨支部根據控股集團黨委《關於召開2021年度基層黨組織組織生活會和開展民主評議黨員通知》的部署要求，陸續召開2021年度組織生活會和民主評議黨員大會，開展集中學習和研討交流，各黨支部黨員以「線上+線下」形式參加。

在黨員大會上，黨員通過批評和自我批評，學習《江蘇省處置不合格黨員實施辦法》《關於民主生活會、組織生活會「十不准」規定》和《榜樣6》等內容，開展「學習強國」自查等內容，有效幫助黨員完成自我檢視，堅定黨員信念，提升組織的凝聚力 and 戰鬥力。

## 2. Insisting on paying tax according to law

It is the social responsibility of every citizen and enterprise to pay taxes in accordance with the law. Holly Futures always adheres to the concept of paying tax lawfully and honestly, constantly strengthening tax management, promoting tax knowledge and actively fulfilling tax responsibilities. We filed and paid all taxes in a timely manner in accordance with the law and implemented the important plans of the regulatory authorities to mitigate risks in the futures market, promoting the stable development of the futures market.

During the Reporting Period, Holly Futures contributed RMB522,900 to the Futures Investor Protection Fund in accordance with the requirements of the CSRC, representing an increase of 41.40% as compared to 2021. It also paid taxes in a total of RMB66.3815 million.

## 2. 堅持依法納稅

依法納稅是每個公民和企業應盡的社會職責與義務，弘業期貨始終秉持依法納稅、誠信納稅的理念，不斷加強稅務管理，宣傳稅收知識，積極履行納稅責任。我們依法依規及時申報繳納各項稅款，落實監管部門化解期貨市場風險的重要部署，促進期貨市場穩定發展。

報告期內，弘業期貨按中國證監會規定繳納證券投資者保障基金52.29萬元，較2021年增長41.40%。共繳納各項稅金6638.15萬元。

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

### 3. Helping the real economy

The Company actively integrates into the national strategy and adheres to the original intention and purpose of serving the real economy by enhancing its comprehensive service capability and innovation capacity and dedicating to bringing futures blood into the “capillaries” of the real economy. With “serving the real economy, preventing and controlling financial risks, deepening financial reform” as the fundamental starting point, the Company has further improved the options market cultivation work to improve the operation of the options market and better serve the real economy. Based on our traditional futures brokerage business, we have developed a full range of asset management, wealth management and risk management businesses, and utilized our existing business qualifications and resources to integrate our brokerage, research and development, options, asset management and risk management businesses to create a full range of solutions for real enterprises to avoid risks and create profits.

**Case: Holly Futures participates in the “Seminar on Serving the Real Economy of the Futures Market” and presents its views at the Industry Services Alliance Member Meeting (Closed Meeting)**

Zhao Dong, deputy general manager of Holly Futures, was invited to participate in the “Seminar on Serving the Real Economy of the Futures Market” Industry Services Alliance Member Meeting (Closed Meeting) and present his views about the services provided by futures companies in serving the real economy, and the framework structure of corporate alliance for futures market service. He mentioned that, the Chinese futures market has grown from a small industry to a trillion dollar market over the past three decades since its inception. We need to adapt to the times and remember our original intention. Serving the real economy is the original intention and the foundation of the futures market. We can achieve our goal only by remembering our original intention and fulfilling our responsibilities.

### 3. 助力實體經濟

公司積極融入國家戰略，堅持服務實體經濟的初心和宗旨，提升綜合服務能力和創新能力，致力於將期貨血液輸入實體經濟運行的「毛細血管」，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，進一步做好期權市場培育工作，提高期權市場運行水平，更好地服務實體經濟。我們以傳統期貨經紀業務為基礎，全方位發展資產管理、財富管理、風險管理等業務，並利用現有業務資格和資源，集經紀業務、研發、期權、資管、風險管理等業務於一體，為實體企業打造全流程解決方案，切實規避風險，創造利潤。

**案例：弘業期貨參加「期貨服務實體經濟座談會」閉門會暨產業服務聯盟會員大會並發表觀點**

弘業期貨副總經理趙東受邀參加期貨日報組織開展的「期貨服務實體經濟座談會」閉門會暨產業服務聯盟會員大會，就「各家公司期貨服務實體經濟的情況、企業對期貨市場服務聯盟的框架結構」發表觀點。他表示，中國期貨市場從起步到現在走過了三十年，市場也從一個小微行業發展到目前萬億規模。我們需要順應時代，更需要牢記初心。為實體經濟服務是期貨市場的初心和立足之本。只有牢記初心，履行職責，才能方得始終。



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

### Case: Holly Futures visits the Zhengzhou Commodity Exchange and the Shanghai Futures Exchange

Holly Futures visited the Shanghai Futures Exchange (SFE) and the Zhengzhou Commodity Exchange (ZCE) on 15 August and 2 September, respectively. The SFE is committed to serving national strategies and the real economy, with increasing global influence while the ZCE is the “gold standard” of the capital market in Henan Province. Through the visits to the two exchanges, Holly Futures has gained a deeper understanding of the development of the real economy. Under the proper guidance of the exchanges, we will continue to leverage our platform advantages as a listed company to strengthen our industry research and cultivate our industry clients while making full use of the various policies of the exchanges to serve the national strategy, thereby continuously improving our ability and level of serving the real economy and wealth management.

### 案例：弘業期貨拜訪鄭州商品交易所和上海期貨交易所

弘業期貨在8月15日和9月2日分別拜訪了上海期貨交易所(上期所)和鄭州商品交易所(鄭商所)，上期所堅持服務國家戰略和實體經濟，日益增強全球影響力。鄭商所是河南省資本市場的「金字招牌」。通過拜訪兩家交易所，弘業期貨對實體經濟的發展有了更深刻的瞭解，我們將繼續在交易所的正確引領下，用好上市公司平台優勢，繼續加強產業研究，深耕產業客戶，用足交易所各項政策，服務好國家戰略，不斷提升服務實體經濟和財富管理的能力和水平。



Visit to the ZCE  
拜訪鄭州商品交易所活動



Visit to the SFE  
拜訪上海期貨交易所活動



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

### 4. Cultivating futures talents

Futures market talent is the Company's reserve for future growth. Following the mission of "popularizing futures knowledge, enhancing financial literacy, cultivating a risk-averse culture, optimizing the development environment and nurturing reserve talents", we have actively built a new platform for investment education based in universities and radiating to the community. We have also thoroughly carried out the important deployment of "implementing the strategy of revitalizing the country through science and education and strengthening the support of talents for the construction of modernization" mentioned in the report of the 20th Party Congress to nurture reserve talents for the financial industry and continue to transfer high quality professionals to the financial market.

The Company cooperated with the Business School of Hohai University to set up an "investor education" base, the general keynote of which is to promote investor education into the national education system. With the guiding principle of university-enterprise cooperation and win-win situation, and the specific task of enhancing the financial literacy of university students, the base actively explores new areas and modes of strategic cooperation between financial institutions and higher education institutions, and strives to build a "co-construction, co-management and co-sharing platform integrating enterprise practice, academic research and professional teacher guidance" to achieve a win-win situation for investor education and talent cultivation.

### (III) Feedback to the society

Holly Futures has been upholding the philosophy of development of the enterprise and society together and has been thoroughly implementing the spirit of the 20th Party Congress, using innovative financial tools to serve the real economy. By consolidating the achievements of poverty alleviation, organizing blood donation and participating in community voluntary services, we promote social harmony while fostering our own development.

