



# 国联证券股份有限公司

GUOLIAN SECURITIES CO., LTD.

(a joint stock company incorporated in the People's Republic of China with limited liability)

Stock codes: 601456.SH

01456.HK

## 2023

### SOCIAL RESPONSIBILITY AND ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT





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## ABOUT THIS REPORT

This is a social responsibility report issued by Guolian Securities Co., Ltd. (“Guolian Securities”, the “Group” or the “Company”) to disclose to various stakeholders the actions taken and the results achieved by the Company in the environmental, social and corporate governance aspects.

### Scope of the Report

Scope of reporting entity: Guolian Securities Co., Ltd. and its subsidiaries

Timeframe of the report: 1 January 2023 to 31 December 2023

Issuing period of the report: This is a yearly report and the last report was issued in March 2023.

### Basis of preparation of the report

The report has been prepared according to the requirements of the Standards for the Contents and Formats of Information Disclosure by Companies Offering Securities to the Public No. 2 – Contents and Formats of Annual Report (Revised in 2021) (《公開發行證券的公司信息披露內容與格式準則第2號—年度報告的內容與格式(2021年修訂)》) (Chapter V – Environmental and Social Responsibilities) issued by China Securities Regulatory Commission, the Guidelines No. 1 for the Self-regulation of Listed Companies – Standardized Operation (《上市公司自律監管指引第1號—規範運作》) issued by the Shanghai Stock Exchange, and the Environmental, Social and Governance Reporting Guide in the Appendix C2 of the Listing Rules of the HK Stock Exchange.

### Principles for the preparation of the report

The report is prepared mainly based on the following basic principles:

**Materiality principle:** The report identifies material issues to be particularly addressed through materiality analysis, and focuses on reporting the matters related to environmental, social and corporate governance that may be important to investors and other stakeholders.

**Quantitative principle:** The report discloses key quantitative performance indicators and explains the meaning of these indicators. It also describes the calculation basis and assumptions for assessing and verifying the effectiveness of the environmental, social and corporate governance policies and the management system.

**Balance principle:** The content of this report provides an unbiased picture of objective facts and discloses all information and performance, whether positively or negatively, to avoid selections, omissions, or presentation formats that may inappropriately influence a decision or judgment by the readers of the report.

**Consistency principle:** This report clearly states the statistical methodology and caliber of key quantitative ESG performance indicators disclosed herein, while ensuring that the indicators and calculation methods for different reporting periods are consistent as far as possible to reflect the performance trend.

### Description of report information

The information and cases in the report come from the primary record of operation or financial reports of Guolian Securities and its subsidiaries. Unless otherwise specified, the unit of the financial information in this report is RMB. In case of any inconsistency with financial reports, the financial reports shall prevail.

### Approval and issuance of the report

The contents and information disclosed in this report have been reviewed and approved by the board of directors (the “Board”) and the Supervisory Committee of the Company.

This report is prepared both in Chinese and English. In the event of any discrepancy between the two versions, the Chinese version shall prevail.

The report is published in a PDF electronic file format on the:

Website of the Shanghai Stock Exchange ([www.sse.com.cn](http://www.sse.com.cn))

HKExnews website of Hong Kong Exchanges and Clearing Limited ([www.hkexnews.hk](http://www.hkexnews.hk))

Website of the Company ([www.glsc.com.cn](http://www.glsc.com.cn))

# 01

## ABOUT GUOLIAN SECURITIES



## 1.1 Company profile

The Company was founded in November 1992, and its predecessor was Wuxi Securities Company\* (無錫市證券公司). In May 2008, the Company conducted a reform and changed its name to Guolian Securities Co., Ltd. The Company was registered in Wuxi, Jiangsu Province with a registered capital of RMB2,831,773,168. It was listed on the HK Stock Exchange on 6 July 2015 (stock code: 01456) and the Shanghai Stock Exchange on 31 July 2020 (stock code: 601456). As a state-controlled integrated securities company, for many years, the Company has been adhering to the business philosophy of “honesty, stability, openness and innovation”. It has formed a relatively comprehensive business system including wealth management, investment banking, asset management, research and institutional sales, fixed income, equity derivatives and private equity investment business.

### Basic information of the Company

<b>Chinese Name:</b>	國聯證券股份有限公司
<b>English Name:</b>	Guolian Securities Co., Ltd.
<b>Registered Address:</b>	No. 8 Jinrong One Street, Wuxi, Jiangsu Province, the PRC
<b>Scope of principal business:</b>	Licensed items: securities business, securities investment consultation, sales of public securities investment funds and bond market business (For items requiring approval in accordance with the law, commencement of operations is subject to the approval by the relevant authorities, and the specific items are subject to the approval results) General items: securities financial advisory services and provision of intermediary business for futures companies by securities companies (Except for items requiring approval in accordance with the law, operations shall be commenced independently with the business licences in accordance with the law)
<b>Total assets:</b>	RMB87.129 billion
<b>Operating income:</b>	RMB2.955 billion
<b>Controlling subsidiaries:</b>	Hua Ying Securities Co., Ltd., Guolian Capital Co., Ltd., Wuxi Guolian Chuangxin Capital Company Limited, Guolian Securities (Hong Kong) Limited, Guolian Fund Management Company Limited (國聯基金管理有限公司) and Guolian Securities Assets Management Co., Ltd.
<b>Domestic branches:</b>	A total of 15 branch offices and 86 securities branches

Note: Financial data has been prepared in accordance with the Accounting Standards for Business Enterprises of the PRC

## Branch Network Distribution Map



Number of branches

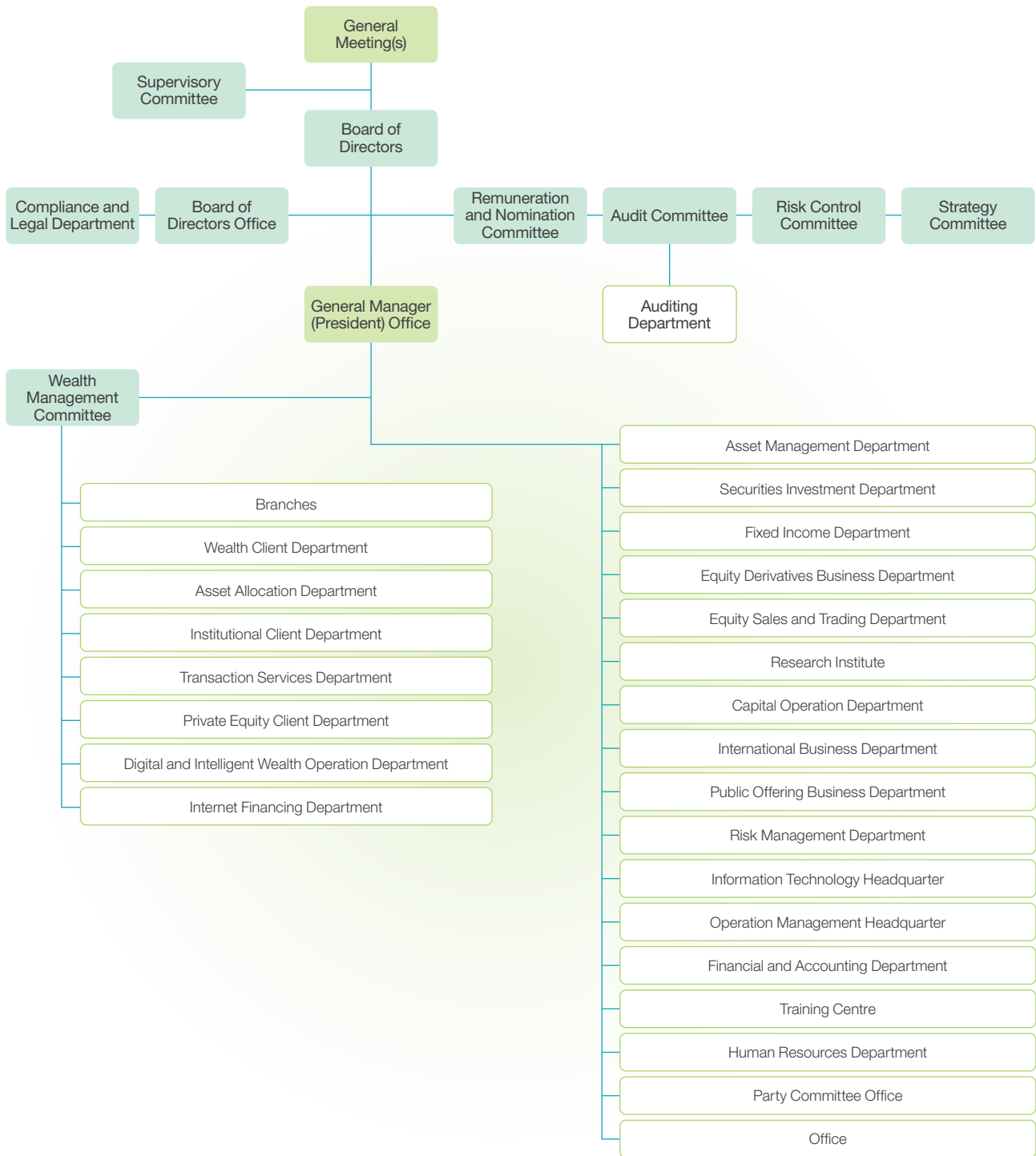
86

Number of branch offices

15



# Organizational Structure



# 02

## SOCIAL RESPONSIBILITY MANAGEMENT SYSTEM



## 2.1 ESG management structure






The Company proactively identifies the impact of management decisions and operational activities and continuously improves its ESG management structure and working mechanism to ensure the continuous and effective implementation of ESG work by integrating ESG concepts into its development strategy and daily operations. The Company has established an ESG management structure comprising a “supervision segment – organisational segment – execution segment”, with the Board, the ESG management team and the ESG working group performing relevant duties corresponding to each segment of the structure, and the Board is ultimately responsible for the overall supervision of the Company’s ESG matters. The specific responsibilities of each segment are as follows:



## 2.2 Communication with stakeholders

Based on the actual business and management and operation characteristics, and in conjunction with the domestic and international macro policies and ESG standards, the Company identifies key stakeholders, including shareholders and investors, government/regulatory authorities, customers, employees, suppliers and partners, communities and environment, establishes and continuously improves a routine and flexible communication mechanism, and understands and responds to the concerns and demands of stakeholders to jointly seek sustainable development.

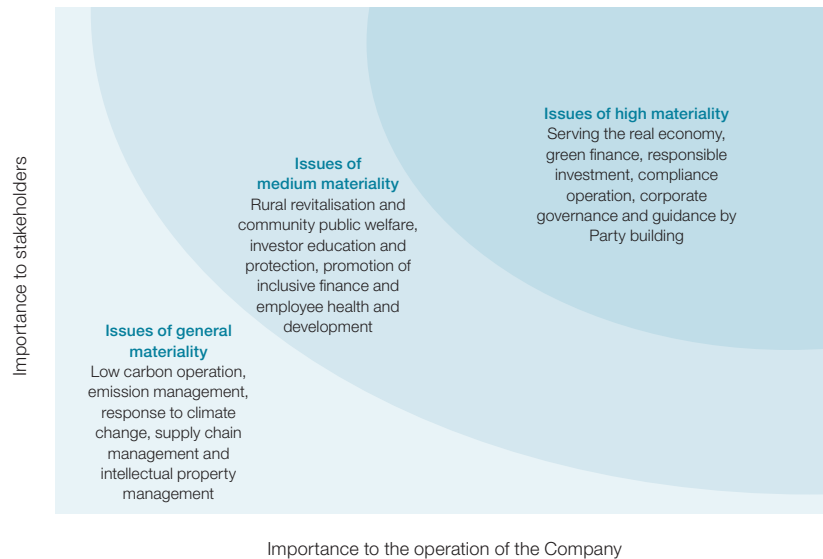
Stakeholders	Concern issues	Principal communication channels
 <b>Shareholders and investors</b>	Corporate governance Development strategy Operating results Compliance operation Risk management Sustainable investment and financing Serving the real economy	General meetings Company announcement, regular reporting Investor communication meetings and research Investor telephone, email and SSE e-Interaction platform Corporate website and other carriers

Stakeholders	Concern issues	Principal communication channels
 <p><b>Government/ regulatory authorities</b></p>	<ul style="list-style-type: none"> <li>Compliance operation</li> <li>Risk management</li> <li>Sustainable investment and financing</li> <li>Serving the real economy</li> <li>Industry culture construction</li> <li>Rural revitalisation, charity and public welfare</li> <li>Promotion of inclusive finance</li> <li>Response to climate change</li> </ul>	<ul style="list-style-type: none"> <li>Participation in research and visits by government/regulatory authorities</li> <li>Major meeting</li> <li>Policy consultation</li> <li>Incident reporting</li> <li>Document correspondence</li> </ul>
 <p><b>Employees</b></p>	<ul style="list-style-type: none"> <li>Protection of employees' rights and interests</li> <li>Staff development</li> <li>Diversity and inclusion</li> </ul>	<ul style="list-style-type: none"> <li>Staff recruitment activities</li> <li>Staff training</li> <li>Corporate office automation (OA) platform</li> <li>Staff sports and recreational activities</li> </ul>
 <p><b>Customers</b></p>	<ul style="list-style-type: none"> <li>Optimization of customer service</li> <li>Responsible marketing</li> <li>Information security and privacy</li> <li>Serving the real economy</li> <li>Promotion of inclusive finance</li> <li>Investor education and protection</li> </ul>	<ul style="list-style-type: none"> <li>Customer surveys and visits</li> <li>Customer satisfaction survey</li> <li>Customer consulting hotline</li> <li>Investor education activities</li> <li>Corporate website, APP, Wechat official account and other carriers</li> </ul>
 <p><b>Suppliers and partners</b></p>	<ul style="list-style-type: none"> <li>Admission management of suppliers</li> <li>Evaluation of suppliers</li> <li>Protection of suppliers' interests</li> <li>Cooperation with suppliers</li> </ul>	<ul style="list-style-type: none"> <li>Admission and evaluation of suppliers</li> <li>Strategic co-operation negotiations</li> <li>Supplier visits</li> <li>Bidding activities</li> </ul>
 <p><b>Communities and environment</b></p>	<ul style="list-style-type: none"> <li>Rural revitalisation</li> <li>Community public welfare</li> <li>Green operation</li> <li>Response to climate change</li> <li>Responsible investment</li> </ul>	<ul style="list-style-type: none"> <li>Community activities</li> <li>Volunteer activities</li> <li>Research and implementation of public welfare projects on rural revitalisation and environmental protection</li> <li>Promotion of paperless office</li> <li>Development of green finance</li> <li>Practice of responsible investment concepts</li> </ul>

## 2.3 Identification and analysis of material issues

Based on the characteristics of the Company's business and industry in which it operates, and in conjunction with the latest macro policy interpretations, regulatory requirements, industry hotspots, expectations of various stakeholders and their own development needs, the Company has summarised 15 material issues. At the same time, the Company has ranked the importance of the 15 material issues through consultation with internal and external experts, management feedback and key issues of concern of capital market rating agencies to derive a matrix of material issues, which were highlighted and addressed in the report accordingly.

Set out below is a matrix of key issues:



## 2.4 Award recognition for social responsibility and ESG in 2023

In 2023, the Company actively participated in the compilation of the Management Specification for Mutual Trust in Carbon Emission Reduction Data (《碳減排數據互信管理規範》), which is one of the group standards development plans issued by China Energy Conservation Association, and took part in the research of the standard as well as internal technical exchanges, and put forward recommendations on the content and technical key points of the standard compilation. Through the development of specifications and standards, the Company made positive achievements and contributions to the realisation of mutual recognition and mutual trust of inclusive carbon emission reduction data in various regions, the provision of clear data circulation management specifications for the construction of inclusive carbon market in various regions, and the promotion of the joint construction of inclusive carbon mechanism in the Yangtze River Delta

region. In recognition of the Company's contribution to the development of a green, low-carbon ecological civilisation in Wuxi, the Wuxi Municipal Bureau of Ecology and Environment (無錫市生態環境局) and Wuxi Taihu Lake Inclusive Carbon Green Development Centre (無錫市太湖碳普惠綠色發展中心) granted the "2023 Wuxi Inclusive Carbon Green, Low-Carbon and Sustainable Development Contribution Award" to the Company. At the same time, to express its gratitude to the Company for its strong support for the "dual carbon" campaign in Wuxi, the Wuxi Taihu Lake Inclusive Carbon Green Development Centre issued the Company a letter of appreciation.



# 03

## GUIDED BY PARTY BUILDING TO SOLIDIFY THE FOUNDATION OF CORPORATE GOVERNANCE



## 3.1 Adherence to the guidance of Party building

### 3.1.1 Adherence to the “consistent performance of two principles”, giving full play to the Party Committee in targeted supervisory function



In 2023, the Party Committee of the Company positioned its functions scientifically and convened 39 Party committee meetings throughout the year, which cumulatively discussed, considered, researched and made decisions on 124 major issues, including the non-public issuance of A shares, the selection and appointment of senior management and the establishment of the Wealth Management Committee. It also coordinated and supported the work of the Board and the team of professional managers within their terms of reference. The Party Committee organised amendments to the systems such as the List of Major Matters to be Pre-discussed and Studied at the Party Committee Meetings of Guolian Securities (《國聯證券黨委會前置討論研究重大事項清單》) and the Implementation Measures for the System of “Three Major and One Significant” of Guolian Securities (《國聯證券「三重一大」決策制度實施辦法》) to promote the organic integration of comprehensive and stringent governance of the Party and corporate governance. The Party Committee also conducted a large-scale investigation and research to compile and form the Connection List of Specific Problems, Difficulties and Blocking Points of Guolian Securities in 2023 (《國聯證券2023年度痛點難點堵點問題掛鉤聯繫清單》) and has already achieved the results of optimising and adjusting the structure of the grassroots Party organisations, and were included in the “White List” of the China Securities Regulatory Commission (CSRC). Effective progress has been made in actively facilitating financial services for the real economy and inclusive finance.

### 3.1.2 Stringent implementation of the ideological and production safety responsibility system



According to the List of Ideological Work Responsibilities of the Party Committee of Guolian Securities in 2023 (《國聯證券黨委2023年意識形態工作責任清單》), the Party Committee of the Company guided the relevant departments to strengthen the analysis of the political ecology of the enterprise and the study, judgment and management of the ideological work. In conjunction with the important periods and nodes, as well as the major issues, the Party Committee made preparations in advance for the planning of education and guidance, response to public opinions and handling of emergencies. The Party Committee proactively disclosed information via the mainstream media and official website, microblogs and other media channels, and published a series of positive publicity articles such as Be Upright and Innovative, and a Wonderful New Journey Starts for “You” (《守正創新，美好新徵程因「您」而行》) to bring out the story of Guolian. The Party Committee also tightened the production safety responsibility system, with the secretary of the Party Committee took the lead in carrying out safety inspections in the “Four No’s and Two Directs (四不兩直)” manner, and requested the Party and administrative leadership teams of the Company to conduct “unannounced” inspections at subsidiaries and branches.

### 3.1.3 Strengthening ideological construction and replenishing “spiritual essence” for ideals and beliefs



The Party Committee of the Company focused on theme-based education as a major political mission and put the “Three Major Checkpoints” of theoretical learning, entrepreneurship, and review and rectification into practice. The secretary of the Party Committee gave a special Party lesson titled Leading the Company’s New Journey of Second Venture with the Concept of High-quality Development (《以高質量發展理念引領公司二次創業新徵程》) to the Party members and cadres, secretaries at all levels and the representatives of young employees of the Company, urged the discussions and suggestions on the “Bearing in Mind the Entrusted Mission, Advancing with Gratitude and Stepping in the Forefront (牢記囑托、感恩奮進、走在前列)”, and deployed the selection promotion of “Role Models around Us (身邊榜樣)” and the “Three Frontlines” actions, aiming to transform the enthusiasm of Party members and cadres and employees into the impetus of propelling enterprise high-quality development. The centre group of the Party Committee was motivated to study one step ahead of the others, and 28 centre group study meetings were held throughout the year, at which the Party constitutions, the report of the 20th National Congress of the Communist Party of China, Extracts from Xi Jinping’s Thought on Socialism with Chinese Characteristics in the New Era (《習近平新時代中國特色社會主義思想專題摘編》), the essence of General Secretary Xi Jinping’s important discussions on the capital market and Party building in the financial system, as well as the essence of the relevant meetings, decisions and deployments of the central, provincial and municipal party committees, were carefully studied. Through the implementation of “Secretary’s Responsibility and the Secretary is Primarily Responsible for the Implementation (書記抓、抓書記)”, relying on the “Three Meetings and One Lesson (三會一課)”, Party theme days and other formats, the requirements of political theory learning were implemented at all levels and piercing through every branch and every Party member, achieving significant improvement in political and theoretical standards. The Company was awarded the first prize and the outstanding organisation award for the “Question and Answer Activity for Learning and Implementation of the Essence of the Twentieth National Congress of the Communist Party of China (學習貫徹二十大精神答題活動)” organised by Jiangsu Securities Industry Association (江蘇省證券業協會).

### 3.1.4 Strengthening the construction of grassroots organisations and enhancing the “integration” of Party building



In conjunction with the actual research, focusing on problems such as the large geographic span of branches under the Party branch, the dispersal of Party members, and the mismatch between the administrative subordination and management relationship, the Party Committee of the Company carried out the optimisation and adjustment of the organisational structure under the principles of “organisational and regional layout, similarity of business lines, appropriate size of Party members, and integration of Party building and operation (機構區域設置、業務條線相近、黨員規模適當、黨建經營融合)”. It was fully implemented by the end of



September 2023 and explored the establishment of a whole-chain working system of “selection, training, management and appointment” for part-time Party workers through aligning and strengthening the Party (head) branch team.



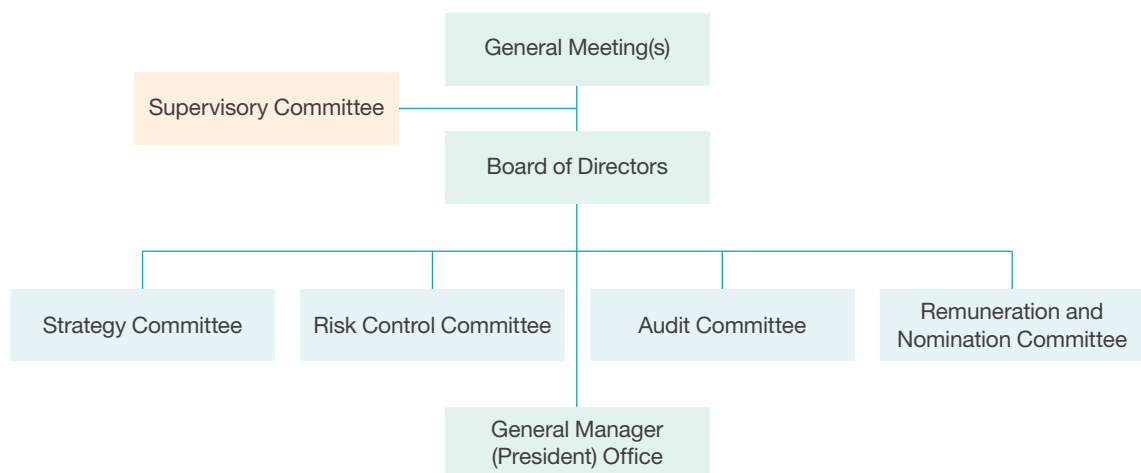


## 3.2 Optimisation of corporate governance

As a company with its A Shares listed in the PRC and its H Shares listed in Hong Kong, the Company has operated in strict compliance with laws, regulations and normative documents at the places of listing, and kept committed to maintaining and improving its sound social image. The Company adheres to the business philosophy of “honesty, stability, openness and innovation” and the core value of “All for You” to better serve the real economy and social wealth management, actively fulfills corporate social responsibility, incorporates culture building into the Company’s Articles of Association and corporate governance, protects the legitimate rights and interests of investors and seeks to maximize the long-term interests of shareholders. Pursuant to the Company Law, the Securities Law and other applicable laws, regulations and regulatory provisions, the Company has formed a corporate governance structure under which the General Meeting, Board, Supervisory Committee, and the management have their powers separated for checks and balances and perform their respective duties, so as to ensure regulated operation of the Company.

In 2023, the Company, following the latest regulatory requirements issued by the CSRC and the stock exchanges in Shanghai and Hong Kong, and taking into account the actual operating conditions of the Company, formulated and published the Duty Performance Assessment and Remuneration Management System for Directors and Supervisors (《董事、監事履職考核及薪酬管理制度》), and amended and improved the Articles of Association, the Rules of Procedure of General Meeting, the Policy on the Management of the Related Party Transactions, the Management Rules on the Shares of the Company Held by Directors, Supervisors and Senior Management and the Changes Thereof (《董事、監事及高級管理人員所持公司股份及其變動管理制度》) and other rules and regulations to provide institutional safeguards for the regulated operation of the Company.

### 3.2.1 Governance structure comprising the general meeting, the Board, the Supervisory Committee and the senior management of the Company



## ⚙️ Operation of the “General Meeting, the Board and the Supervisory Committee” of the Company in 2023



### General meeting

- The General Meeting shall be the highest authority of the Company. The Company convenes and holds general meetings in strict accordance with the relevant provisions of the Articles of Association and the Rules of Procedure of General Meeting to ensure that all shareholders, especially the minority shareholders, are treated equitably and fully exercise their legitimate rights.
- In 2023, the Company convened a total of 6 general meetings, at which 20 resolutions were considered and passed.



### The Board

- The Company shall include the Board, which shall be accountable to the general meeting. The Company has established the Strategy Committee, Risk Control Committee, Audit Committee, Remuneration and Nomination Committee under the Board, and has formulated the rules of procedure for each of the special committees, with each of the special committees performing its functions and responsibilities and doing its parts to facilitate the efficient, scientific and standard operation of the Company.
- As of the end of 2023, the Board of the Company comprised 9 directors, including 3 independent non-executive directors, accounting for 1/3 of the total number of directors. It had 1 female non-executive director, accounting for 11.11% of all directors.
- In 2023, the Company convened a total of 10 Board meetings, at which a total of 59 resolutions and reports were considered or heard; and convened 16 special committee meetings. The attendance rate of directors was 100%.



### Supervisory Committee

- As of the end of 2023, the Supervisory Committee of the Company consisted of 5 supervisors, including 2 employee supervisors and 2 female supervisors. The Supervisory Committee shall be accountable to the general meeting and conduct effective supervision of the Company’s finances as well as the legality and compliance of the Board and the management in fulfilling their responsibilities. The Company insisted on improving the mechanism of employee supervisors to realise the orderly participation of employee representatives in corporate governance.
- In 2023, the Company convened a total of 7 Supervisory Committee meetings, at which a total of 26 resolutions and reports were considered or heard.

### 3.2.2 Protection of shareholders' and investors' rights and interests



The Company regulates its operations in strict accordance with the Articles of Association, practically protects the rights and interests of shareholders, creditors and stakeholders, and attaches great importance to shareholders' opinions, proposals and concerns, and endeavours to provide comprehensive and high-quality investor relations services to empower the Company to enhance its corporate governance capability. The Company has established a smooth mechanism for customer communication and coordination and a sound arrangement for the complaint system. It has also set up an investor relations section on the Company's official website (<https://www.glsc.com.cn>), as well as an investor relations service hotline and mailbox to ensure authentic, effective and timely communication of information about the Company with investors.