### 4. 培育期貨人才

期貨市場人才是公司未來發展的儲備力量，我們遵循「普及期貨知識，提升金融素養，培育避險文化，優化發展環境，培養後備人才」的宗旨，積極打造立足高校，輻射社會的投教新平台，深入貫徹黨的二十大報告中「實施科教興國戰略，強化現代化建設人才支撐」的重要部署，做好金融行業後備人才的培養，持續向金融市場輸送高質量專業人才。

公司與河海大學商學院合作設立「投資者教育」基地，基地以推動投資者教育納入國民教育體系為總基調，以校企合作、共建共贏為指導方針，以提升大學生金融素養為具體任務，積極探索金融機構與高等院校戰略合作的新領域、新模式，力爭打造「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」，實現投資者教育和人才培養的雙贏。

### (三) 感恩回饋社會

弘業期貨一直秉持「企業與社會共同發展」的理念，深入貫徹黨的二十大精神，利用金融創新工具服務實體經濟。通過鞏固扶貧成果、組織公益獻血、參與社區志願服務等行動，在促進自身發展的同時推動社會和諧發展。



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

### 1. Helping rural revitalization

Holly Futures has been actively implementing the spirit of the Document No. 1 of the Central Government by actively responding to the national call and the call of the industry, giving full play to its professional advantages, using “Insurance + Futures” as an important grasp of precise poverty alleviation to pooling the efforts of the entire division and do a good job of precise poverty alleviation, helping to win the battle against poverty. In this way, a long-term mechanism for stable poverty alleviation can be established in poor areas to build up the concept of risk management for farmers and inject a source of liquidity for village revitalization, thereby promoting common wealth. The Company has successively received dozens of honors, including the “Innovative Pioneer Enterprise in Poverty Alleviation”, the “Best Precision Poverty Alleviation Award”, the “Excellence Award for Targeted Poverty Alleviation in China”, the “Best Futures Company in China”, “Top Ten Poverty Alleviation Enterprise”, the “China Anti-Epidemic Pioneer Futures Company Award”, the “China Excellent Poverty Alleviation Futures Company Award” and the “Best Precision Poverty Alleviation and Charity Award”.

In 2022, we organized a special meeting on village revitalization, formulated and published the “2022 Village Revitalization Work Plan of Holly Futures”, and actively implemented village revitalization projects and innovative development models. The Company innovated the first policy-based pig “Insurance + Futures” insurance, the first “Insurance + Futures + Bank + Order” pilot, “Insurance + Futures” service for apples, natural rubber and Xinjiang corn, and the Party Day on the theme of “Implementing the 20th Party Congress and Taking the Road to Village Revitalization” of branches, which solved the farmers’ difficulties in selling and financing. Its business model was also recognized by local farmers, and the natural rubber “Insurance + Futures” project was reported in Jiangnan Times newsletter.

### 1. 助力鄉村振興

弘業期貨一直積極貫徹落實中央一號文件精神，積極響應國家號召、行業號召，發揮專業優勢，以「保險+期貨」為精準扶貧的重要抓手，集全司之力，著力做好精準扶貧工作，助力打贏脫貧攻堅戰，並以此在貧困地區建立起穩定脫貧的長效機制，為農民樹立起風險管理的理念，為鄉村振興注入源頭活水，推進共同富裕。公司先後獲得「創新扶貧先鋒企業」「最佳精準扶貧公益獎」「中國優秀定點扶貧獎」「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」「最佳精準扶貧及愛心公益獎」等數十項榮譽。

2022年，我們組織召開鄉村振興工作專題會議，制定並印發《弘業期貨2022年鄉村振興工作方案》，積極落實鄉村振興項目，創新發展模式。公司創新開展首單政策型生豬「保險+期貨」，首單「保險+期貨+銀行+訂單」創新試點，蘋果、天然橡膠和新疆玉米「保險+期貨」服務，「貫徹黨的二十大，共走鄉村振興路」支部共建主題黨日等項目，解決了農戶銷售難和融資難的問題，業務模式也得到了當地農戶的認可，天然橡膠「保險+期貨」項目獲得了江南時報通訊新聞報道。

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

During the Reporting Period, our achievements in village revitalization include:

- carried out 143 projects covering 14 provinces across the country
- underwritten agricultural products to a value of over RMB1.2 billion
- donated RMB1 million to the charity fund for the launch of the “Order + Futures” project for Xinjiang cotton
- covered 10 agricultural products including soybeans, corn, cotton, feed, hogs, chicken eggs, rubber, peanuts, apples and pig farming
- achieved compensation rate of over 200% for some projects with a compensation amount of over RMB30 million
- 8 twinning agreements signed between branches and grassroots party organizations for village revitalization

報告期內，我們的鄉村振興項目成果為：

- 開展項目數量143個，覆蓋全國14個省
- 承保農產品貨值規模超12億元
- 捐款100萬給公益基金用於開展新疆棉花「訂單+期貨」項目
- 涉及大豆、玉米、棉花、飼料、生豬、雞蛋、橡膠、花生、蘋果、生豬養殖收益10種農產品
- 部分賠付率超過200%，賠付超過3,000萬元
- 各支部與鄉村振興的基層黨組織簽訂結對協議8份

### Case: Participating in the first batch of policy-based pig “Insurance + Futures” price insurance in Jiangsu Province

Holly Futures cooperated with the Jiangsu Branch of China United Property Insurance Co., Ltd. and the Jiangsu Branch of PICC Property Insurance Company Limited to launch the first batch of local financial subsidized pig “Insurance + Futures” price insurance pilot projects in Huaian and Xuzhou of Jiangsu Province, further improving the pig price risk management tool system in Jiangsu Province and assisting local small and medium-sized pig breeding entities to open up new ways to effectively deal with the “pig cycle”.

Holly Futures has facilitated the implementation of the policy-based pig “Insurance + Futures” project in Jiangsu Province, the results of our “Insurance + Futures” project are:

- placed 62 orders throughout the year
- underwritten nearly RMB400 million
- highest compensation rate of 248%
- average compensation rate of over 102%

### 案例：參與江蘇省首批政策型生豬「保險+期貨」價格險

弘業期貨與中華聯合財產保險股份有限公司江蘇分公司、中國人民財產保險股份有限公司江蘇分公司通力合作，分別在淮安市、徐州市開展了江蘇省首批地方財政補貼型生豬「保險+期貨」價格險試點項目，為江蘇省生豬價格風險管理工具體系的進一步完善助力，協助了省內生豬中小養殖主體開闢有效應對「豬週期」的新途徑。

弘業期貨全程推動江蘇省政策性生豬「保險+期貨」項目落地，我們的「保險+期貨」項目績效為：

- 全年出單62單
- 承保規模近4億元
- 最高賠付率248%
- 平均賠付率超102%



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

**Case: Holly Futures organizes training session on serving village revitalization with apple “Insurance + Futures” in Huanglong, Shaanxi**

On 27 July 2022, Holly Futures, in collaboration with Huanglong County Fruit Industry Center and the Huanglong Branch of PICC, held an online training session on “Insurance + Futures” for apply growers in Huanglong County. Farmers and family farm representatives of Sancha Town, Jietoumiao Town, and Yanxiang Township, Huanglong County and other relevant workforce of more than 100 people participated in the meeting through the live broadcast platform.

The conference introduced the apple “Insurance + Futures” price insurance pilot, analyzed the current trend of apple market price movement and introduced the basic model of “Insurance + Futures” to help fruit farmers carry out risk management. We aim to develop an exemplary market price risk management model for the local apple farming industry.

**案例：弘業期貨在陝西黃龍舉辦蘋果「保險+期貨」服務「鄉村振興」培訓會**

2022年7月27日，弘業期貨聯合黃龍縣果業中心及人保財險黃龍支公司共同舉辦面向黃龍縣蘋果種植戶的「保險+期貨」服務「三農」網絡培訓會。黃龍縣三岔鎮、界頭廟鎮、腰嶮鄉的果農及家庭農場代表、鄉鎮相關工作人員等100餘人通過直播平台參會。

會議介紹了蘋果「保險+期貨」價格險試點情況，分析了當前蘋果市場價格運行趨勢，介紹了「保險+期貨」幫助果農進行風險管理的基本模式等內容。力爭為當地蘋果種植業探索出具有示範效應的市場價格風險管理模式。



## 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

Holly Futures is passionate about public welfare, actively carrying out various public welfare activities such as “Blood Donation”, “Sending Coolness in Summer” and “Charity Day Donation”, promoting social development with practical actions and demonstrating the great love and responsibility of state-owned enterprises.

During the Reporting Period, we fulfilled our responsibilities and missions as a state-owned enterprise by donating blood without compensation, providing summer refreshment to outdoor workers, caring for the elderly living alone, working as a nucleic acid testing worker, delivering group purchases and couriers to residents in local communities, dispensing medication to the elderly and helping them with group purchases. We donated a total of RMB1,038,000 to charity, including approximately RMB38,000 raised by the Group's staff through the “Charity Day Donation” activity; in order to help the development of the cotton industry in Xinjiang, the Company also donated RMB1 million for the development of the “Order + Futures” project for Xinjiang cotton.