To facilitate investors a more comprehensive and in-depth understanding of the Company's results and operation, the Company held the 2022 annual results presentation, the 2023 semi-annual results presentation and the 2023 third quarterly results presentation on the SSE Roadshow Center platform on 3 April 2023, 27 September 2023 and 28 November 2023 respectively, and conducted communication and exchanges in respect of the issues of concern to investors, and answered a total of 16 online questions from investors. At the same time, the Company responded to 92 questions from investors through the investor hotline and SSE e-interaction, and responded to investors' concerns promptly.



## 3.3 Ensuring compliance operation

### 3.3.1 Compliance management framework



The compliance head of the Company is directly accountable to the Board, and is responsible for reviewing, supervising and examining the compliance of the operations, management and business activities carried out by the Company and its employees.

It is responsible for organizing compliance management work and assuming corresponding management responsibility under the guidance and supervision of the Compliance and Legal Department.



Considers and approves the overall objectives and basic policies of the Company's compliance management and is responsible for the effectiveness of the Company's compliance management.

It is accountable to the Chief Compliance Officer and assists in the specific work of corporate compliance management under the leadership of the Board.

### 3.3.2 Compliance management system



To implement the requirements of full-coverage compliance management, the Company has formulated a series of systems, including the Compliance Inspection Measures (《合規檢查辦法》), the Compliance Inspection and Consultation Management Measures (《合規審查與諮詢管理辦法》) and the Compliance Management Assessment Measures (《合規管理考核辦法》) according to the Measures for Compliance Management of Securities Companies and Securities Investment Fund Management Companies (《證券公司和證券投資基金管理公司合規管理辦法》), the Guidelines on Implementation of Compliance Management of Securities Companies (《證券公司合規管理實施指引》) and other requirements focusing on the core compliance management duties such as compliance review, compliance inspection, compliance consultation, compliance monitoring and compliance assessment, which further improved the construction of the Company's compliance management system. At the same time, the compliance requirements for various business activities have been incorporated into the business management system and operational processes to effectively enhance the effectiveness of the Company's compliance management and facilitate the stable and orderly development of the Company's various businesses.

#### ⚙️ Compliance review

In 2023, the Company reviewed over 170 newly added or revised systems. Meanwhile, the Company's Chief Compliance Officer, as the most final part of the compliance review process, conducted compliance reviews of the Company's major decisions, new products and new business proposals in the course of daily management, and issued written compliance review opinions.

#### ⚙️ Compliance inspection

Focusing closely on the management objective of "improving quality and promoting improvement through inspection (以查提質, 以查促改)", the Company organised and planned the compliance inspection programme, organised 16 inspections of business departments and subsidiaries, 4 inspections of key branches, and 6 special inspections for anti-money laundering, with the inspection and supervision achieving the management effect of "emphasizing on key points and development from point to the surface (突出重點, 以點帶面)".

#### ⚙️ Compliance consultation

In 2023, the Compliance and Legal Department of the Company provided compliance advice to various departments and employees on compliance issues encountered in the course of operation, management and execution, with a total of more than 30 compliance consultations on important issues.

#### ⚙️ Compliance training and promotion

The Company pays close attention to the regulations developments of the CSRC, the Securities Association of China and the stock exchange, and regularly keeps track of and summarises the recent regulatory developments such as major policy changes, regulatory circulars of institutions and cases of regulatory penalties on a weekly basis, which are distributed to all departments and branches of the Company through OA for learning. The compliance management department formulated a compliance training

programme at the beginning of the year and organised more than 30 compliance trainings during the reporting period.



» Compliance training for new employee training camp in 2023 of Guolian Securities

### Compliance monitoring

Following regulatory requirements, the Company continued to carry out compliance monitoring of employees' investment behaviour. Through real-time monitoring of the trading behaviour of all securities accounts of the Company against the MAC addresses, IP addresses of the employees' office computers, their personal mobile phone numbers and identity card numbers, the Company can detect promptly whether there is any participation in stock trading by its employees.

### Compliance assessment

Every department of the Company conducts assessments in strict accordance with the Measures for Compliance Management Assessment of Guolian Securities Co., Ltd. (《國聯證券股份有限公司合規管理考核辦法》), in which the specific compliance assessment accounts for 15% of the performance assessment results. For major compliance issues, a one-vote veto may be conducted.

The Company conducts annual assessments of its compliance management staff in strict accordance with the requirements of the Management Measures on Compliance and Risk Control Staff of Guolian Securities Co., Ltd. (《國聯證券股份有限公司合規風控人員管理辦法》), with 100% of the weighting given to the chief compliance officer for the assessment of full-time compliance management staff and 55% of the weighting given to the part-time compliance management staff. The chief compliance officer shall issue a specialised written compliance opinion on the results of the above assessments. The performance allocation is subject to the assessment results.

## 3.3.3 Intellectual property management



In accordance with the Trademark Law of the People's Republic of China (《中華人民共和國商標法》), Copyright Law of the People's Republic of China (《中華人民共和國著作權法》), Patent Law of the People's Republic of China (《中華人民共和國專利法》) and other laws and regulations, the Company manages intellectual property in accordance with laws and regulations, including legal protection of intellectual property rights and infringement prevention of trademark rights, patent rights, copyrights and trade secrets. The daily management of intellectual property rights is carried out by relevant business departments, and the Compliance and Legal Department shall provide legal support.

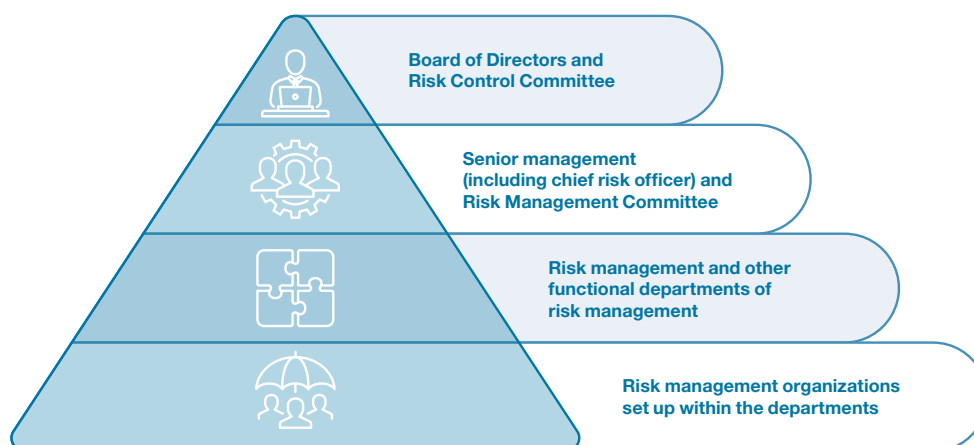
To regulate the use of pictures, fonts and other materials on the publicity materials of the Company and avoid infringement incidents, the Company has established and maintained a font whitelist library and publicity materials review process to conduct legal compliance review of publicity materials. To regulate the installation and use of office software, the Company has established a software whitelist library and software installation review process to conduct legal compliance review of software installations. In 2023, the Company renewed its trademark in a timely manner and re-signed the Trademark Licence Contract (《商標授權使用合同》) to regulate the use of trademarks. In conjunction with various types of audits, the Company carried out stringent checks on the Company's daily office work and promotion to ensure that the Company's intellectual property risk control was performed comprehensively. At the same time, the Company launched internal compliance advocacy, training and other education and promotion on intellectual property matters to enhance the awareness of intellectual property protection of all employees and provided solid protection for the Company in protecting and managing its intellectual property rights.

## 3.4 Enhancement of risk management

### 3.4.1 Risk management organisation structure



The Company has established a risk management system focusing on Comprehensive Risk Management Measures (《全面風險管理辦法》), forming an effective four-tier risk management organisational structure, and continuing to maintain the efficient operation of the risk decision-making system throughout the year of 2023. Meanwhile, the Company continues to enhance the activeness and foresight of risk management, keeps abreast of the latest domestic and international developments, and responds to market changes promptly to ensure that the risk management system and the level of the Company and its business development are compatible and adaptable. In 2023, the Company newly added and revised more than 30 limit indicators for the Risk Management Committee, and the Risk Management Department reported more than 120 limit indicators; organised 16 meetings of the Risk Management Committee and considered 52 resolutions.



### 3.4.2 Construction of risk management culture



The Company continues to raise the risk awareness of all staff, emphasises the concept of prudent operation and gives prominence to risk prevention and internal control. Under the current complicated and changing market environment, the Company continues to enhance the promotion of risk management concepts and internal training. Not only does the Company make risk management a mandatory item in the induction training for new employees, but it also includes risk management as a required course in the management training at all levels. At the same time, the Company continues to explore and develop new training methods and adopts various methods such as online courses, offline training and short videos to form a routine mechanism for the propagation of the risk culture. In addition, in conjunction with the specialised recalibration of operational risks, training is provided during the recalibration process to raise the risk management awareness of frontline risk controllers and ensures that the concept of risk management is prioritised and implemented throughout the entire process of business development to achieve early identification, early detection, early warning and early disposal of risks.

In 2023, the Risk Management Department organised 4 rounds and 24 meetings of operational risk management training for various business departments, middle-back end departments and subsidiaries. It organised credit risk management training for investment banking subsidiaries; shared the experience of risk management for margin financing and securities lending with the wealth management line, and conducted on-site exchanges with 5 branch offices to answer questions related to risk management. In terms of external training, the Company actively organised relevant personnel to participate in various specialised trainings organised by the CSRC and China Capital Markets Institute, with

one external training attended by each member of the Risk Management Department, which continued to enhance the professional competence of the risk management personnel.



» Specialised training on operational risk management of the Risk Management Department in 2023

### 3.4.3 Digitalised construction of risk management



The Company further enhances the digitalised construction of risk management, actively facilitates the application of new information technology means, including big data, artificial intelligence and other technologies, in various types of risk management, continuously improves the efficiency of risk management and risk prevention and control capabilities, and continuously strengthens the risk early warning and monitoring capabilities to lay a sound foundation for the Company's stable operation.

In 2023, the Company continued to promote the construction of a risk data mart to expand the scope of data coverage and improve data quality to lay a solid foundation for risk management data analysis and application. The Company optimised the construction of the risk management portal and upgraded the display of the dashboard page to ensure that all levels of the Company keep abreast of the Company's risk dynamics in a timely manner.

## 3.5 Adherence to business ethics

### 3.5.1 Honest employment



The Company stringently complies with the requirements of the Criminal Law of the People's Republic of China (《中華人民共和國刑法》) and other relevant laws and regulations, continuously strengthens the construction of a long-term mechanism for the integrity system, resolutely resists commercial bribery, and establishes a relatively complete "four-in-one" supervisory system of disciplinary supervision, internal control supervision, compliance supervision and auditing supervision through consolidating the responsibility of integrity construction at each level and emphasising the responsible parties, so as to realise the interconnection of responsibilities and smooth pressure transmission to form a sound situation for the concerted efforts of the Company.

In 2023, the Company completed the formulation and amendment of management systems such as the management of honest employment, penalties for non-compliance and management measures for compliance and accountability, and continuously solidified the institutional protection for an honest Guolian. The Company actively organised and participated in honest education activities, such as the “Talks on Honesty (青音話廉)” and the “Selected Famous Teachers, Famous Cases, Wonderful Lessons (三精三名)”, to implement requirements for the building of proper style of work and guide the cadres and employees in establishing a correct outlook on life and values. According to the characteristics and requirements of the industry, the Company has established an honest cultural sub-brand of “Acting

with Honesty (廉正行)” under the “Pioneer · Action 1456 (先鋒 · 行1456)” party building brand system and endeavoured to construct a value system of honest culture with rich connotations covering ideological education, knowledge propagation, institutional constraints and behavioural guidance.



» Honesty cultural sub-brand of Acting with Honesty (廉正行)”

In addition, the Company has actively carried out honest employment training and education, opened various reporting channels such as hotlines and emails, kept strict confidentiality of whistle-blowers and reporting information to form an effective monitoring network and system, and has “zero tolerance” for commercial bribery and commercial corruption. At the same time, to strengthen the construction of professional ethics and enhance staff’s understanding of the relevant provisions on honesty and self-discipline, the Company organised a series of training related to honest employment for members of the Board and all staff, including Training on Honesty and Self-discipline for Employees of State-owned Enterprises (《國有企業員工廉潔自律培訓》), Training on View of Honour and Dishonour for Employees in the Securities Industry (《員工證券行業榮譽觀培訓》) and Training on Honest Culture (《廉潔文化培訓》), and invited our legal adviser to give lectures on the relevant regulations and cases of corruption and bribery crimes in conjunction with the criminal laws and regulations, thereby educating and guiding staff to build up the awareness of honest employment and enhance the self-consciousness of honesty and self-discipline.

Under the regulatory requirements and the Company’s honest employment management, the Auditing Department of the Company incorporates the requirements for and implementation of self-discipline and honest employment into the scope of daily inspections and resignation audit inspections and conducts special inspections of the Company’s honest employment management every year and issues inspection reports. The Auditing Department urges the relevant departments to rectify the problems identified during the inspections to further improve the internal management of honest employment management. In 2023, the Auditing Department inspected 44 branches, 4 departments of the headquarters and 2 subsidiaries for honest employment. The inspections included, but were not limited to, the purchase of gifts, shopping cards, cigarettes and wines with public funds, the splitting of expenses and reimbursement of personal consumption, and the existence of employees who had violated the honest employment standards by using their official authority for personal benefits, engaging in authority and money transactions, keeping private “hidden reserves”, and transferring the business to others privately in contracting business for the Company.





### 3.5.2 Supply chain management



To regulate the Company's procurement conduct, reduce procurement costs, ensure procurement quality and ensure that the procurement is made in compliance with the law and in a synergistic and efficient manner, the Company has formulated the Procurement Management System of Guolian Securities Co., Ltd. (《國聯證券股份有限公司採購管理制度》) and the Rules of Procedures of Procurement Management Committee of Guolian Securities Co., Ltd. (《國聯證券股份有限公司採購管理委員會議事規則》) in accordance with the relevant laws and regulations and in light of the actual situation of the Company.

The Company actively identifies potential suppliers and their related information through multiple channels, not limited to business licences, legal person qualifications certificates, qualifications certificates, basic deposit accounts, quality, environment, safety, occupational health management system certification documents, performance and social reputation. For sectors with high professionalism, large procurement amount, high procurement frequency and full market competition, a "qualified supplier library" will be established through open tendering.

The Company classifies and grades the incoming suppliers, establishes a dynamic management mechanism for qualified suppliers, and requires the execution of honesty agreement. It also blacklists suppliers who have committed various violations of laws and regulations, such as bid rigging, offering bribes, bidding in the name of others, deliberately providing fake and shoddy products, winning tenders by fraudulent means and seriously damaging the environment and disqualifies them from participating in bidding.

### 3.5.3 Anti-money laundering



The Company stringently implements the anti-money laundering responsibilities of financial institutions. According to the Anti-Money Laundering Law of the People's Republic of China (《中華人民共和國反洗錢法》), the Measures for Supervision and Administration on Anti-money Laundering and Counter-Terrorist Financing by Financial Institutions (《金融機構反洗錢和反恐怖融資監督管理辦法》) and other laws and regulations as well as the regulatory requirements, the Company clarified the focuses of anti-money laundering, improved the internal anti-money laundering control system, organised the anti-money laundering in a conscientious manner, improved the anti-money laundering monitoring system and further strengthened the anti-money laundering management and inspection, so as to continuously enhance staff's awareness of anti-money laundering and improve the quality of anti-money laundering. It has also actively

carried out anti-money laundering training and warning education to promote the effective integration of anti-money laundering with the actual business. During the reporting period, a total of six anti-money laundering trainings were organised, covering 2,422,392 attendees.



» Anti-money laundering poster



# 04 FACILITATION OF JOINT DEVELOPMENT BY FOCUSING ON LOCAL COMMUNITIES



## 4.1 Serving rural revitalisation by focusing on the main base of “One Company, One County”

In 2023, the Company continued its involvement in the “Promotion of Rural Revitalisation Public Welfare Action by the Securities Industry (證券行業促進鄉村振興公益行動)”, and continued to focus on the main base of “One Company, One County”, and carried out a series of public welfare, education, ecological, cultural and organisational assistance campaigns in five counties under the pairing assistance, namely, Susong in Anhui, Hezhang in Guizhou, Badong in Hubei, Poyang in Jiangxi and Pingchang in Sichuan, and donated funds to help to purchase teaching equipment for the “Class to Class (班班通)” project for the Tianba Primary School in Hezhang county, the “Enjoying a Sunshine Childhood” project for children in difficulties and the rooftop photovoltaic power plant project in Badong county, the “Youth Education Assistance”, “Qingxin Humiao” and “Rural Revitalization and Youth Contribution (鄉村振興青春建功)” projects in Susong county. The Company initiated the exploration of “Charity + Finance” with Guolian Trust, and contributed RMB1.05 million to establish the first charitable trust focusing on paired assistance and rural revitalisation in Wuxi. It also participated in the “Big Hands Holding Small Hands and Small Hands Hand in Hand (大手牽小手，小手手拉手)” campaign of Guolian Group for paired assistance in Xinjiang, donating books and desk lamps to the children in Aheqi, Xinjiang to promote ethnic unity through cross-region “Heart-to-Heart (聯心)” connections.



» “Big Hands Holding Small Hands and Small Hands Hand in Hand (大手牽小手 小手手拉手)” education assistance programme with paired assistance in Wuxi and Xinjiang

## 4.2 Serving the real economy

Hua Ying Securities, an investment banking subsidiary of the Company, gives full play to its professional advantages and actively empowered the development of the real economy. In 2023, a total of 141 underwriting and sponsorship businesses were completed, including 6 equity businesses and 135 bond businesses, with a year-on-year growth of 36.89% in the number of underwriting in aggregate and a year-on-year increase of 24.54% in the underwriting size of RMB55.537 billion in aggregate.

In 2023, Hua Ying Securities completed 4 IPOs and 2 refinancing benchmark projects successfully, of which the IPO on the ChiNext market of Minami Shares (天键股份) was the first one in the old revolutionary base area in southern Ganzhou, where the central red army started

its long march. The IPO on the Beijing Stock Exchange of Haidaer was the first newly listed company on the Beijing Stock Exchange in Wuxi in 2023, and once again set a new record for the fastest IPO review in Wuxi. The IPO on the Sci-tech Innovation Board of Bescient became the first environmental monitoring company listed on the Sci-tech Innovation Board in the past two years. The IPO on the Beijing Stock Exchange of Keqiang Shares (科强股份) was the first in Jiangyin and the sixth in Wuxi listed on the Beijing Stock Exchange. The refinancing of General Science became the first in Wuxi since the implementation of the comprehensive registration system. The convertible bonds project of CQ INC. (春秋股份) marked the second time in three years that the Company has provided quality services to an issuer for refinancing.



In 2023, through the innovative financing model of inclusive leasing, diversified underlying assets across different sectors, high-quality and highly dispersed underlying assets, as well as the flexibility of the revolving purchasing structure, the Asset Management Department of the Company organised and set up the “Vision Series - 2023 Far Eastern Leasing Phase 2 ABS Scheme (遠見系列-2023遠東租賃二期資產支持專項計劃)”, “Guolian - Haier Leasing Phase 1 ABS Scheme (國聯-海爾租賃1期資產支持專項計劃)” and “Guolian - Haier

Leasing Phase 2 ABS Scheme (國聯-海爾租賃2期資產支持專項計劃)” to provide funding support to micro and small enterprises, helped to resolve their financing difficulties, enhanced their sustainability and long-term stability, assisted the development of the real economy, and promoted the optimisation and upgrading of the economic structure.



## 4.3 Community welfare activities



» Employees of Beijing branch office went to Wanli Village in Fangshan District and donated materials to the village committee



» Party theme day campaign of "Passing on Charity with Clothes for Children (讓愛傳遞 衣暖童心)" by Party General Branch in Beijing of the Company

The Company, together with its employees, actively fulfills its social responsibilities and proactively participates in community public welfare voluntary activities. In August 2023, extreme heavy rainfall occurred in Beijing-Tianjin-Hebei and other places, and the intensity of the regional rainfall process exceeded that of the three extreme rainstorms in the history of Northern China, which was rarely seen in history. Facing the extreme weather, the Company actively motivated its employees to donate RMB250,000 to support flood relief and post-disaster reconstruction in the Beijing-Tianjin-Hebei and North-eastern China region suffering from floods and sent emergency supplies to the affected people in Fangshan District, Beijing. In addition, the Company also actively organised and advocated employees to participate in

clothes donation to the Red Cross and voluntary blood donation, and took part in various voluntary activities such as voluntary lectures at museums and the creation of civilised cities, so as to gather the strength of caring.

In September 2023, Guolian Fund, a subsidiary of the Company, held a series of education assistance activities in Beijing with the theme "Flying Dreams (讓夢想長出翅膀)". Through the Gansu Xinghua Youth Education Assistance Foundation, it provided financial assistance to 100 high school students from poor families in Huachi No. 1 Middle School in Gansu for three consecutive years, helping them to complete their studies successfully.



» Party theme day campaign of "Dedication to the Community" by Beijing branch office



» Charity donation ceremony of "Flying Dreams (讓夢想長出翅膀)" by Guolian Fund

## 4.4 Conducting environmental public welfare activities

The Company organises and encourages its employees to participate in environmental public welfare activities to practise the ecological civilisation concept of respecting and protecting nature. In 2023, Hua Ying Securities, a subsidiary of the Company, actively practised environmental public welfare activities by collaborating with local charitable associations of “One Company, One County” pairing counties to carry out public welfare activities, such as photovoltaic power generation, environmental protection promotion in fishing villages, and improvement of the vegetation coverage of vineyards, supporting the ecological environmental protection practically.

Hua Ying Securities donated RMB30,000 for the rooftop photovoltaic power plant project in Badong County, turning idle rooftops into sunny valleys, which actively echoed the national clean and low-carbon energy



development strategy and at the same time, enabled green and environmental protection industries to become a sunshine industry for enriching the people.



Hua Ying Securities donated RMB50,000 for the ecological assistance project of environmental and health protection in the fishing village of Changshan Village, Poyang County, and organised volunteers to regularly promote the policies

on the human environment in Changshan Village, raising the villagers' awareness of the human environment, and guide the villagers to protect the environment on their initiative, to create a beautiful fishing village.

In addition, Hua Ying Securities donated RMB40,000 for the ecological assistance project of the elderly association of Zhanggong Community in Pingchang County, making full use of idle land and surplus labour to cultivate vineyards in the community, enhancing the ecological vegetation coverage, and effectively integrating the grape industry with eco-tourism and the construction of beautiful villages.

Guolian Fund participated in the ETF theme work collection competition of “Building a Solid Foundation while Practising Inclusive Initial Purpose (厚植實體根基 踐行普惠初心)” carried out by the Shanghai Stock Exchange, with the theme of Protecting Landscapes for Low-carbon Green Development (《守護綠水青山 共啟綠色發展》), which called for maintaining the landscapes with “liquidity”, and was honoured with the award of “Winning Entity for the Most Popular ETF Theme Work (最受歡迎ETF主題作品得獎單位)”.



# 05 SPECIALISED INVESTOR EDUCATION AND ADHERENCE TO PRODUCT AND SERVICE RESPONSIBILITIES







## 5.1 Information security and privacy protection

The Company has always placed information security and privacy protection at the core of its business and continued to carry out information technology audits and account authority audits. Before using the business systems such as Guolian Securities Zunbao APP (尊寶APP) and Guolian Securities Flush APP (同花順APP), the Company displays the privacy policy of customers to its customers and clearly informs them of the Company's use of their information in different business scenarios to reduce the collection and retention of data. The Company has adopted various technical measures, including encrypting customers' sensitive data (e.g. passwords, bank card numbers and identity card information, etc.) during the processes of transmission and use, and implementing desensitization and anonymization measures in the testing environment to protect the privacy information of customers. The Company and external network security institutions have carried out penetration tests, attack and defence drills and other activities to improve the security of the information system to protect the security of customers' information. In addition, the Company actively organized and launched "data security" training that covered all employees, and conducted various trainings on "development security" and "information compliance" for employees of the information technology headquarters. The Company has also adopted an authoritative qualified third-party assessment organization to carry out security certification for Guolian Securities Zunbao APP and Guolian Securities Flush APP to safeguard the privacy security of its customers and to raise the risk prevention awareness of investors.

## 5.2 Development of a national investor education base

The investor education services of the Company abide the principles of long-term, suitability, effectiveness and standardization, and always focus on the guiding spirit of the regulatory authorities and self-regulatory organizations, with innovative thinking, project facilitation, pragmatic implementation and consolidation and improvement, taking the national investor education base as a base, promoting development with investor protection and facilitating services with science and technology. Ensuring investors understand capital market business and various financial products knowledge, establish a decent investment philosophy and enhance investment and wealth management ability; to familiar with the laws and regulations of capital market to strengthen risk prevention consciousness. We will effectively protect the legitimate rights and interests of investors and constantly improve their service quality and standards. At the same time, we will help the social public to understand the securities industry, consciously maintain the financial order of the market, and promote the standardized development of the capital market.





On 8 March 2023, the construction of the new investor education base was completed. It has an area of 636 square meters, divided into the Wuxi Financial Culture and History Museum, business exhibition area, investor protection area, study room, direct broadcasting area, and expert lecture area, with each functional area independent of one another and harmoniously integrated at the same time. In 2023, the Company's investor education base received 74,166 visits, produced 886 original investor education products, distributed 312,402 pieces of physical investor education products, recorded

96,281,344 hits on electronic products, held 928 public welfare investor education activities, completed 20,416 satisfaction survey questionnaires, with more than 99.8% of them being satisfied or relatively satisfied, published 630 promotional articles, graphics and videos through various channels; released 82 teaching materials, classroom materials, games, and other investor education products suitable for school children to promote the inclusion of investor education into national education, and held 176 activities targeting school students.



## 5.3 Specialised investor education and anti-fraud promotion

### 5.3.1 Special investor education



#### “5.15 National Investor Protection Promotion Day”



To advocate a rational investment culture and safeguard the legitimate rights and interests of investors, the investor education base of the Company planned the “5-15 National Investor Protection Publicity Day walking into the investor education base live activity” around the theme, which included experiencing a cup of brewed coffee with knowledge with the anchors, visiting the investor education base of the Company and other activities, with a total of 6,670 people watching online. At the same time, the investor education base compiled 80 phrases around the “registration system” and designed and printed 10,000 portable coffee cups, which were all sold out in that month.

We developed a 515 investor protection walking App of “Comprehensive Registration System, Reform to the Future (全面注册制，改革向未来)” and launched a month-long publicity campaign among ten cities on 15 May, with 22,300 person-times.

Together with the Entrepreneur Photography Association (Shenzhen), it organized the “Beautiful China Dream, Finance Empowers the Real Economy (美丽中国梦·金融赋能实体经济)” national photography exhibition, and selected 50 works to be exhibited at the investor education base of the Company.