### 2. 投身公益慈善

弘業期貨熱心公益事業，積極開展「無償獻血」、「夏日送清涼」、「慈善一日捐」等各項公益活動，用實際行動促進社會發展，展現國有大愛情懷和責任擔當。

報告期內，我們通過無償獻血、為戶外工作者夏日送清涼、關愛獨居老人、擔任核酸檢測工作人員、為小區居民配送團購物資和快遞、為老人配藥、幫助老人團購等行動切實履行國有企業責任和使命。我們向慈善事業共捐款103.8萬元，其中集團員工開展「慈善一日捐」活動，籌集善款約人民幣3.8萬元；為助力新疆棉花產業發展，公司捐款100萬元用於開展新疆棉花「訂單+期貨」項目。

#### Case: Tossing up our sleeves and “fuel up” for life – Holly Futures actively participants in blood donation without compensation

In order to promote the Red Cross spirit of “humanity, love and dedication”, the Party Committee of Holly Futures actively responded to the call and organized more than 30 staff members from the headquarters to participate in blood donation without compensation. Such event not only helped more patients in need of blood to fight against the epidemic, but also embodied the spirit of selflessness, willingness and courage of the people of Holly Futures and demonstrated the good image of Holly Futures’ commitment to social responsibility.

#### 案例：撻起袖子，為生命「加油」——弘業期貨積極開展無償獻血活動

為弘揚「人道、博愛、奉獻」的紅十字精神，弘業期貨黨委積極響應號召，組織總部30餘名員工參加無償獻血，此次無償獻血活動，不僅能幫助更多臨床上需要用血救治的患者，助力抗疫，更體現了弘業期貨人無私奉獻、甘於奉獻、勇於奉獻的精神，彰顯了弘業期貨勇於承擔社會責任的良好形象。





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

Case: “Cooler for the hot summer” – Holly Futures launches summer cooler charity campaign

In order to provide a “working man's harbor” for outdoor workers in the scorching heat, Holly Futures has set up a “Holly Futures’ Love Station” on the east side of the ground floor lobby of the building to guide takeaway workers, couriers and nearby sanitation workers into the ground floor lobby to take a break. We have also prepared fans, mineral water, Wanglaoji, wind oil essence and Huoxiang Zhengqi Shui to beat the heat. This was well received by Nanjing TV and outdoor workers, and was interviewed by Channel 18 of Nanjing TV and recorded for broadcast on TV and related public websites.

案例：「炎炎酷暑涼策護航」——弘業期貨開展夏日送清涼公益活動

為給烈日酷暑中的戶外工作者提供「勞動者港灣」，弘業期貨在大廈一樓大廳東側特別設置「弘色愛心驛站」，引導來往的外賣員、快遞員以及附近的環衛工人等進入一樓大廳休息，並準備扇子、礦泉水、王老吉、風油精、藿香正氣水等消暑物品。此舉受到南京電視台和戶外工作者的一致好評，南京電視台十八頻道對此進行採訪，並錄製成電視節目在電視及相關公眾號上播放。





# APPENDIX

## 報告附錄

### (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》

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	Securities Law of the People's Republic of China 《中華人民共和國證券法》
		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》		

# APPENDIX

## 報告附錄

Category 分類	Laws and Regulations 法律與規例名稱
	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》
	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》
	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》
	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》
	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》
	Regulations on the Management of Intermediaries of Futures Companies 《期貨公司居間人管理辦法》
	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》
	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》
	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》
	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》
Laws and regulations related to anti-corruption and corporate governance 反貪腐及企業管治類	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》
	Anti-Money Laundering Law of the People's Republic of China 《中華人民共和國反洗錢法》
	Anti-Monopoly Law of the People's Republic of China 《中華人民共和國反壟斷法》
	Company Law of the People's Republic of China 《中華人民共和國公司法》
	Securities Law of the People's Republic of China 《中華人民共和國證券法》
	Provisions on Anti-money Laundering through Financial Institutions 《金融機構反洗錢規定》
	Measures for Supervision and Management of Futures Companies 《期貨公司監督管理辦法》

Category 分類	Laws and Regulations 法律與規例名稱
	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》
	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》

# APPENDIX 報告附錄

## (II) KPI Table

## (二) 關鍵績效表

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
<b>Environmental performance</b> 環境績效			
<b>Emissions</b> 排放物			
<b>Exhaust</b> 廢氣			
Nitrogen oxides emissions 氮氧化物排放量	kg 千克	11.52	12.45
Per capita emissions of nitrogen oxides 氮氧化物人均排放量	kg/person 千克/人	0.04	0.04
Sulfur oxides emissions 硫氧化物排放量	kg 千克	0.272	0.294
Per capita emissions of sulfur oxides 硫氧化物人均排放量	kg/person 千克/人	0.001	0.001
<b>Greenhouse gas</b> 溫室氣體			
Direct greenhouse gas emissions (Scope 1) 直接溫室氣體排放量(範圍一)	CO <sub>2</sub> e tons 噸二氧化碳當量	36.3	43.63
Indirect greenhouse gas emissions (Scope 2) 間接溫室氣體排放量(範圍二)	CO <sub>2</sub> e tons 噸二氧化碳當量	551.2	695.43
Total greenhouse gas emissions 溫室氣體排放總量	CO <sub>2</sub> e tons 噸二氧化碳當量	587.5	739.06
per capita emissions of greenhouse gases 溫室氣體人均排放量	CO <sub>2</sub> e tons/person 噸二氧化碳當量/人	2.01	2.21
<b>Non-hazardous waste</b> 無害廢棄物			
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	—	—
<b>Hazardous waste</b> 有害廢棄物			
Total amount of ink cartridge 墨盒總量	piece 支	0	0
Per capita amount of ink cartridge 墨盒人均量	piece/person 支/人	0	0

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
Total amount of toner cartridge 硒鼓總量	item 個	166	150
Per capita amount of toner cartridge 硒鼓人均量	item/person 個/人	0.57	0.45
Lamp 燈管	piece 支	178	183
Per capita amount of lamp 燈管人均量	piece/person 支/人	0.61	0.55
<b>Use of resources 資源使用</b>			
Consumption of purchased electricity 外購電力消耗量	kWh 千瓦時	966,531	988,531
Per capita electricity consumption 人均耗電量	kWh/person 千瓦時/人	3,310	2,951
Consumption of gasoline 汽油消耗量	kl 千升	18.5	20
Total amount of gasoline per capita 人均汽油總用量	kl/person 千升/人	0.06	0.06
Direct energy consumption 直接能源消耗	ton standard coal 噸標準煤	20.36	22.36
Indirect energy consumption 間接能源消耗	ton standard coal 噸標準煤	118.39	121.49
Total energy consumption 能源消耗總量	ton standard coal 噸標準煤	136.65	143.85
Energy consumption intensity 能耗強度	ton standard coal/person 噸標準煤/人	0.47	0.43
Water consumption in the office 辦公室耗水量	ton 噸	14,890	15,824
Per capita water consumption in the office 人均辦公室耗水量	ton/person 噸/人	50.99	47.24
<b>Social performance 社會績效</b>			
<b>Employment 僱傭</b>			
Total number of employees 員工總數	person 人	661	659
Number of new staff recruited in the year 年度新招聘員工數	person 人	59	83
<b>Employee – by employment type 員工 – 按用工形式劃分</b>			



# APPENDIX

## 報告附錄

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
Contract employees 合同制員工	person 人	661	659
Others 其他	person 人	0	0
<b>Employee – by gender 員工 – 按性別劃分</b>			
Number of males 男性員工人數	person 人	357	354
Number of females 女性員工人數	person 人	304	305
<b>Employee – by age 員工 – 按年齡劃分</b>			
Below 30 years old 30歲以下員工人數	person 人	168	193
31 years old – 40 years old 31-40歲員工人數	person 人	360	354
41 years old – 50 years old 41-50歲員工人數	person 人	102	90
51 years old – 60 years old 51-60歲員工人數	person 人	29	22
Above 60 years old 60歲以上員工人數	person 人	2	0
<b>Employee – by rank 員工 – 按職能劃分</b>			
Senior Management 高級管理人員	person 人	9	9
Middle Management 中層管理人員	person 人	111	112
General and technical staff 一般及技術員工	person 人	541	538
<b>Employee – by region 員工 – 按地區劃分</b>			
Number of staff within Jiangsu 江蘇省內員工人數	person 人	467	476
Other regions of the Mainland China excluding the Jiangsu 中國大陸除江蘇省外其他地區	person 人	172	158
Overseas (including areas outside the Mainland China) 境外(包括中國大陸境外地區)	person 人	22	25

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
<b>Overall staff turnover rate</b> 員工整體流失率			
Staff turnover rate 員工流失率	%	8.17%	12.59%
<b>Staff turnover rate – by gender</b> 員工流失率 – 按性別劃分			
Percentage of male staff turnover 男性員工流失比例	%	8.68%	14.41%
Percentage of female staff turnover 女性員工流失比例	%	7.57%	10.49%
<b>Staff turnover rate – by age</b> 員工流失率 – 按年齡劃分			
Staff turnover rate of staff under 30 years old 30歲以下員工流失比例	%	16.07%	17.10%
Staff turnover rate of staff aged 31 years old – 40 years old 31-40歲員工流失比例	%	5.28%	10.45%
Staff turnover rate of staff aged 41 years old – 50 years old 41-50歲員工流失比例	%	5.88%	12.22%
Staff turnover rate of staff aged 51 years old – 60 years old 51-60歲員工流失比例	%	6.90%	9.09%
Staff turnover rate of staff aged over 60 years old 60歲以上員工流失比例	%	0.00%	0.00%
<b>Staff turnover rate – by region</b> 員工流失率 – 按地區劃分			
Staff turnover rate within Jiangsu 江蘇省內員工流失比例	%	5.14%	10.71%
Staff turnover rate in other regions of the Mainland China excluding the Jiangsu 中國大陸除江蘇省外其他地區員工流失比例	%	12.21%	18.35%
Staff turnover rate in overseas (including areas outside the Mainland China) 境外(包括中國大陸境外地區)員工流失比例	%	40.91%	12.00%
<b>Health and safety</b> 健康與安全			
Number of death due to work injury 因工亡故人數	person 人	0	0
Proportion of death due to work injury 因工亡故比例	%	0	0
Number of work injury 因公受傷人數	person 人	0	1
Proportion of work injury 因公受傷比例	%	0	0.15%

# APPENDIX

## 報告附錄

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
<b>Development and training</b>			
<b>發展及培訓</b>			
<b>Total training performance</b>			
<b>培訓總績效</b>			
Total training participant(s) 培訓總人數	person 人	661	659
Total training hour(s) 培訓總學時	hour 小時	76,807	28,842
Total training input 培訓總投入	RMB 元	123,805.77	—
<b>Training performance – by gender</b>			
<b>培訓績效 – 按性別劃分</b>			
Number of male employees trained 男性員工受訓人數	person 人	357	354
Number of female employees trained 女性員工受訓人數	person 人	304	305
Average hours of training for male staff 男性員工平均受訓小時數	hour 小時	116	43.18
Average hours of training for female staff 女性員工平均受訓小時數	hour 小時	116	44.44
<b>Training performance – by rank</b>			
<b>培訓績效 – 按職級劃分</b>			
Number of senior managements trained 高級管理人員受訓人數	person 人	9	9
Number of middle managements trained 中層管理人員受訓人數	person 人	111	112
Number of general and technical staff trained 一般及技術員工受訓人數	person 人	541	538
Number of training sessions for senior management 高級管理人員受訓人次數	person/time 人次	194	153
Number of training sessions for middle management 中層管理人員受訓人次數	person/time 人次	2,143	1,000
Number of training sessions for general and technical staff 一般及技術員工受訓人次數	person/time 人次	10,448	3,400
Average hours of training for senior management 高級管理人員平均受訓小時數	hour 小時	151	117.78
Average hours of training for middle management 中層管理人員平均受訓小時數	hour 小時	116	35.71
Average hours of training for general and technical staff 一般及技術員工平均受訓小時數	hour 小時	116	44.20

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
<b>Supply chain management</b>			
<b>供應鏈管理</b>			
Total number of suppliers 供應商總數	unit 家	70	81
Of which: Yangtze River Delta 其中：長江三角洲地區	unit 家	56	63
Of which: Pearl River Delta 其中：珠江三角洲地區	unit 家	3	5
Of which: Pan Bohai Rim 其中：環渤海地區	unit 家	1	3
Of which: Central 其中：中部地區	unit 家	5	5
Of which: Northeast 其中：東北地區	unit 家	5	5
Of which: West 其中：西部地區	unit 家	0	0
Of which: Others 其中：其他地區	unit 家	0	0
<b>Product responsibility</b>			
<b>產品責任</b>			
<b>Customer services</b>			
<b>客戶服務</b>			
Number of complaints on business operations 營業業務投訴宗數	case 宗	11	11
Complaint handling rate 投訴處理率	% %	100%	100%
<b>Protection of intellectual property rights</b>			
<b>知識產權保護</b>			
Number of cases of IPR infringement or infringed IPR 侵犯知識產權或被侵犯知識產權案件數	case 件	0	0
<b>Community investment</b>			
<b>社區投資</b>			
Total amount of public benefit expenditure 公益支出總金額	RMB 元	1,000,000	36,730
<b>Governance performance</b>			
<b>管治績效</b>			

# APPENDIX

## 報告附錄

Name of Indicator 指標名稱	Unit 單位	2022 2022年	2021 2021年
Number of female director(s) of the Company 公司董事女性人數	person 人	1	1
Number of female supervisor(s) of the Company 公司監事女性人數	person 人	2	2
Number of female senior management of the Company 公司高級管理人員女性人數	person 人	2	—
Percentage of female director(s) of the Company 公司董事女性人數	% %	12.5%	12.5%
Percentage of female supervisor (s) of the Company 公司監事女性人數	% %	66.7%	66.7%
Percentage of female senior management(s) of the Company 公司高級管理人員女性人數	% %	33.3%	28.6%

(III) Report Index

(三) 報告索引表

2. The Content Index of Environmental, Social and Governance Reporting Guide of HKEX

1. 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
<b>A Environmental</b>		
<b>A環境</b>		
<b>Aspect A1: Emissions</b>		
<b>層面A1：排放物</b>		
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 (I) Improving environmental management 三(一)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 (I) Improving environmental management 三(一)完善環境管理
A1.2	Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions in total (in tons) 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 (III) Addressing climate change 三(三)應對氣候變化
A1.3	Total hazardous waste produced (in tons) 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 (I) Improving environmental management 三(一)完善環境管理
A1.4	Total non-hazardous waste produced (in tons) 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 (I) Improving environmental management 三(一)完善環境管理
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 (I) Improving environmental management III (III) Addressing climate change 三(一)完善環境管理 三(三)應對氣候變化



# APPENDIX

## 報告附錄

Aspects 層面	Description 描述	Section 所在章節
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 (II) Pursuing environmental protection practices 三(二)踐行綠色環保
<b>Aspect A2: Use of Resources</b>		
<b>層面A2：資源使用</b>		
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 (I) Improving environmental management 三(一)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 (I) Improving environmental management 三(一)完善環境管理
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 (I) Improving environmental management 三(一)完善環境管理
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 (I) Improving environmental management 三(一)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。	III (I) Improving environmental management 三(一)完善環境管理
A2.5	Total packaging material used for finished products (in tons) 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。	III (I) Improving environmental management 三(一)完善環境管理

Aspects 層面	Description 描述	Section 所在章節
<b>Aspect A3: Environment and Natural Resources</b>		
<b>層面A3：環境及天然資源</b>		
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 (I) Improving environmental management 三(一)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 (II) Pursuing environmental protection practices 三(二)踐行綠色環保
<b>Aspect A4: Climate Change</b>		
<b>層面A4：氣候變化</b>		
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 (III) Addressing climate change 三(三)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 (III) Addressing climate change 三(三)應對氣候變化
<b>B Social</b>		
<b>B社會</b>		
<b>Aspect B1: Employment</b>		
<b>層面B1：僱傭</b>		
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、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的政策；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) Diverse and equal employment V (II) Protection of employees rights and interests 五(一)多元化與平等僱傭 五(二)保障員工權益

# 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) Diverse and equal employment 五(一)多元化與平等僱傭
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 (II) Protection of employees' rights and interests 五(二)保障員工權益
<b>Aspect B2: Health and Safety</b>		
<b>層面B2：健康與安全</b>		
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 (IV) Occupational healthy and safety      五(四)職業健康安全
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 (IV) Occupational healthy and safety 五(四)職業健康安全
B2.2	Lost days due to work injury.  因工傷損失工作日數。	V (IV) Occupational healthy and safety 五(四)職業健康安全
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 (IV) Occupational healthy and safety 五(四)職業健康安全
<b>Aspect B3: Development and Training</b>		
<b>層面B3：發展及培訓</b>		
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 (III) Empowerment of employees' development 五(三)賦能員工發展
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 (III) Empowerment of employees' development 五(三)賦能員工發展