#### Find “Future Financier” college financial management competition



The Find “Future Financier” college financial management competition held by Guolian Securities is a financial competition specially designed for university students. It has been held for seven consecutive years and has become a highly recognized and socially influential financial competition for university students. It has been selected as one of the key investor education activities of the CSRC system in 2023-2024. The competition is mainly in the form of simulated fund trading, combining individual and team competitions, and integrating investment theories and practices. It emphasizes the philosophy of asset deployment, advocates the concept of long-term investment, and guides students to enhance their knowledge of investment and financial management in the competition.

The 2023 Find “Future Financier” college financial management competition attracted more than 30,000 students from 650 colleges around the world, with enrolment regions covering 29 provinces and autonomous regions. The competition attracted participation from overseas colleges in Australia, Spain, the United States, and the United Kingdom. The topics of the competition are integrated with practical issues such as the revitalization of villages, the increase of farmers’ income, securing supply and stabilizing prices, dual-carbon, listed companies’ implementation of ESG, and the trend of the RMB exchange rate, are not only of theoretical value but also of practical significance.



### “Extraordinary Music for a Joyful Investment Future (不同凡響 樂投未來)” investor education floral fragrance music festival



The investor education base of the Company held the “Extraordinary Music for a Joyful Investment Future (不同凡響 樂投未來)” investor education floral fragrance music festival targeting the young group. The activity organically integrated a thematic music festival, garden camping, exhibition on the theme of investor education, wealth carnival, and knowledge quiz with prizes, with the 500 online tickets sold out in 3 hours.

### “Little Entrepreneurs” charity fun stalls and fortune bazaar



On 29 July, the investor education base of the Company and the Wuxi Volunteer Alliance for the Disabled jointly held the activity of “Little Entrepreneurs, Charity Fun Stalls (小小創業者, 愛心趣擺攤)” - charity sale public welfare bazaar, with the participation of 90 groups of families, and raised a total of RMB23,000 from the charity bazaar, which was all remitted to the homes for the disabled and disability support organizations in Wuxi to assist the disabled in their careers. Not only had the activity brought a special financial practice class to the children in the form of public welfare, but it also constructed the responsibility and commitment of the Company to actively participate in the public welfare and charitable cause of assisting the disabled, demonstrated the humanistic care and urban warmth of the Wuxi city, and created a denseness atmosphere of “everyone can provide charitable support, and everywhere can provide charitable support”.

### Launching the online Healthy Running for the Prevention Of Illegal Securities

In 2023, the investor education base of the Company launched the “Healthy Running For Promoting The Prevention of Illegal Activities (防非宣傳健康跑)” public welfare activity, which aimed to take healthy running for the prevention of illegal activities as a carrier to remind the general public to be alert to illegal securities and futures activities, convey the concept of rational investment through healthy running, and guard the health and safety of wealth through the promotion of prevention of illegal activities. There were 6,777 registered players for the event and the number of investors who completed the competition covered 245 cities in 32 provinces, municipalities and autonomous regions. During the event period, promotional videos, photos of the event, and works on the prevention of illegal activities were widely disseminated through social network platforms, and the Douyin topic #Investors protection and prevention of illegal activities dou action (投保防非dou行動) was played 1,021,000 times, which had effectively achieved full results in the promotion of prevention of illegal activities.



### 5.3.2 Anti-fraud publicity



The Company further established and improved the anti-fraud and anti-illegal work mechanism, and formed a full chain management of key aspects such as information collection, information dissemination, decision execution, publicity and investor education, and external collaboration. It strengthened the collaboration and joint operation with industry associations and law enforcement departments and promoted the construction of an integrated anti-fraud and anti-illegal management and control regime to safeguard the legitimate rights and interests of investors, and actively fulfills its social responsibilities.

The Company joined hands with the Economic Detection Sub-branch of the Wuxi Public Security Bureau (無錫市公安局經偵支隊) to jointly promote anti-fraud work. On one hand, anti-fraud announcements were repeatedly issued through the Company's official website, official microblogs, online trading clients, customers of mobile trading and other channels, reminding investors to be more vigilant and distinguish between the real and the fake. On the other hand, anti-fraud reminder text messages were sent to investors on many occasions to disseminate knowledge of anti-fraud, which covered a total of 1,122,426 person-times, to expand the coverage of anti-fraud publicity and build up the "wall of anti-fraud prevention" for all people.

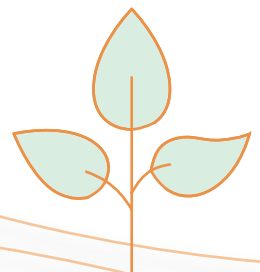
#### Original financial anti-fraud drama "A World Without Fraud (天下無詐)"



From conception to script completion and then rehearsal and polishing, the investor education base of the Company finally launched the original financial anti-fraud drama "A World Without Fraud" on 15 May after nearly half a year of work, which was debuted online and offline at the same time. The drama was one of the key activities of the Jiangsu Securities Association's "5·15 Investment Protection and Anti-illegal into Campus – Entering into Nanjing Audit University (5·15 投保防非進校園—走進南京審計大學)" campaign, which earned the applauds and good reviews of teachers and students, and the film version of the drama was simultaneously broadcasted live at the

investor education base and premiered at the College of Finance and Business. 1,805,207 hits were recorded on various platforms.

In addition, the investor education base of the Company also organised to produce the micro-film "Be Alert To The Temptation Of High-Interest Rates, Prevent The "Black Hand" Of Illegal Fund-Raising From Emptying Your Pockets" (《警惕高利誘惑! 防範非法集資「黑手」掏空你的腰包》). It reveals the relevant practices of absorbing funds in the names of meta-universe, blockchain, virtual currency, and elderly care centers to name a few which are suspected of illegal fundraising, fraud and other illegal and criminal activities. 935,800 online views were recorded on various platforms.



06

BE PEOPLE-ORIENTED AND  
JOIN HANDS WITH EMPLOYEES  
TO BUILD A HARMONIOUS  
CO-OPERATIVE SOCIETY



The Company always adheres to its human-oriented philosophy, continues to promote the construction of market-oriented mechanisms and systems, and constantly improves the human resources management system with its own characteristics. During the process of achieving high-quality self-development, the Company pays attention to the needs of all stakeholders, including employees, and conducts the operation in accordance with the laws and regulations, with an effort to achieve staff happiness, customer satisfaction and social recognition as well as seeking for the sustainable and harmonious development of all stakeholders.

## 6.1 Protecting the rights and interests of employees

### 6.1.1 Protecting the rights and interests of employees



The Company strictly complies with the Labour Law of the PRC, Labour Contract Law of the PRC and other relevant laws and regulations, and has formulated several internal rules and regulations, such as the Remuneration Management System of Guolian Securities Co., Ltd. (《國聯證券股份有限公司薪酬管理制度》), Management Measures on the Training of Guolian Securities Co., Ltd. (《國聯證券股份有限公司培訓管理辦法》), Management Measures on the Attendance and Leave of Guolian Securities Co., Ltd. (《國聯證券股份有限公司考勤與休假管理辦法》) and Management Measures on Overtime of Guolian Securities Co., Ltd. (《國聯證券股份有限公司加班管理辦法》). In 2023, the Company completed the revision of the recruitment system and staff manual in light of the actual business situation to effectively protect the legitimate rights and interests of employees in aspects such as payment of wages, social insurance, healthcare and vacation, labour protection and working environments.

The Company strictly complies with the management policies set out in the relevant standards, rules and regulations prevailing across the world as well as of the country and locations of operation concerning the prevention of child labour or forced labour. The Company prohibits any employment of child labour and forced labour and adheres to normative employment under the laws. If any matters related to violations of the laws and regulations are discovered, the Company will deal with them in strict accordance with the relevant system. During the reporting period, the Company did not have any non-compliance with the relevant standards, rules and regulations prevailing across the world as well as of the country and locations of operation in connection with child labour and forced labour.

#### Working hours and holidays

##### Working hours

The Company operates a standard working hours system in accordance with the relevant national regulations.

Employees who are eligible for special working hours may be subject to a special working hours system upon approval under the law.

Where overtime work is required for work purposes, prior approval shall be obtained under the relevant regulations, and overtime wages shall be paid in full following the law.

##### Holidays

Employees are entitled to national statutory holidays, annual leave, casual leave, sick leave, marriage leave, bereavement leave, work injury leave, parental care leave for single child and maternity leave.

#### Protecting the rights and interests of employees in 2023

##### Labour contract signing rate

100%

##### Social security payment coverage rate

100%

#### Others

- Care for employees in difficulty and provide appropriate assistance;
- Organize lectures on health, safety and other types of knowledge for employees from time to time.

### 6.1.2 Remuneration and welfare of employees



Guided by the concepts of sound operation and sustainable development, the Company integrates the cultural concepts of “compliance, integrity, professionalism and stability” into its remuneration management, and aligns the remuneration of its employees closely with the Company’s economic benefits, the effectiveness of compliance and risk control, as well as the duties and performance of their positions. The salary of the Company’s employees consists of fixed salary, performance bonus, insurance benefits and allowances. The Company continues to optimise and improve its salary system. Fixed salaries are determined on the comprehensive basis of the value of the employees’ positions, professional competence, value contribution and the market salary standard. Performance bonuses are linked to the Company’s operating results and compliance and risk control performance for the year, and are allocated subject to the amount approved by the Board, taking into account departmental performance, individual performance, compliant practice, risk control, honesty in practice, professional ethics, and the building of corporate culture. The Company has effectively implemented the deferred remuneration policy in strict accordance with the requirements of the laws and regulations.

The Company has always concerned about employee health and constantly improved the welfare protection system. The Company also provides employees with statutory social insurance and provident fund in strict compliance with the relevant provisions of state laws and regulations, and supplemented by the corporate annuity plan and supplementary medical insurance to provide employees with more comprehensive welfare guarantee.

### 6.1.3 Employee recruitment and employment



Focusing on the needs of strategic development, the Company continues to introduce outstanding talents in the industry, which provides support for the rapid development of various businesses. Each main business line has basically formed a talent echelon with clear and sound levels of leading talents, backbones and recruits with potential. Through various measures such as focusing on resources to support key business development, it continues to bring in high-quality talents in core areas and emerging businesses, and supports the internal cross-departmental mobility of employees, making its personnel deployment more reasonable.



» Guolian Securities – Tsinghua University social practice base arrangement



The Company continues to deepen the implementation of the performance system through optimizing the assessment system and strengthening employee performance assessment and tracking. It continuously conveys the management requirements focusing on the pursuit of high performance, allowing staff to get promotions or face demotion, be employed or dismissed, and get fair rewards and punishments. At the same time, the Company improves the appraisal mechanism that highlights the connotation of cultural construction and incorporates the special appraisal of cultural construction into the appraisal and evaluation system for organizations and individuals. In addition to quantitative performance indicators and the completion of key tasks, the Company strengthens the examination of business integrity, compliance and honesty, risk management, and the fulfilment of industry and corporate cultural concepts to enhance the application of soft cultural indicators. Through the appraisal mechanism that emphasizes both incentives and constraints, the Company further builds a corporate culture of competing for the top position and getting fair rewards and punishments.

In 2023, the Company proactively responded to the national call for promoting employment by intensifying campus recruitment of fresh graduates and providing more employment positions, with a total of more than 260 fresh graduates employed throughout the year. The Company strengthened in-depth exchanges and cooperation with various colleges and universities through the establishment of practice bases, the provision of internship opportunities, the launch of school lectures, the organization of career planning seminars, the launch of scientific research projects, etc., to nurture the development of talents and assist students in their future paths. The

collaborative project aimed at doctoral students of the School of Economics and Management of Tsinghua University during the summer vacation is innovative and practical, which is a brand new attempt of the Company to attract and nurture talents. The contents of the project were mostly related to the bottlenecks in the current business development of the Company. The doctoral students participating in the project helped the Company to develop new business ideas by applying solid fundamentals and innovative thinking, which presented satisfactory project results, and achieved a win-win situation for the university, the Company and the students.



» 2024 Campus Lectures – Wuhan University special session



» Joining hands with college student financial festival in Jiangsu province to open a direct path for financial intelligence education and talent recruitment

#### 6.1.4 Workplace equality and diversity



The Company respects and treats the diverse backgrounds of its employees fairly and provides them with equal opportunities. It firmly opposes discriminatory restrictions on ethnicity, religion, gender, geography, age, etc., in recruitment, and realizes diversity in age, race, ethnicity and professional background.

The recruitment management system of the Company specifies that recruitment should follow the following principles: (1) Principle of equal opportunity: When there is a position demand in the company, qualified employees within the Company shall enjoy the same opportunity to apply for the position as external applicants. (2) Principle of fair competition: The Company treats all applicants equally, ensures open, fair and equitable treatment, and explicitly protects the principle of equal employment rights. Applicants are not discriminated against as a result of their ethnicity, race, gender, or religious beliefs. (3) Principle of comprehensive evaluation: Candidates will be evaluated comprehensively in terms of their moral character, educational background, post-experience, physical and mental health, and post-competence. (4) Principle of recruiting the best candidates: According to the requirements of the position, and based on the actual situation of the position, the most suitable candidates for the position will be selected and recruited after passing a scientific and rigorous examination.

The Company attaches importance to gender diversity among its employees. As of the end of the reporting period, the proportion of male employees and female employees (including senior management) of the Company was approximately 52.20% and 47.80% respectively. The employees (including senior management) of the Company have reached gender diversity, and the Company will continue to implement measures to support gender diversity among its employees.

The Company attaches importance to the ethnic diversity of its employees, and as of the end of the reporting period, the proportion of employees from ethnic groups of the Company was 2.73%.

## 6.2 Development and training of employees

By focusing on strategic planning, cultural building and the development needs of employees' career, the Company has continued to build a multi-dimensional and multi-level talent development system. With the continuous optimisation of the business training system, and the ongoing development of professional training such as "potential star (潛力星)" and "energy star (能量星)", the Company has effectively enhanced the professional and business development capabilities of key business backbones in wealth management, financial market, asset management and financial technology. The Company has developed talents by levels and categories, organises to develop online learning programmes for new employees, new recruits training camps, and morning star (啟明星) training to accelerate the integration of new employees and the development of their professional skills. The Company has organised reserve talents and middle-level leadership cadres to participate in "pilot star (領航星)" and team leadership empowerment training, with a view to enhancing their management thinking and leadership standards. The Company has organised to conduct training for secretaries of grassroots Party organisations and Party cadres to enhance their competence and facilitate the integration of Party building and business. The Company has also continued to carry out special training on professional ethics, honest employment, compliance and risk control, safety management, etc., to enhance risk prevention awareness, practice the concept of honour and shame in the industry, and regulate conduct in practice, so as to effectively assist the Company's business in complying with the regulations and stable development.

In 2023, the Company organized and launched 10 talent cultivation projects, and held a total of 26 various offline training sessions, with over 4,000 person-time receiving training.

In 2023, the Company organized employees participating in 111 training sessions held by industry associations, exchanges and other external units, with a total of 190 person-time received training.

The E-Learning learning platform has launched a total of 57 new courses online during the Year, with a total of over 10,000 person-time across the Company participating in online learning. The platform recorded a monthly average of 1,491 people learning, a monthly average of 3,146 hours of online learning (excluding follow-up training of professional qualifications), and a yearly per capita learning of 45 online courses.

### New recruits training camps



In 2023, the Company organized two sessions of new recruits training camps, with a total of 320 participants from Guolian Securities and its subsidiaries. The training, which was managed under a closed mode format and lasted for 8 days each, covered three major modules, namely business empowerment, workplace empowerment and team integration, which demonstrated clearly the Company's business panorama to new recruits to empower their vocational qualities and accelerate their role integration.

### A series of training for the wealth stars – pilot star training

In 2023, the Company organized the Pilot Star series of advanced training courses on strategy management of performance in wealth management business, as well as special Party courses on the establishment of a clean and honest Party, aiming to further enhance the strategic knowledge of management staff on wealth management business, unify the Company's concepts of the development of the wealth management business, and at the same time, strengthen the party spirit of every cadre.



### Team leadership empowerment training



In 2023, the Company organized and launched two sessions of team leadership empowerment training, with the curriculum covering three modules, namely team integration, cutting-edge vision, and management and leadership, and the scope of trainees covering relevant line managers of the headquarters, branches and subsidiaries. A total of 114 trainees attended the two sessions of trainings.

## 6.3 Production safety and employee health

### 6.3.1 Production safety



The Company strictly implements its safety production management system and fire safety management system in taking special actions to identify and rectify potential safety hazards. According to the characteristics of the securities industry, and with customer safety and information security as the main focus, the Company stresses on strengthening the identification of hidden dangers in the aspects of basic safety production, information system security operation, electrical lines and equipment, fire control facilities and equipment, safe evacuation passageway, door head advertising, project safety, etc. to effectively prevent and control safety accidents. The Company carries out traffic safety education activities to guide employees to raise traffic safety awareness, strictly abides by traffic safety rules, and prohibits all kinds of traffic violations. The Company firmly adheres to working on shifts during holidays and strengthens safety patrol inspection. The Company has maintained safe and stable operation for a long time, and no major safety accidents have occurred in the past three years.

### 6.3.2 Health and activities of employees



The Company highly cares for the health of its employees and attaches great importance to strengthening health protection. It organizes regular physical health examinations for employees and specialized physical examinations for female employees to protect the legitimate vacation rights and benefits of its female employees during pregnancy, labour and lactation period. The Company offers dormitories for eligible employees. The headquarters of the Company have canteens, pantries, lounges, staff activity centers, book reading centers, sports and fitness and other service venues, striving to provide a healthy and safe working environment for our employees.



Following the Management Measures on the Labour union funds of Guolian Securities Co., Ltd (《國聯證券股份有限公司工會經費管理辦法》) and the Management Measures on the Charity Fund of Guolian Securities Co., Ltd (《國聯證券股份有限公司愛心基金管理辦法》), the Company helps employees to solve their living difficulties, lets them feel the care and warmth of the labour union at all times. In 2023, the labour union of the Company and the various branches actively organized a variety of cultural and sports activities such as investor hiking activities, Guandan (擲蛋, one of the poker games) competition, flying disc games, and football matches among the financial systems, which greatly enriched the leisure cultural life of the employees. In addition, the labour union of the Company organized aroma stone of eternal flowers activity on Women's Day and the "Xixin Health Care, Serving Her Strength (錫馨護健康·服務她力量)" activity to care for the health of female workers. Given the trend that common office diseases and sub-healthy people are increasing, and that cervical spondylosis, lumbar spondylosis and muscular strain disease have gradually become occupational diseases, the labour union organized the health consultation and adjustment activities of "Bring Health to the Company, Warming Every Staff (健康到企業, 溫暖你我他)", and invited doctors from the Institute of Traditional Chinese Medicine to give health advises at the workplace, and provided moxibustion (艾灸), Gua sha (刮痧), Tui na (推拿) and other physiotherapy treatments for a total of 190 workers, which were widely appraised by the workers.

These activities enriched the business life of staff at all levels and created a good working atmosphere of "unity, tension, seriousness and liveliness". By organizing a series of cultural and sports activities that were popular among staff, we aim to enhance the communication and exchanges between headquarters and branch offices as well as among branch offices, improve the fraternity and interaction among staff, and motivate them to give full play to the spirit of competing in sports to make new and greater contributions to the advancement, innovation and transformation of Guolian Securities.



» The 2nd "Guolian Securities Cup" honor of kings e-sports competition



» Competing for the champion, wisdom helps to win – Guolian Securities Guandan (擲蛋) competition



» First prize in Wuxi City financial system futsal football tournament

07

ASSISTANCE TO  
“DUAL-CARBON”  
GREEN DEVELOPMENT



## 7.1 Green operation practice

The Company is fully aware of its environmental responsibilities during the development process and abides by the Environmental Protection Law of the People's Republic of China, the Energy Conservation Law of the People's Republic of China, the Water Pollution Prevention and Control Law of the People's Republic of China, the Air Pollution Prevention and Control Law of the People's Republic of China, the Solid Waste Pollution Prevention and Control Law of the People's Republic of China and other laws and regulations, and continues to practice the concept of sustainable development in its day-to-day activities.

In 2023, the Company reviewed the four environmental performance targets that were set, and the achievements were as follows:

### Four environmental performance targets

### Achievement in 2023

#### GHG Emissions Target:

The GHG emissions intensity of the Company has reached a relatively low level and is decreasing year by year. The Company aims to maintain the same emission intensity level as 2019 in the future.

Target achieved

#### Energy Efficiency Target:

The energy consumption intensity of the Company has reached a relatively low level and is decreasing year by year. The Company aims to maintain the same intensity of energy used level as 2019 in the future.

Target achieved

#### Waste Reduction Target:

The Company is a financial enterprise focusing on business office affairs and with low energy consumption and light pollution. The non-hazardous wastes are mainly domestic wastes and construction wastes due to securities branches decoration. The hazardous wastes are mainly ordinary dry cells and UPS batteries, which are all wastes that will inevitably be produced in daily operations. In future, the Company will continue to reduce waste produced by business operations in a responsible manner.

Target achieved

#### Water Efficiency Target:

The water consumption intensity of the Company has reached a very low level. The Company aims to maintain the same intensity of water consumed level as 2019 in the future.

Target achieved

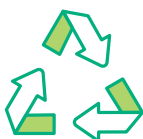
## 7.2 Low-carbon operation practice

The Company is committed to building a green enterprise, investing in green innovation and transformation from the top down, implementing energy-saving and carbon reduction measures from the inside out, and injecting low-carbon concepts into its operation and management mechanism. Our energy consumption mainly comes from electricity and a small amount of natural gas that is consumed in daily operations, and gasoline that is consumed by our official vehicles. Material consumption is mainly the papers used in the office process. The water resources consumption mainly comes from the office sector where we use municipal tap water as the main source, and there is no problem in sourcing water for this purpose. In this regard, the Company has formulated The Management Measures for the Headquarters Office Area (《公司總部辦公區管理辦法》) and requires all departments and divisions to conform, so as to improve the utilization efficiency of energy and resources. During the reporting period, the Company further optimized various measures and implemented resource-saving actions in all aspects of operations.



### Energy Conservation and Consumption Reduction

The Company purchases LED energy-saving lighting to replace old energy-consuming lighting in office premises. Independent switching and control of electrical installations in office premises are set to reduce unnecessary electricity consumption. The Company requires employees to turn off lights and computers in time during non-working hours. The printers, projectors and other equipment shall be set to automatic power-off mode when not in use. The Company also arranges security guard patrolling to ensure all idle electrical appliances are turned off. It also encourages employees on lower floors not to use elevators, and use water-saving taps and toilets in the washrooms to effectively save water and electricity. The data center uses high-efficiency and energy-saving UPS power supplies, high-voltage water-cooled centralized air conditioning systems and hyper-converged architectural solutions to replace traditional physical machines to reduce energy consumption.



### Resources Recycling

The Company encourages the use of idle assets and equipment in the system to reduce new purchases and decrease resources consumption. The used printer cartridges are sent to supplier for adding toner/ink for recycling to reduce the generation of discarded cartridges. Employees are encouraged to recycle folders, envelopes and paper bags. It requires employees to print on both sides and reuse the single-side used paper. It also places waste paper recycling boxes in public areas of the premises to maximize waste paper recycling.





### Paperless Office

The Company makes effective use of information technology to practice green office through active promotion of paperless meetings, affairs and business and other measures. Most of the meeting materials are transmitted or displayed in the form of electronic documents, and employees are encouraged to send internal documents by email and Office Automation System, not only will this improve work efficiency, but also reduce paper consumption as well as other energy consumption. A multi-channel electronic trading platform including mobile phones and tablets is constructed to implement online self-service, thereby reducing paper consumption.



### Low-carbon Travel

The Company encourages employees to commute by transportation, bicycle or on foot, so as to reduce the use of private cars. The Company encourages employees to give priority to the purchase of new energy vehicles, has installed charging poles in the premises to meet employees' charging needs. The Company also installs video and telephone conferencing systems and encourages employees to learn and train using the E-learning system to reduce business travel.



### Green Procurement

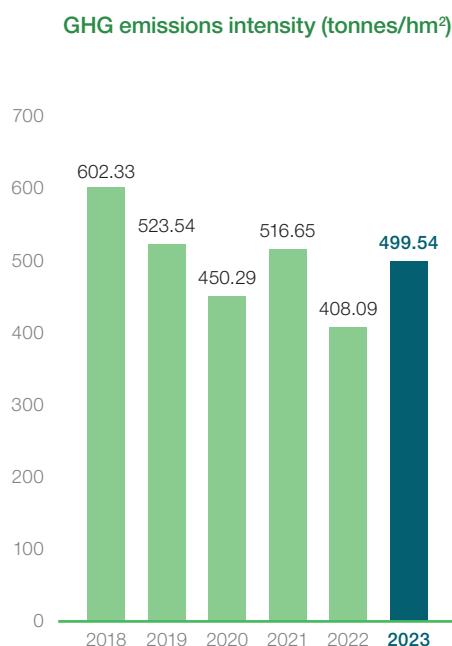
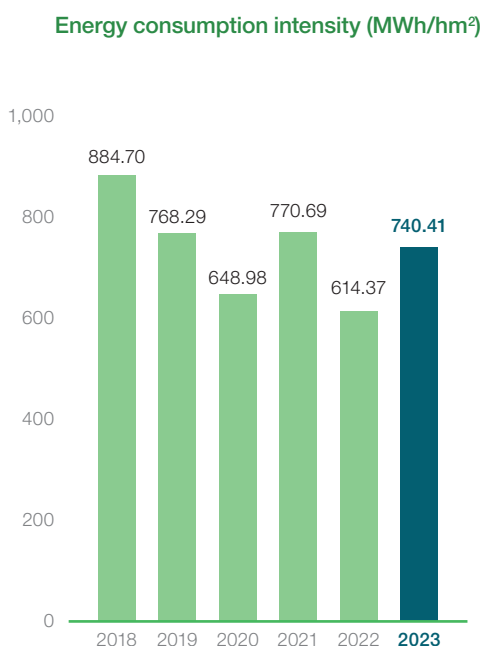
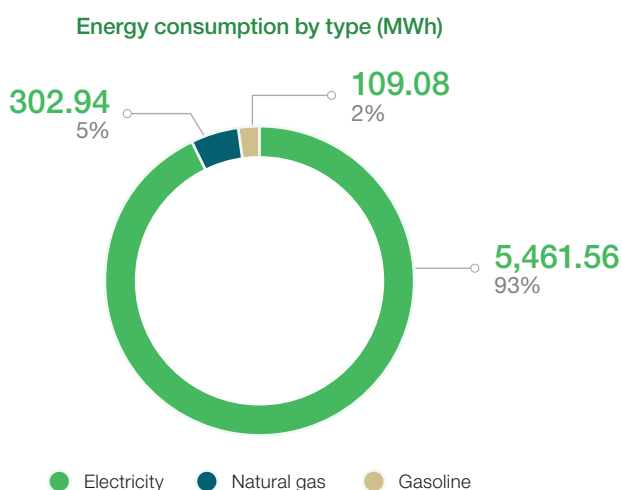
The Company adopts an environmentally-friendly perspective for office renovation and daily supplies, gives priority to suppliers with reliable quality, energy-saving, high-efficiency and green concepts, and advocates the use of FSC-certified papers.