Aspects 層面	Description 描述	Section 所在章節
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 (III) Empowerment of employees' development 五(三)賦能員工發展
<b>Aspect B4: Labour Standards</b>		
<b>層面B4：勞工準則</b>		
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 employees' rights and interests 五(二)保障員工權益
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 employees' rights and interests 五(二)保障員工權益
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 employees' rights and interests 五(二)保障員工權益
<b>Aspect B5: Supply Chain Management</b>		
<b>層面B5：供應鏈管理</b>		
General Disclosure 一般披露	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	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. 描述有關識別供應鏈每個環節的環境及社會風險的慣例，以及相關執行及監察方法。	VI (I) Develop together with partners 六(一)協同夥伴發展

# APPENDIX

## 報告附錄

Aspects 層面	Description 描述	Section 所在章節
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
<b>Aspect B6: Product Responsibility</b>		
<b>層面B6：產品責任</b>		
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 clients' interests 四(一)維護客戶利益
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 clients' interests 四(一)維護客戶利益
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 clients' interests 四(一)維護客戶利益

Aspects 層面	Description 描述	Section 所在章節
<b>Aspect B7: Anti-corruption</b>		
<b>層面B7：反貪污</b>		
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)反貪腐、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 (III) Anti-corruption and anti-money laundering 二(三)反貪腐、反洗錢
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)反貪腐、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)反貪腐、反洗錢
<b>Aspect B8: Community Investment</b>		
<b>層面B8：社區投資</b>		
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



# APPENDIX

## 報告附錄

### 2. Index for the Self-regulatory Guideline No. 1 for Companies Listed on the Shenzhen Stock Exchange – the Standardized Operation of Main Board Listed Company (Chapter 8 Social Responsibility)

### 2. 《深圳證券交易所上市公司自律監管指引第1號—主板上市公司規範運作》(第八章社會責任)內容索引

No. 編號	Main content 主要內容	Reference chapter 所在章節
8.1	Pursuing economic benefits and protecting the interests of shareholders; protecting the legitimate rights and interests of creditors and employees; engaging in public welfare 追求經濟效益、保護股東利益；保護債權人和職工合法權益；從事公益事業。	II (I) Sound governance structure V (II) Protection of employees' rights and interests VI (II) Contribution of the Holly power 二(一)完善治理結構 五(二)保障員工權益 六(二)貢獻弘業力量
8.2	Abiding by social ethics and business ethics; not seeking illegitimate interests through illegal activities  遵守社會公德、商業道德；不牟取不正當利益、不從事不當競爭	II (II) Optimization of compliance risk control II (III) Anti-corruption and Anti-money laundering IV (I) Protection of clients' interests 二(二)優化合規風控 二(三)反貪腐、反洗錢 四(一)維護客戶利益
8.3	Social responsibility management and strategic planning 社會責任管理及戰略規劃	I ESG MANAGEMENT 一ESG管理
8.4	Social responsibility report disclosure timeline 社會責任報告披露時間節點	Basis of Preparation 編製依據
8.5	Establishing an employee director and employee supervisor selection system; supporting labor union's work in accordance with the law; listening to worker's voices, valuing their proper needs. 建立職工董事、職工監事選任制度；支持工會依法開展工作；聽取職工的意見，關心和重視職工的合理需求。	V (II) Protection of employees' rights and interests  五(二)保障員工權益
8.6	Complying with environmental laws, regulations and industry standards 遵守環境保護法律法規與行業標準 Formulating and implementing its environmental plan 制訂執行公司環境保護計劃 Efficiently use natural resources such as energy, water and raw materials 高效使用能源、水資源、原材料等自然資源 Dispose of pollutants in accordance with law 合規處置污染物	III (I) Improving environmental management  三(一)完善環境管理 III (I) Improving environmental management 三(一)完善環境管理 III (I) Improving environmental management  三(一)完善環境管理 III (I) Improving environmental management III (II) Pursuing green environmental protection 三(一)完善環境管理 三(二)踐行綠色環保

No. 編號	Main content 主要內容	Reference chapter 所在章節
8.7	Building and operating effective pollution control facilities 建設運行有效的污染防治設施	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Fully paying environmental taxes 足額繳納環境保護相關稅費	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Ensuring the environmental security of the supply chain 保障供應鏈環境安全	VI (I) Develop together with partners 六(一)協同夥伴發展
	Its environmental policy, annual environmental objectives and results 公司環境保護方針、年度環境保護目標及成效	III (I) Improving environmental management III (III) Addressing climate change 三(一)完善環境管理 三(三)應對氣候變化
	Total annual resource consumption 公司年度資源消耗總量	III (I) Improving environmental management 三(一)完善環境管理
	Environmental investment and environmental technology development 公司環保投資和環境技術開發情況	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Type, quantity, concentration and destination of pollutants discharged by the company 公司排放污染物種類、數量、濃度和去向	III (I) Improving environmental management 三(一)完善環境管理
	Construction and operation of environmental facilities of the company 公司環保設施的建設和運行情況	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	The treatment and disposal of waste generated in the production process, and the recycling and comprehensive utilization of waste products 公司在生產過程中產生的廢物的處理、處置情況，廢棄產品的回收、綜合利用情況	III (I) Improving environmental management III (II) Pursuing green environmental protection 三(一)完善環境管理 三(二)踐行綠色環保
	Voluntary agreement signed with the environmental authorities to improve environmental behavior 與環保部門簽訂的改善環境行為的自願協議	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Awarded by the environmental authorities 公司受到環保部門獎勵的情況	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用

# APPENDIX

## 報告附錄

No. 編號	Main content 主要內容	Reference chapter 所在章節
8.8	Regularly assigning staff to inspect how the environmental policies are implemented and correct and remedy those substandard acts 定期指派專人檢查環保政策的實施情況，對不符合公司環境保護政策的行為應當予以糾正，並採取相應補救措施	III (I) Improving environmental management 三(一)完善環境管理
8.9	Any listed company or its subsidiary of significance that is regarded as a key pollutant discharge unit announced by the environmental authorities shall disclose the relevant environmental information in its annual report in line with the provisions of laws, regulations and the Shenzhen Stock Exchange 屬於環境保護部門公佈的重點排污單位的上市公司或者其重要子公司，應當根據法律法規和本所相關規定在年度報告中披露相關環境信息	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
8.10	Complying with product safety laws and regulations and industry standards 遵守產品安全法律法規與行業標準 Establishing a safe and reliable production environment and process 建立安全可靠的生產環境和生產流程 Establishing product quality and safety protection mechanism and product safety emergency plan 建立產品質量安全保障機制與產品安全事故應急方案	IV (I) Protection of clients' interests 四(一)維護客戶利益 The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用 IV (II) Enhancing high quality services 四(二)提供高質量服務
8.11	Establishing management system on employee employment and dismissal, salary and benefits, social insurance, working hours and punishment on violations 建立員工聘用解僱、薪酬福利、社會保險、工作時間等管理制度及違規處理措施 Creating a working environment and supporting safety measures to prevent occupational hazards 建立防範職業性危害的工作環境與配套安全措施 Carrying out necessary expertise and vocational skills training on employees 開展必要的員工知識和職業技能培訓	V (I) Diverse and equal employment V (II) Protection of employees' rights and interests 五(一)多元化與平等僱傭 五(二)保障員工權益 V (IV) Occupational health and safety 五(四)職業健康安全 V (III) Empowerment of employees' development 五(三)賦能員工發展
8.12	Strict adhering to scientific and ethical norms 嚴格遵守科學倫理規範	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
8.13	Development and implementation of social responsibility systems in relation to worker protection, environmental pollution, product quality and community relations 關於職工保護、環境污染、商品質量、社區關係等方面的社會責任制度的建設和執行情況	Chapters 3, 4, 5 and 6 of this report 本報告第三、四、五、六章節

### 3. GRI Content Index

Statement of use	Holly Futures Co., Ltd. has reported the GRI Standards for the period 1 January 2022 to 31 December 2022.
GRI 1 used	GRI 1: Foundation 2021
Applicable GRI industry standards	No applicable GRI industry standard/industry standard name

### 3. GRI內容索引

使用聲明	弘業期貨股份有限公司已報告了從2022年1月1日至2022年12月31日期間的情況參考GRI標準。
使用的GRI 1	GRI 1：基礎2021
適用的GRI行業標準	無適用的GRI行業標準／行業標準名稱

GRI standards GRI標準	Disclosures 披露	References 索引位置
GRI 2 General Disclosures 2021 GRI 2一般披露2021	<p>2-1 Organizational details 2-1組織詳細情況</p> <p>2-2 Entities included in the organization's sustainability reporting 2-2納入組織可持續性報告的實體</p> <p>2-3 Reporting period, frequency and contact point 2-3報告期、報告頻率和聯繫人</p> <p>2-4 Restatements of information 2-4信息重述</p> <p>2-5 External assurance 2-5外部鑒證</p> <p>2-6 Activities, value chain and other business relationships 2-6活動、價值鏈和其他業務關係</p> <p>2-7 Employees 2-7員工</p> <p>2-8 Workers who are not employees 2-8員工之外的工作者</p> <p>2-9 Governance structure and composition 2-9管治架構和構成</p> <p>2-10 Nomination and selection of the highest governance body 2-10最高治理機構的提名和遴選</p> <p>2-11 Chair of the highest governance body 2-11最高治理機構主席</p> <p>2-12 Highest governance body's supervision role in management 2-12在管理影響方面，最高管治機構的監督作用</p>	<p>ABOUT HOLLY FUTURES 關於弘業期貨</p> <p>Reporting scope and boundary 報告範圍及邊界</p> <p>Receive and respond to this report 獲取及回應本報告</p> <p>No restatement of information is required for this report 本報告無需進行信息重述</p> <p>This report has not conducted any external assurance 本報告未進行外部鑒證</p> <p>ABOUT HOLLY FUTURES 關於弘業期貨</p> <p>V (I) Diverse and equal employment 五(一)多元化與平等僱傭</p> <p>Not applicable, the Company does not involve non-employed staff 不適用，公司不涉及非僱傭員工</p> <p>II (I) Sound governance structure 二(一)完善治理架構</p> <p>II (I) Sound governance structure 二(一)完善治理架構</p> <p>II (I) Sound governance structure 二(一)完善治理架構</p> <p>I ESG MANAGEMENT 一ESG管理</p>

# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	2-13 Delegation of responsibility for managing impacts	I ESG MANAGEMENT
	2-13為管理影響的責任授權	一ESG管理
	2-14 Highest governance body's role in sustainability reporting	I ESG MANAGEMENT
	2-14最高治理機構在可持續發展報告中的作用	一ESG管理
	2-15 Conflicts of interest	II (II) Optimization of compliance risk control
	2-15利益衝突	二(二)優化合規風控
	2-16 Communication of critical concerns	I ESG MANAGEMENT
	2-16關鍵問題的溝通	一ESG管理
	2-17 Collective knowledge of the highest governance body	I ESG MANAGEMENT
	2-17最高治理機構的共同知識	一ESG管理
	2-18 Evaluation of the performance of the highest governance body	II (I) Sound governance structure
	2-18對最高管治機構的績效評估	二(一)完善治理架構
	2-19 Remuneration policies	II (I) Sound governance structure
	2-19薪酬政策	二(一)完善治理架構
	2-20 Process to determine remuneration	Not disclosed
	2-20確定薪酬的程序	未披露
	2-21 Annual total compensation ratio	Not disclosed
	2-21年度總薪酬比率	未披露
	2-22 Statement on sustainable development strategy	I ESG MANAGEMENT
	2-22關於可持續發展戰略的聲明	一ESG管理
	2-23 Policy commitments	II (III) Anti-corruption and Anti-money laundering
	2-23政策承諾	二(三)反貪腐、反洗錢
	2-24 Embedding policy commitments	IV (I) Protection of clients' interests
	2-24融合政策承諾	六(一)協同夥伴發展
	2-25 Processes to remediate negative impacts	IV (II) Enhancing high quality services
	2-25補救負面影響的程序	四(二)提供高質量服務
	2-26 Mechanisms for seeking advice and raising concerns	V (II) Protection of employees' rights and interests
	2-26尋求建議和提出關切的機制	五(二)保障員工權益
	2-27 Compliance with laws and regulations	List of main laws and regulations applicable
	2-27遵守法律法規	KPI Table 適用的主要法律法規清單 關鍵績效表



# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	2-28 Membership associations 2-28協會的成員資格	Memberships and honors and awards 會員資格與獎項榮譽
	2-29 Approach to stakeholder engagement 2-29利益相關方參與的方法	I ESG MANAGEMENT 一ESG管理
	2-30 Collective bargaining agreements 2-30集體談判協議	V (II) Protection of employees' rights and interests 五(二)保障員工權益
<b>Material Topics</b> <b>實質性議題</b>		
GRI 3 Material Topics 2021	3-1 Process to determine material topics	I (III) Materiality assessment KPI Table
GRI 3 實質性議題2021	3-1確定實質性議題的過程	一(三)重要性評估 關鍵績效表
	3-2 List of material topics 3-2實質性議題清單	
	3-3 Management of material topics 3-3實質性議題的管理	
GRI 201 Economic Presence 2016	201-1 Direct economic value generated and distributed	The Company's Annual Report 2022
GRI 201經濟績效2016	201-1直接產生和分配的經濟價值	公司2022年年度報告
	201-2 Financial implications and other risks and opportunities due to climate change 201-2氣候變化帶來的財務影響和其他風險和機遇	III (III) Addressing climate change 三(三)應對氣候變化
	201-3 Defined benefit plan obligations and other retirement plans 201-3固定福利計劃義務和其他退休計劃	V (II) Protection of employees' rights and interests 五(二)保障員工權益
	201-4 Financial assistance received from government 201-4政府給予的財政補貼	The Company's Annual Report 2022 公司2022年年度報告
GRI 202 Market Presence 2016	202-1 Ratios of standard entry level wage by gender compared to local minimum wage	V (I) Diverse and equal employment
GRI 202市場表現2016	202-1按性別劃分的標準起薪水平工資與當地最低工資的之比	五(一)多元化與平等僱傭
	202-2 Proportion of senior management hired from the local community 202-2從當地社區僱傭的高管的比例	
GRI 203 Indirect Economic Impacts 2016	203-1 Infrastructure investments and services supported	The Company's Annual Report 2022
GRI 203間接經濟影響2016	203-1基礎設施投資和支持性服務	公司2022年年度報告



# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	203-2 Significant economic impacts 203-2重大間接經濟影響	
GRI 204 Procurement Practices 2016 GRI 204採購實踐2016	204-1 Proportion of spending on local suppliers 204-1向當地供應商採購的支出比例	IV (I) Protection of clients' interests 六(一)協同夥伴發展
GRI 205 Anti-corruption 2016 GRI 205反腐敗2016	205-1 Operations assessed for risks related to corruption 205-1已經進行腐敗風險評估的運營點 205-2 Communication and training about anti-corruption policies and procedures 205-2反腐敗政策和程序的傳達及培訓 205-3 Confirmed incidents of corruption and actions taken 205-3經確認的腐敗事件和採取的行動	II (III) Anti-corruption and Anti-money laundering 二(三)反腐敗、反洗錢
GRI 206 Anti-competitive Behavior 2016 GRI 206反競爭行為2016	206-1 Legal actions for anti-competitive behavior, anti-trust, and monopoly practices 206-1針對反競爭行為、反托拉斯和反壟斷實踐的法律訴訟	II (II) Optimization of compliance risk control 二(二)優化合規風控
GRI 207 Tax 2019 GRI 207稅務2019	207-1 Approach to tax 207-1稅務方針 207-2 Tax governance, control, and risk management 207-2稅收治理、控制和風險管理 207-3 Stakeholder engagement and management of concerns related to tax 207-3利益相關方參與和管理與稅收有關的問題 207-4 Country-by-country reporting 207-4國別報告	VI (II) Contribution of the Holly power 六(二)貢獻弘業力量 Not applicable 不適用
GRI 301 Material 2016 GRI 301物料2016	301-1 Materials used by weight or volume 301-1所用物料的重量或體積	The Company is in the financial sector and this indicator is not applicable 公司屬於金融行業，此指標不適用