### Promotion for Environmental Protection

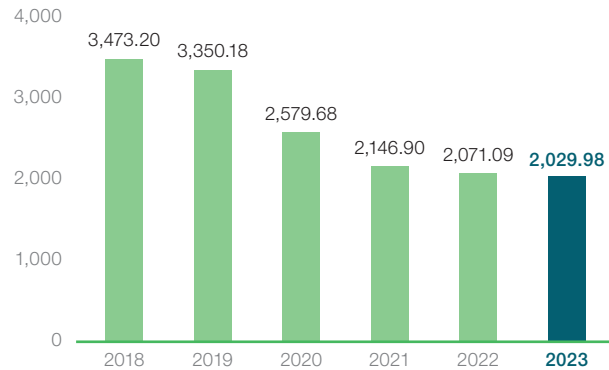
The Company posts related promotional slogans at the taps and water dispensers to raise awareness of water conservation. At the same time, a specific column is set up to report the practical activities of the Company and its employees in low-carbon environmental protection, and conduct environmental protection education and publicity. The Company regularly promotes the concept of energy conservation and environmental protection to its employees through emails.

In 2023, the Company consumed 5,873.58 MWh of energy, of which electricity accounted for 93% of total energy consumption and natural gas and gasoline accounted for 7%, with energy consumption intensity continuing to maintain the 2019 levels. Total GHG emissions equivalent was 4,052.43 tonnes, of which Scope 1 GHG emissions were 89.65 tonnes and Scope 2 GHG emissions were 3,962.78 tonnes. Compared with 2022, the total energy consumption and total GHG emission equivalent increased, which were mainly due to the expansion of the scope of the disclosed entities and the resumption of offline operation after the epidemic in 2023, which increased the number of people and days of working in office. The Company continued to implement the electronic signatory system to promote paperless office work, with a total of 12.79 tonnes of office papers consumed in 2023.



The Company pays attention to raising employees' awareness of water conservation, posting water conservation slogans, choosing water-saving taps, conducting pressure testing for 24 hours after pipe laying to avoid water running, overflowing, dripping and leaking, as well as carrying out regular inspection and maintenance works of pipelines and water-using equipment to eliminate ongoing running water and water leakage, so as to reduce water wastage as much as possible. In 2023, the Company consumed 16,103.48 tonnes of municipal water, and the water consumption intensity continued to remain at an extremely low level.

**Water consumption intensity (tonnes/hm<sup>2</sup>)**

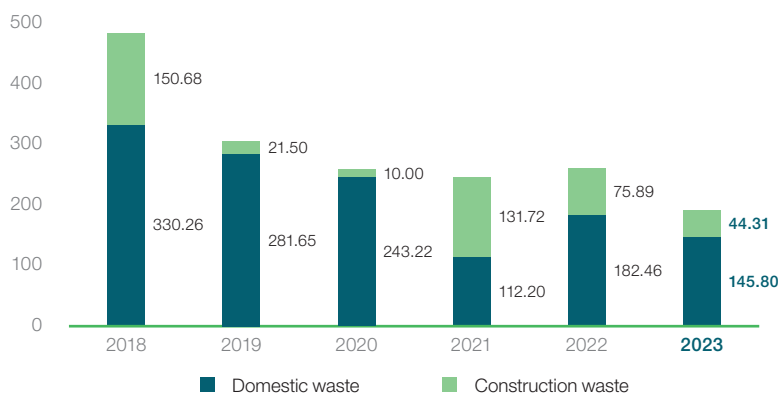


### 7.3 Emission management enhancement

As a financial services institution, the Company's main operating venues include securities branches and offices, which do not involve the discharge of industrial wastewater and exhaust gas during their business operations. The impact on the environment is relatively less than that of other industries, and there have been no environmental-related complaint cases.

The non-hazardous wastes generated by the Company are mainly domestic wastes and construction wastes due to securities branches decoration. The domestic wastes are sorted by the property management company and domestic sewage is processed through the municipal sewage network system. The construction wastes are properly disposed of by the constructors to ensure no dump of garbage and reduce the impact on neighbouring areas. The Company continues to promote the use of an online transaction system, encourages employees to reduce the use of disposable items and bring their own lunch, as well as posting slogans related to taking what they can eat and waste separation in the canteen to raise employees' awareness of environmental protection. In 2023, the Company generated a total of 145.80 tonnes of domestic waste and 44.31 tonnes of construction waste.

**Non-hazardous waste emissions by type (tonnes)**



The only hazardous wastes that the Company produces are batteries, which are mainly ordinary dry cells and UPS batteries. The ordinary dry cells are recycled by the property management company while the UPS batteries which are expired for replacement are specifically recycled by the vendors. In 2023, the Company produced 5.92 tonnes of hazardous wastes, representing a significant increase as compared with 2022 as the Company replaced partial UPS batteries which expired in 2023.

## 7.4 Proactive response to climate change

The Company attaches great importance to taking effective action to climate change throughout the operation process, formulated systems such as the Overall Emergency Response Plan for Contingencies (《突發事故應急處置總體預案》) and Emergency Response Plan for Earthquake (《防震應急預案》), as well as an efficient emergency information reporting process to implement relevant responsibilities, and ensure that accident response measures can be implemented in a timely manner. In response to extreme weather such as typhoons, thunderstorms and heavy rainfall, it issued the Notice on Strengthening Production Safety in Flood Seasons (《加強汛期安全生產工作的通知》) during the flood season each year, requiring branch offices and securities branches to implement a thorough production safety inspection and step up remedial measures on electrical circuit safety, special equipment, and potential dangers of water accumulation at entrances and exits to minimize the impact on business operations and personal safety.

The Company also regularly assesses the impact, risks and opportunities brought about by climate change to enhance its business resilience. Following the guidelines of the Climate-related Financial Disclosures (TCFD), it first identified potential climate risks and opportunities, then assessed the impact extent and timeframe in the light of the actual situation of the Company, and finally examined the corresponding climate strategies and countermeasures. It identified a total of 5 climate-related risks and 4 climate-related opportunities.



## Climate Risk Analysis

Risk Type	Risk Description	Timeframe	Countermeasures
Transition Risks	<p><b>Policies and Regulations</b></p> <p>Following the continuous release of climate-related policies, such as the HK Stock Exchange requires companies to make mandatory disclosure of climate-related information in accordance with the TCFD recommendations from 2025. Failure to take timely action to meet these disclosure requirements may result in more stringent regulatory penalties.</p>	Medium-term	Continue to pay attention to relevant domestic and foreign policies and regulations, and strive to rectify non-compliant disclosures and enhance the transparency of information disclosure.
	<p><b>Reputation</b></p> <p>If the Company fails to implement its own climate strategy, or if its invested enterprises trigger environmental pollution incidents, it may bring negative reputation to the operations of the Company.</p>	Medium-term	<ul style="list-style-type: none"> <li>Implementing various energy-saving and carbon-reduction measures to shape a green corporate image.</li> <li>Enhancing the auditing of investment and financing enterprises on ESG aspects such as emissions, energy consumption and environmental compliance.</li> </ul>
	<p><b>Market</b></p> <p>Under the guidance of the national “3060” dual-carbon policy, investors are paying increasing attention to green finance. If the Company fails to actively develop products and services related to green finance, it will face the risks of customer loss and reduced market competitiveness.</p>	Short-term	Actively innovate and develop green financial product systems and service solutions to enrich the market supply of green financial products.



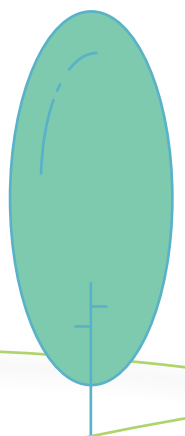
Risk Type	Risk Description	Timeframe	Countermeasures
Physical Risks	<p><b>Acute Physical Risk</b></p> <p>Extreme weather events such as typhoons, heavy rainfall and floods may disrupt the operations of the Company, which in turn may affect business continuity.</p>	Short-term	<ul style="list-style-type: none"> <li>Increasing catastrophe insurance coverage to minimise asset losses.</li> </ul>
	<p><b>Chronic Physical Risk</b></p> <p>Rising sea levels due to an increase in global average temperatures may result in damages to the business locations, data centres or investment assets of the Company, which in turn may affect business continuity and financial stability of the Company.</p>	Long-term	<ul style="list-style-type: none"> <li>Incorporating physical risks into the evaluation factors for choosing business locations and asset investment.</li> <li>Establishing an off-site backup mechanism for important data.</li> </ul>

### Climate Opportunity Analysis

Opportunity Type	Opportunity Description	Timeframe	Countermeasures
Market	The rising demand for green financial products in the capital market will help the Company to expand into new business growth regions and boost operating income.	Medium-term	Continue to pay attention to the national “dual-carbon” policy, improve the green financial service system and play a leading role.



Opportunity Type	Opportunity Description	Timeframe	Countermeasures
<b>Products and Services</b>	Through the research and development of green financial products and the provision of financial services to customers in green industries such as energy conservation and environmental protection, clean energy, etc., we can satisfy investors' demand for green finance and enhance our operating income.	Short-term	Actively innovate green financial products, such as the issuance of green ABS products, and promote green equity investment and financing businesses.
<b>Energy Use Efficiency</b>	Through the use of renewable energy, switching to energy-saving equipment and the introduction of energy management systems, the efficiency of energy use can be enhanced and reduce operating costs.	Long-term	<ul style="list-style-type: none"> <li>• Office premises are switched to energy-saving lamps and water-saving equipment.</li> <li>• Recycling of office supplies and facilitation of paperless office.</li> <li>• Adoption of energy-efficient UPS power supply and high-pressure water-cooled centralised air-conditioning system in data centres.</li> </ul>
<b>Resilience</b>	Ensuring stable service delivery across all businesses builds customer trust and enhances customer loyalty.	Medium-term	Conducting emergency drills regularly to enhance the capability of business continuity management.



## 7.5 Green finance development

In addition to its own low-carbon operation, the Company, as a financial institution relied upon by the community, shoulders its social responsibility in green finance and is committed to supporting green industries through funding. It has launched green financial solutions for different business sectors with a wide range of innovative and differentiated products and services to facilitate the low-carbon transformation of the entire industry.



In 2023, Hua Ying Securities, an investment banking subsidiary of the Company, completed 3 green bonds with a total underwriting amount of RMB675 million. The green bond of Weinan City Investment Group Co., Ltd. (渭南市城市投资集团有限公司) (“23 Weinan Green Bond”), for which Hua Ying Securities acted as joint underwriter, was the first green corporate bond in the central and western regions in 2023. This Green Bond enhanced the prevention of urban pollution and efficient use of water resources in Weinan City, and actively promoted the sustainable economic and social development and green and low-carbon transformation of Weinan City. Hua Ying Securities acted as lead underwriter of Jingmen City Urban Construction Investment Holding Group Co., Ltd. (荆门市城市建设投资控股集团股份有限公司) in relation to the non-public issuance of green corporate bonds (first phase) (“G23 Jingmen 1”) to professional investors in 2023. The proceeds raised are mainly used for borrowings for the construction of the Third Hubei (Jingmen) Garden Expo Project (湖北省第三届(荆門)園博園項目), which is of great significance to the promotion of ecological civilisation, inheritance of the Jingchu culture, introduction of technological innovation, expansion of industry exchanges, demonstration of gardening art and facilitation of industry development, and is conducive to the creation of Jingmen as a national eco-gardening city and improvement of the functions of the city and

the ecological system. Hua Ying Securities acted as lead underwriter of Wuxi City Culture and Tourism Development Group Limited (無錫市文化旅遊發展集團有限公司) concerning the non-public issuance of corporate bonds (“G23 Xilv 2”) to professional investors in 2022. The proceeds raised are mainly used for the construction of the Meiliang Lake Bay Area Scenic Area Renovation and Upgrading Project (梅梁湖灣地區景區改造升級項目). Upon completion of the project, it will be able to improve the air quality, regulate the climate of the region, create a high-quality eco-environment, and promote the sustainable development of the region in a green and sustainable manner. It will improve the habitat and raise the standard of living of the people, and be favourable for the development of the tourism industry to improve the living standards of local people.

Moreover, the Company also relied on the capital market to actively promote the green equity investment and financing business. In 2023, the Company provided financing services for enterprises in the aspect of new energy and environmental protection with a total of RMB360 million through the stock pledged financing business. Guolian Chuangxin, another subsidiary of the Company, completed the follow-on investment in the project of Bescient Technologies, which principally engaged in intelligent environmental monitoring and public safety big data. Intelligent environmental monitoring business mainly includes the research and development, production, sales, operation and data services of instruments and systems for environmental water quality monitoring, sewage and wastewater monitoring, environmental air monitoring and flue gas monitoring. The products are widely used in government departments, institutions and enterprises with environmental monitoring needs, such as environmental protection, water conservancy and water affairs, and municipal administration.



## Appendix Key Performance Table

### Economic Performance

#### Economy

Indicator	Unit	2023
Total assets	RMB100 million	871.29
Operating income	RMB100 million	29.55
Basic earnings per share	RMB/share	0.24
Social contribution value per share	RMB/share	1.25

Note 1: The data in this table was calculated from the consolidated financial statement prepared by the Company under PRC GAAP or by the data in the foregoing statements.

Note 2: Social contribution value per share = basic earnings per share + (taxes generated by the Company for the country during the year + salaries paid to employees + interests on borrowings paid to banks and other creditors + the amount of value created for other stakeholders including social donations - other social costs caused by issues such as environmental pollution)/the total number of issued shares of the Company.

### Social Performance

#### Anti-corruption

Indicator	Unit	2023
Times of anti-corruption education publicity	times	3
Number of employees participating in anti-corruption and anti-money laundering education	employees	1,750
Average hours of anti-corruption education per employee	hours	3.5
Times of disciplinary inspection and supervision business training	times	2
Number of employees participating in disciplinary inspection and supervision business training	employees	231
Total hours of disciplinary inspection and supervision business training	hours	4

Note 1: The statistical caliber of data was the special training on integrity organized by the compliance department of Guolian Securities.

#### Compliance Management

Indicator	Unit	2023
Number of anti-money laundering training sessions	times	6
Number of employees participating in anti-money laundering training	employees	2,422,392
Times of compliance publicity	times	32
Number of employees participating in compliance education	employees	2,500

Note: The statistical caliber of data was the parent company of Guolian Securities. The number of employees participating in anti-money laundering training and the number of employees participating in compliance education were conservative estimates, and the actual figures are higher than those in the table.

## Employment

Indicator	Unit	2023
<b>Total number of employees<sup>1</sup></b>	employees	3,586
<b>Among which: (by work location)</b>		
Within Jiangsu Province	employees	1,517
Outside of Jiangsu Province	employees	2,069
<b>Among which: (by labour contract type)</b>		
Indefinite term	employees	878
Fixed term	employees	2,708
<b>Among which: (by age group)</b>		
<30	employees	954
30-50	employees	2,443
≥50	employees	189
<b>Among which: (by gender)</b>		
Male	employees	1,872
Female	employees	1,714
<b>New employees during the reporting period</b>	employees	1,004
<b>Number of employees from ethnic groups</b>	employees	98
<b>Number of employees with disabilities</b>	employees	1
<b>Employee turnover rate during the year<sup>2</sup></b>	%	15.64
<b>Among which: (by gender)</b>		
Male	%	16.40
Female	%	14.82
<b>Among which: (by age group)</b>		
<30	%	27.36
30-50	%	11.95
≥50	%	4.23
<b>Among which: (by work location)</b>		
Within Jiangsu Province	%	13.65
Outside of Jiangsu Province	%	17.11

Note 1: The statistical caliber of data was within the scope of consolidated statements.

Note 2: Employee turnover rate of a particular type = the number of employees of the particular type who left/the total number of employees of the type.

## Employee Health and Safety

Indicator	Unit	2023
Number of work-related fatalities	employees	0
Work-related fatalities rate	%	0
Lost days due to work injury	days	139
Employee safety training organised	times	4

Note 1: The statistical caliber of data was the parent company of Guolian Securities.

Note 2: Work-related fatalities rate of employees = number of work-related fatalities of employees/total number of employees.

## Employee Training

Indicator	Unit	2023
Employee training coverage rate <sup>2</sup>	%	100
By gender		
Male employees trained	employees	1,349
Male employees' training coverage rate	%	100
Female employees trained	employees	1,329
Female employees' training coverage rate	%	100
By types of employees		
Primary-level management and ordinary employees trained	employees	2,519
Primary-level management and ordinary employees' training coverage rate	%	100
Middle and senior management trained	employees	159
Middle and senior management training coverage rate	%	100
Annual average training hours per employee <sup>3</sup>	hours	55
By gender		
Average number of training hours received by male employees	hours	53
Average number of training hours received by female employees	hours	58
By types of employees		
Average number of training hours received by primary-level management and ordinary employees	hours	55
Average number of training hours received by middle and senior management		64

Note 1: The statistical caliber of data was the parent company of Guolian Securities.

Note 2: Employee training coverage rate of a particular type = the number of employees of the type participating in training/the total number of employees of the type.

Note 3: Average number of training hours of a particular type of employee = total number of training hours of the particular type of employee/total number of employees of the type.

## Customer Services<sup>1</sup>

Indicator	Unit	2023
Number of customer consultation <sup>2</sup>	customers	188,911
Customer satisfaction surveys conducted	times	312,107
Customer satisfaction	%	91.12
Number of customer complaints <sup>3</sup>	cases	15
Complaints handling rate	%	100

Note 1: The statistical caliber of data was the parent company of Guolian Securities.

Note 2: Inbound service volume of customer service center, manual online service volume and intelligent robot service volume.

Note 3: Number of customer complaints received and accepted, excluding the number of withdrawn complaints.

## Community Investments

Indicator	Unit	2023
Purchase of agricultural products in low-income regions <sup>1</sup>	RMB10,000	109.80

Note 1: The statistical caliber of data was the parent company of Guolian Securities. The purchase of agricultural products in low-income regions included agricultural special products purchased from Xinjiang, Qinghai, Shaanxi and other poor villages in the county in need.

## Environmental Performance

Indicator	Unit	2021	2022	2023
Total GHG emissions equivalent <sup>1</sup>	Tonnes	4,283.77	3,198.04	4,052.43
GHG (Scope 1) emissions equivalent	Tonnes	84.92	73.71	89.65
GHG (Scope 2) emissions equivalent	Tonnes	4,198.85	3,124.33	3,962.78
GHG emissions intensity	Tonnes/hm <sup>2</sup>	516.65	408.09	499.54
Total waste air emissions	Tonnes	N/A	N/A	N/A
Total hazardous waste emissions	Tonnes	0.01	0.43	5.92
Hazardous waste emissions intensity	Tonnes/hm <sup>2</sup>	0.0014	0.05	0.75
Total non-hazardous waste emission	Tonnes	243.92	258.35	190.11
Domestic waste	Tonnes	112.20	182.46	145.80
Construction waste	Tonnes	131.72	75.89	44.31
Non-hazardous waste emissions intensity	Tonnes/hm <sup>2</sup>	29.42	32.97	23.96
Water consumption (municipal water)	Tonnes	17,801.06	16,230.31	16,103.48
Water consumption intensity	Tonnes/hm <sup>2</sup>	2,146.90	2,071.09	2,029.98
Total energy consumption <sup>2</sup>	MWh	6,390.14	4,814.56	5,873.58
Electricity consumption	MWh	5,998.59	4,475.60	5,461.56
Natural gas consumption	MWh	293.38	250.16	302.94
Gasoline consumption <sup>3</sup>	MWh	98.17	88.80	109.08
Energy consumption intensity	MWh/hm <sup>2</sup>	770.69	614.37	740.41
Paper usage	Tonnes	9.62	9.92	12.79

<sup>1</sup> Scope 1 GHG was calculated based on the default value of common fossil fuel characteristic parameters issued by the National Development and Reform Commission of the People's Republic of China; Scope 2 GHG was calculated based on the average carbon dioxide emission factor of China's regional electric grid issued by the National Development and Reform Commission of the PRC.

<sup>2</sup> Energy consumption coefficient refers to the national GB/T2589-2008 General Principle of Comprehensive Energy Consumption Calculation (《GB/T2589-2008综合能耗计算通则》).

<sup>3</sup> Gasoline consumption in 2021 and 2022 was added to reflect the real situation of total energy consumption and greenhouse gas emission equivalent more accurately.

## Reporting Standards Index Table

Guidelines No. 1 for the Self-regulation of Listed Companies on the Shanghai Stock Exchange - Standardized Operation

Disclosure Requirements	Section Index
8.1	3.5 Adherence to business ethics 4.3 Community welfare activities 4.4 Conducting environmental public welfare activities 6.1 Protecting the rights and interests of employees 7.1 Green operation practice
8.2	3.3 Ensuring compliance operation 3.4 Enhancement of risk management 3.5 Adherence to business ethics
8.3	3.5 Adherence to business ethics 6.1 Protecting the rights and interests of employees 6.2 Development and training of employees 6.3 Production safety and employee health
8.4	Key Quantitative Performance Table
8.5	Complied
8.6	4.3 Community welfare activities 6.3 Production safety and employee health 7.2 Low-carbon operation practice 7.3 Emission management enhancement
8.7	3.2 Optimisation of corporate governance 5.1 Protecting the rights and interests of employees
8.8	7.1 Green operation practice 7.2 Low-carbon operation practice 7.3 Emission management enhancement 7.4 Proactive response to climate change 7.5 Green finance development
8.9	Key Quantitative Performance Table
8.11	7.1 Green operation practice
8.12	N/A
8.13	N/A
8.14	6.1 Protecting the rights and interests of employees 6.2 Development and training of employees 6.3 Production safety and employee health
8.15	Complied

## ESG Reporting Guide Index Table of the HK Stock Exchange

Aspects	Guide No.	Sections
A Environmental	<b>A1 Emissions</b> Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste.	7.1 Green operation practice
	A1.1 The types of emissions and respective emissions data.	Appendix Key Performance Table
	A1.2 Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	Appendix Key Performance Table
	A1.3 Total hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	Appendix Key Performance Table
	A1.4 Total non-hazardous waste produced (in tonnes) and, where appropriate, intensity (e.g. per unit of production volume, per facility).	Appendix Key Performance Table
	A1.5 Description of emission target(s) set and steps taken to achieve them.	7.3 Emission management enhancement
	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.	7.3 Emission management enhancement



Aspects	Guide No.	Sections
	<b>A2 Use of Resources</b> Policies on efficient use of resources including energy, water and other raw materials.	7.2 Low-carbon operation practice
	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).	Appendix Key Performance Table
	A2.2 Water consumption in total and intensity (e.g. per unit of production volume, per facility).	Appendix Key Performance Table
	A2.3 Description of energy use efficiency target(s) set and steps taken to achieve them.	7.2 Low-carbon operation practice
	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.	7.2 Low-carbon operation practice
	A2.5 Total packaging material used for finished products (in tonnes) and, if applicable, with reference to per unit produced.	N/A
	<b>A3 Environment and Natural Resources</b> Policies on minimising the issuer's significant impacts on the environment and natural resources.	7.2 Low-carbon operation practice 7.3 Emission management enhancement
	A3.1 Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them.	7.2 Low-carbon operation practice 7.3 Emission management enhancement
	<b>A4 Climate Change</b> Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer.	7.4 Proactive response to climate change
	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.	7.4 Proactive response to climate change

Aspects	Guide No.	Sections
B Social	<b>B1 Employment</b> Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare.	6.1 Protecting the rights and interests of employees
	B1.1 Total workforce by gender, employment type (for example, full-time or part-time), age group and geographical region.	Appendix Key Performance Table
	B1.2 Employee turnover rate by gender, age group and geographical region.	Appendix Key Performance Table
	<b>B2 Health and Safety</b> Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards.	6.3 Production safety and employee health
	B2.1 Number and rate of work-related fatalities occurred in each of the past three years including the reporting year.	6.3 Production safety and employee health
	B2.2 Lost days due to work injury.	Appendix Key Performance Table
	B2.3 Description of occupational health and safety measures adopted, and how they are implemented and monitored.	6.3 Production safety and employee health



Aspects	Guide No.	Sections
	<p><b>B3 Development and Training</b></p> <p>Policies on improving employee's knowledge and skills for discharging duties at work. Description of training activities.</p>	6.2 Development and training of employees
	<p>B3.1</p> <p>The percentage of employees trained by gender and employee category (e.g. senior management, middle management).</p>	Appendix Key Performance Table
	<p>B3.2</p> <p>The average training hours completed per employee by gender and employee category.</p>	Appendix Key Performance Table
	<p><b>B4 Labour Standards</b></p> <p>Information on:</p> <p>(a) the policies; and</p> <p>(b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour.</p>	6.1 Protecting the rights and interests of employees
	<p>B4.1</p> <p>Description of measures to review employment practices to avoid child and forced labour.</p>	6.1 Protecting the rights and interests of employees
	<p>B4.2</p> <p>Description of steps taken to eliminate such practices when discovered.</p>	6.1 Protecting the rights and interests of employees

Aspects	Guide No.	Sections
	<b>B5 Supply Chain Management</b> Policies on managing environmental and social risks of the supply chain.	3.5 Adherence to business ethics
	B5.1 Number of suppliers by geographical region.	Appendix Key Performance Table
	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.	3.5 Adherence to business ethics
	B5.3 Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored.	3.5 Adherence to business ethics
	B5.4 Description of practices used to promote environmental preferable products and services when selecting suppliers, and how they are implemented and monitored.	3.5 Adherence to business ethics
	<b>B6 Product Responsibility</b> Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress.	3.2 Optimisation of corporate governance 5.1 Information security and privacy protection 5.2 Development of a national investor education base
	B6.1 Percentage of total products sold or shipped subject to recalls for safety and health reasons.	N/A
	B6.2 Number of products and service related complaints received and how they are dealt with.	Appendix Key Performance Table 3.2 Optimisation of corporate governance



Aspects	Guide No.	Sections
	B6.3 Description of practices relating to observing and protecting intellectual property rights.	3.3 Ensuring compliance operation
	B6.4 Description of quality assurance process and recall procedures.	N/A
	B6.5 Description of consumer data protection and privacy policies, and how they are implemented and monitored.	5.1 Information security and privacy protection
	<b>B7 Anti-corruption</b> Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering.	3.5 Adherence to business ethics
	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.	Appendix Key Performance Table
	B7.2 Description of preventive measures and whistleblowing procedures, and how they are implemented and monitored.	3.5 Adherence to business ethics
	B7.3 Description of anti-corruption training provided to directors and staff.	3.5 Adherence to business ethics
	<b>B8 Community Investment</b> 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.	4.3 Community welfare activities
	B8.1 Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport).	4.3 Community welfare activities
	B8.2 Resources contributed (e.g. money or time) to the focus area.	Appendix Key Performance Table



# 国联证券股份有限公司

GUOLIAN SECURITIES CO., LTD.

Customer service hotline: 95570

Company website: <https://www.glsc.com.cn>

Company address: No.8 Jinrong One Street, Taihu New City,  
Wuxi, Jiangsu Province, PRC

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