# APPENDIX 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	301-2 Recycled input materials used 301-2所用循環利用的進料	
	301-3 Reclaimed products and their packaging materials 301-3再生產品及其包裝材料	
GRI 302 Energy 2016	302-1 Energy consumption within the organization	III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT KPI Table
GRI 302能源2016	302-1組織內部的能源消耗量	三低碳轉型·堅持綠色發展 關鍵績效表
	302-2 Energy consumption outside of the organization 302-2組織外部的能源消耗量	
	302-3 Energy intensity 302-3能源強度	
	302-4 Reduction of energy consumption 302-4減少能源消耗	
	302-5 Reductions in energy requirements of products and services 302-5產品和服務的能源需求下降	
GRI 303 Water and Effluents 2018	303-1 Management approach disclosures Interactions with water as a shared resource	III. LOW CARBON TRANSFORMATION AND ADHERING TO GREEN DEVELOPMENT KPI Table
GRI 303水資源和污水2018	303-1組織與水作為共有資源的相互影響	三低碳轉型·堅持綠色發展 關鍵績效表
	303-2 Management of water discharge-related impacts 303-2管理與排水相關的影響	
	303-3 Water withdrawal 303-3取水	
	303-4 Water discharge 303-4排水	
	303-5 Water consumption 303-5耗水	
GRI 304 Biodiversity 2016	304-1 Operational sites owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas	Not applicable
GRI 304生物多樣性2016	304-1組織在位於或鄰近保護區和保護區外的生物多樣性豐富區域擁有、租賃、管理的運營點	不適用

# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	304-2 Significant impacts of activities, products and services on biodiversity 304-2活動、產品和服務對生物多樣性的重大影響	
	304-3 Habitats protected or restored 304-3受保護或經修復的棲息地	
	304-4 IUCN Red List species and national conservation list species with habitats in areas affected by operations 304-4受運營影響的棲息地中已被列入世界自然保護聯盟(IUCN)紅色名錄及國家保護名冊的物種	
GRI 305 Emissions 2016 GRI 305排放2016	305-1 Direct (Scope 1) GHG emissions 305-1直接(範圍1)溫室氣體排放	III (III) Addressing climate change 三(三)應對氣候變化
	305-2 Indirect (Scope 2) GHG emissions 305-2能源間接(範圍2)溫室氣體排放	
	305-3 Other indirect (Scope 3) GHG emissions 305-3其他間接(範圍3)溫室氣體排放	
	305-4 GHG emissions intensity 305-4溫室氣體排放強度	
	305-5 Reduction of GHG emissions 305-5溫室氣體減排量	
	305-6 Emissions of ozone-depleting substances (ODS) 305-6臭氧消耗物質(ODS)的排放	Not applicable 不適用
	305-7 Nitrogen oxides (NOx), sulfur oxides (SOx), and other significant air emissions 305-7氮氧化物(NOx)、硫氧化物(SOx)和其他重大氣體排放	III (I) Improving environmental management 三(一)完善環境管理
GRI 306Waste 2020 GRI 306廢棄物2020	306-1 Waste generation and significant waste-related impacts 306-1廢棄物的產生及廢棄物相關重大影響	III (I) Pursuing green environmental protection KPI Table 三(一)踐行綠色環保 關鍵績效表
	306-2 Management of significant waste-related impacts 306-2廢棄物相關重大影響的管理	
	306-3 Waste generated 306-3產生的廢棄物	
	306-4 Waste diverted from disposal 306-4從處置中轉移的廢棄物	

GRI standards GRI標準	Disclosures 披露	References 索引位置
	306-5 Waste directed to disposal 306-5進入處置的廢棄物	
GRI 308 Supplier Environmental Assessment 2016 GRI 308供應商環境評估2016	308-1 New suppliers that were screened using environmental criteria 308-1使用環境評價維度篩選的新供應商	IV (I) Protection of clients' interests 六(一)協同夥伴發展
	308-2 Negative environmental impacts in the supply chain and actions taken 308-2供應鏈中的負面環境影響以及採取的行動	
GRI 401 Employment 2016 GRI 401僱傭2016	401-1 New employee hires and employee turnover 401-1新進員工僱傭率 and 員工流動率	V (II) Protection of employee' rights and interests KPI Table 五(二)保障員工權益 關鍵績效表
	401-2 Benefits provided to full-time employees that are not provided to temporary or part-time employees 401-2提供給全職員工(不包括臨時或兼職員工)的福利	
	401-3 Parental leave 401-3育兒假	
GRI 402 Labor Relations 2016 GRI 402勞資關係2016	402-1 Minimum notice periods regarding operational change 402-1有關運營變更的最短通知期	V (II) Protection of employees' rights and interests 五(二)保障員工權益
GRI 403 Occupational Health and Safety 2018 GRI 403職業健康與安全2018	403-1 Occupational health and safety management system 403-1職業健康安全管理體系	V (IV) Occupational health and safety KPI Table 五(四)職業健康安全 關鍵績效表
	403-2 Hazard identification, risk assessment, and incident investigation 403-2危害識別、風險評估和事故調查	
	403-3 Occupational health services 403-3職業健康服務	

# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	<p>403-4 Occupational Health and Safety Matters: Worker participation, consultation, and communication on occupational health and safety</p> <p>403-4職業健康安全事務：工作者的參與、意見徵詢和溝通</p> <p>403-5 Worker training on occupational health and safety</p> <p>403-5工作者職業健康安全培訓</p> <p>403-6 Promotion of worker health</p> <p>403-6促進工作者健康</p> <p>403-7 Prevention and mitigation of occupational health and safety impacts directly linked by business relationships</p> <p>403-7預防和減緩與業務關係直接相關的職業健康安全影響</p> <p>403-8 Workers covered by an occupational health and safety management system</p> <p>403-8職業健康安全管理体系覆蓋的工作者</p> <p>403-9 Work-related injuries</p> <p>403-9工傷</p> <p>403-10 Work-related ill health</p> <p>403-10工作相關的健康問題</p>	
GRI 404 Training and education 2016 GRI 404培訓與教育2016	<p>404-1 Average hours of training per year per employee</p> <p>404-1每名員工每年接受培訓的平均小時數</p> <p>404-2 Programs for upgrading employee skills and transition assistance programs</p> <p>404-2員工技能提升方案和過渡協助方案</p> <p>404-3 Percentage of employees receiving regular performance and career development reviews</p> <p>404-3定期接受績效和職業發展考核的員工百分比</p>	<p>V (III) Empowerment of employees' development KPI Table 五(三) 賦能員工發展 關鍵績效表</p>
GRI 405 Diversity and Equal Opportunity 2016 GRI 405多元化與平等機會2016	<p>405-1 Diversity of governance bodies and employees</p> <p>405-1管治機構與員工的多元化</p>	<p>V (I) Diverse and equal employment KPI Table 五(一) 多元化與平等僱傭 關鍵績效表</p>



# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
	405-2 Ratio of basic salary and remuneration of women to men 405-2男女基本工資和報酬的比例	
GRI 406 Non-Discrimination 2016 GRI 406反歧視2016	406-1 Incidents of discrimination and corrective actions taken 406-1歧視事件及採取的糾正行動	V (I) Diverse and equal employment 五(一)多元化與平等僱傭
GRI 407 Freedom of Association and Collective Bargaining 2016 GRI 407結社自由與集體談判2016	407-1 Operations and suppliers in which the right to freedom of association and collective bargaining may be at risk 407-1結社自由與集體談判權可能面臨風險的運營點和供應商	V (I) Diverse and equal employment 五(一)多元化與平等僱傭
GRI 408 Child Labor 2016 GRI 408童工2016	408-1 Operations and suppliers at significant risk for incidents of child labor 408-1具有重大童工事件風險的運營點和供應商	IV (I) Protection of clients' interests 六(一)協同夥伴發展
GRI 409 Forced or Compulsory Labor 2016 GRI 409強迫或強制勞工2016	409-1 Operations and suppliers at significant risk for incidents of forced or compulsory labor 409-1具有強迫或強制勞動事件重大風險的運營點和供應商	IV (I) Protection of clients' interests 六(一)協同夥伴發展
GRI 410 Security Practices 2016 GRI 410安保實踐2016	410-1 Security personnel trained in human rights policies or procedures 410-1接受過在人權政策或程序方面培訓的安保人員	Not applicable 不適用
GRI 411 Rights of Indigenous Peoples 2016 GRI 411原住民權利2016	411-1 Incidents of violations involving rights of indigenous peoples 411-1涉及侵犯原住民權利的事件	Not applicable 不適用
GRI 413 Local Communities 2016 GRI 413當地社區2016	413-1 Operations with local community engagement, impact assessments, and development programmes 413-1有當地社區參與、影響評估和發展計劃的運營點 413-2 Operations with significant actual and potential negative impacts on local communities 413-2對當地社區有實際或潛在重大負面影響的運營點	Not applicable 不適用
GRI 414 Supplier social assessment 2016 GRI 414供應商社會評估2016	414-1 New suppliers that were screened using social criteria 414-1使用社會標準篩選的新供應商 414-2 Negative social impacts in the supply chain and actions taken 414-2供應鏈中的負面社會影響和採取的行動	IV (I) Protection of clients' interests 六(一)協同夥伴發展



# APPENDIX

## 報告附錄

GRI standards GRI標準	Disclosures 披露	References 索引位置
GRI 415 Public Policy 2016 GRI 415公共政策2016	415-1 Political contributions 415-1政治捐助	VI (III) Feedback to the society 六(三)感恩回饋社會
GRI 416 Customer Health and Safety 2016 GRI 416客戶健康與安全2016	416-1 Assessment of the health and safety impacts of product and service categories 416-1評估產品和服務類別的健康與安全影響 416-2 Incidents of non-compliance concerning the health and safety impacts of products and services 416-2涉及產品和服務的健康與安全影響的違規事件	IV (II) Enhancing high quality services 四(二)提供高質量服務
GRI 417 Marketing and Labeling 2016 GRI 417營銷與標識2016	417-1 Requirements for product and service information and labeling 417-1對產品和服務信息與標識的要求 417-2 Incidents of non-compliance concerning product and service information and labeling 417-2涉及產品和服務信息與標識的違規事件 417-3 Incidents of non-compliance concerning marketing communications 417-3涉及營銷傳播的違規事件	IV (I) Protection of clients' interests 四(一)維護客戶利益
GRI 418 Customer privacy 2016 GRI 418客戶隱私2016	418-1 Substantiated complaints concerning breaches of customer privacy and losses of customer data 418-1涉及侵犯客戶隱私和丟失客戶資料的經證實的投訴	IV (I) Protection of clients' interests KPI Table 四(一)維護客戶利益 關鍵績效表

## (III) Memberships and honors and awards

The Company was granted the following awards during 2022:

## (四) 會員資格與榮譽獎項

2022年，公司獲得的獎項如下：

Award-winning subject entity 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
Company 公司	Excellent Unit for Ideological and Political Work in the National Financial System 全國金融系統思想政治工作優秀單位	Research Association of Ideological and Political Work of China Financial Institutions 中國金融思想政治工作研究會
Company 公司	Civilized Unit of Jiangsu Province 江蘇省文明單位	Office of Jiangsu Guidance Commission on Building Spiritual Civilization 江蘇省精神文明建設指導委員會
Company 公司	Nanjing Daily Brand Value List 南京日報品牌價值榜	Nanjing Daily News 南京日報社
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 Member Prize 優秀會員獎	Shanghai Futures Exchange 上海期貨交易所
Holly Capital 弘業資本	Excellent Futures Market Maker 優秀期貨做市商	Zhengzhou Commodity Exchange 鄭州商品交易所
Company 公司	Second prize for improving the quality of options operations to serve the real economy 提高期權運行質量服務實體經濟二等獎	Shanghai Futures Exchange 上海期貨交易
Company 公司	Advanced Unit of Thought Propaganda Work in Provincial Enterprises 省屬企業思想宣傳工作先進單位	Party Committee of the State-owned Assets Supervision and Administration Commission of the Jiangsu 江蘇省國資委黨委
Finance Department 財務部	Finance Department awarded for outstanding achievements in the "Double Strive" campaign 財務部獲評「雙爭」活動中成績突出的集體	Jiangsu Provincial Union of Enterprises and Undertakings 江蘇省省部屬企事業工會
Peng Li, Ningbo Sales Department 寧波營業部彭麗	Peng Li of Ningbo Sales Department was awarded as an individual with outstanding achievements in the "Double Strive" campaign 寧波營業部彭麗獲評「雙爭」活動中成績突出的個人	Jiangsu Provincial Union of Enterprises and Undertakings 江蘇省省部屬企事業工會
Zhou Jianqiu 周劍秋	March 8 Red Flag Bearer 三八紅旗手	Jiangsu Women's Federation 江蘇省婦聯
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
Zhou Jianqiu, Chairlady of the Board and Party Secretary 董事長、黨委書記 周劍秋	China Futures' Helmswoman of the Year 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

# APPENDIX

## 報告附錄

Award-winning subject entity 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
Company 公司	Best Capital Campaign Development Award 最佳資本運營發展獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Commodity Futures Industry Service Award 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 Rural Revival Service and Social Responsibility Award 最佳鄉村振興服務及社會責任公益獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Corporate Culture Branding Award 最佳企業文化品牌建設獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Asset 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	Most Popular Self-Media of Futures Management Organization 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	Innovation in Investor Education Model of the Year 年度投資者教育模式創新獎	Futures Daily, Securities Times 期貨日報、證券時報
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 Financial Advancement 最佳科技金融進步獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Emerging Internationalization Award 國際化進程新銳獎	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Innovation in Integrated Derivatives Services 最佳衍生品綜合服務創新獎	Futures Daily, Securities Times 期貨日報、證券時報
Holly Jingxin Phase I FOF Collective Asset Management Plan 弘業景信一期FOF集合資產管理計劃	Outstanding Managed Product of the Year 年度優秀資管產品	Futures Daily, Securities Times 期貨日報、證券時報
Yixing Sales Department of Holly Futures 弘業期貨宜興營業部	Best Futures Operation Branch in China 中國最佳期貨經營分支機構	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Gold Management Team of China Futures Corporation 中國期貨公司金牌管理團隊	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	Best Futures Training Provider Award 最佳期貨人才培養機構貢獻獎	Futures Daily, Securities Times 期貨日報、證券時報

Award-winning subject entity 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
Company 公司	Best Innovation and Development Award for Banking and Futures Cooperation 最佳銀期合作創新開拓獎	Futures Daily, Securities Times 期貨日報、證券時報
Institute of Financial Studies 金融研究院	China Gold Futures Institute 中國金牌期貨研究所	Futures Daily, Securities Times 期貨日報、證券時報
Zhang Yongge 張永鵬	Best Industrial Futures Analyst 最佳工業品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
Wang Xiaopei 王曉蓓	Best Agricultural Futures Analyst 最佳農副產品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
Company 公司	2022 Social Responsibility Award 2022年度社會責任獎	hexun.com 和訊網
Company 公司	2022 Brand Influence Futures Company of the Year 2022年度品牌影響力期貨公司	hexun.com 和訊網
Eggs "Insurance + Futures" precision poverty alleviation project 雞蛋「保險+期貨」精準扶貧項目	Nanjing Outstanding Financial Innovation Project Second Prize 南京市優秀金融創新項目二等獎	Nanjing Local Financial Supervisory Authority Nanjing Finance Bureau 南京市地方金融監督管理局 南京市財政局
Company 公司	Model Unit of Rural Revitalization Innovation 鄉村振興創新典範單位	China Rural Credit Co-operative Newspaper 中國農村信用合作報
Company 公司	Outstanding Unit for Cultural Construction in the National Financial System 全國金融系統文化建設優秀單位	China Association of Financial Thought and Political Work 中國金融思想政治工作研究會
Coordinating futures management to serve the real economy 以服務實體經濟為目標的協同化期貨管理	Second Prize of the 29th Jiangsu Provincial Enterprise Management Modernization Innovation Achievement 第二十九屆江蘇省企業管理現代化創新成果二等獎	Enterprise Modernization Management Innovation Achievement Validation Committee of Jiangsu Provincial 江蘇省企業現代化管理創新成果審定委員會
Party Committee of the Company: Party building leads the way in exploring new modes of serving the real economy 公司黨委：黨建引領探索服務實體經濟新模式	Third Prize for Outstanding Achievement in "New Research on Party Building of State-owned Enterprises" of the Provincial State-owned Capital System in 2022 2022年度全省國資系統「國企黨建『新』調研」優秀成果三等獎	Party Committee of the State-owned Assets Supervision and Administration Commission of the Jiangsu 江蘇省國資委黨委

# APPENDIX

## 報告附錄

As of the end of 2022, the Company acted as members of the following associations:

截至2022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
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

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 are your areas of concern?

6. What further information would you like to know?

7. What other suggestions do you have for Holly Futures' ESG work and for this report?

## (五) 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. 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. 您關注哪些方面的議題？

6. 您希望進一步瞭解哪些信息？

7. 您對弘業期貨ESG工作和本報告還有哪些建議？