



**HOLLY FUTURES**

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

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

STOCKCODE/ 股份代號 :03678.HK,001236.SZ

# 2024

## SUSTAINABILITY REPORT 可持續發展報告

**Holly Futures Co., Ltd.**

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# Information about the Report

## 關於本報告

### About the Report

#### 關於本報告

The purpose of this Sustainability Report (hereinafter referred to as the “Report”) is to provide readers with a systematic account of the sustainable performance of Holly Futures Co., Ltd. (hereinafter referred to as “Holly Futures”、the “Company” or “we” ) and its subsidiaries (the “Group” ) for the fiscal year of 2024, as well as to respond to the ESG issues of particular concern to stakeholders.

本可持續發展報告（以下簡稱『本報告』）旨在向廣大讀者系統地闡述弘業期貨股份有限公司（以下簡稱『弘業期貨』，『公司』或『我們』）連同其附屬公司（簡稱『本集團』）在 2024 年度可持續發展方面的表現，並對利益相關方重點關注的 ESG 議題作出回應。

### References

#### 編制依據

The Report has been prepared in compliance with the Environmental, Social and Governance Reporting Guide (ESG Reporting Guide) in Appendix C2 to the Listing Rules on the Stock Exchange of Hong Kong Limited (hereinafter referred to as the “HKEX” ), the Self-regulatory Guideline No.17 for Companies Listed on the Shenzhen Stock Exchange Sustainability Report (Trial), the GRI Sustainability Reporting Standards (GRI Standards) issued by the Global Sustainability Standards Board, the Recommendations of the Task Force on Climate-related Financial Disclosures issued by the Task Force on Climate-related Financial Disclosures (TCFD) of the Financial Stability Board,. The Report has complied with the “Mandatory Disclosure Rules” and “Comply or Explain” in the ESG Reporting Guide and has been prepared on the basis of the reporting principles of materiality, quantification, consistency and balance. The disclosure of each indicator in the Report can be found in the Index of Indicators in the Appendix of the Report.

本報告嚴格按照香港聯合交易所有限公司（以下簡稱『香港聯交所』）證券上市規則附錄 C2《環境、社會及管治報告指引》《深圳證券交易所上市公司自律監管指引第 17 號——可持續發展報告（試行）》《全球報告倡議組織可持續發展報告標準》（GRI Standards）及氣候相關財務信息披露（TCFD）框架進行編制。本報告已遵守《環境、社會及管治報告指引》中有關『強制性披露規則』及『不遵守就解釋』條文，並且以重要性、量化、一致性及平衡的匯報原則作為編制基礎。各項指標在本報告的披露情況可參見報告附錄的指標索引。

### Source of data and assurance

#### 報告源及可靠性保證

All the data in the Report are from the Group's internal data and and relevant documents. The type and amount of the currency used in the Report is in RMB, unless otherwise stated.

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

The Report is published in Simplified Chinese, Traditional Chinese, and English versions. In case of any ambiguity, the Simplified Chinese version shall prevail.

本報告中的所有資料均來自本集團內部資料及相關文件。本報告中有關資料涉及貨幣種類及金額，如無特殊說明，均以人民幣為計量單位。本集團董事會承諾本報告不存在任何虛假信息、誤導信息記載，並對其內容的真實性、準確性和完整性負責。本報告分別以簡體中文、繁體中文及英文版本發佈，如有歧義，以中文簡體版為準。

### Reporting scope and boundary

#### 報告範圍及邊界

Unless otherwise stated, the Report covers the data within the period from January 1, 2024 to December 31, 2024 ( “the year” or the “Reporting Period” ). The Report is published annually.

In the sections of social and governance, the scope of the Report is the same as that of the annual report: taking Holly Futures Co., Ltd. as the subject entity and covering its major subsidiaries, including Holly Capital Management Co., Ltd., Holly International Financial Holdings Limited, Holly International Asset Management Company Limited and Holly International Fund Series SPC. In the environmental sections, based on the importance of the environmental impact of the business, the scope of data covers the headquarters of Holly Futures, which accounted for 45.8% of total number of office staff.

除特殊說明外，本報告所載資料時間範圍在 2024 年 1 月 1 日至 2024 年 12 月 31 日（以下簡稱『本年內』或『報告期內』），本報告每年發佈一次。

在社會與公司治理部分，本報告範圍與年報一致：以弘業期貨股份有限公司為主體，涵蓋旗下重要附屬公司，包括：弘業資本管理有限公司、弘業國際金融控股有限公司、弘業國際資產管理有限公司、弘業國際基金系列 SPC。在環境部分，基於經營業務對環境影響的重要程度，涵蓋資料範圍為弘業期貨總部，占全部辦公人數的 45.8%。

### Access and feedback

#### 獲取及回應本報告

The Report is published in PDF electronic format on the website of Hong Kong Exchanges and Clearing Limited (<http://www.hkexnews.hk>), the website of Shenzhen Stock Exchange (<http://www.szse.cn>) and the website of Holly Futures (<http://www.ftol.com.cn>).

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

### Contact

#### 聯繫方式

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## About Holly Futures

### 關於弘業期貨

#### Corporation profile

##### 公司簡介

Holly Futures Co., Ltd. was established in 1995 with a registered capital of RMB 1,007,777,778, and it is under Jiangsu SOHO Holdings Group Co., Ltd., a wholly-stated-owned limited liability company of Jiangsu SASAC. The Company's business scope covers commodity futures brokerage, financial futures brokerage, futures investment consulting, asset management, fund sales business. It has established 40 branches in Beijing, Shanghai, Guangzhou and other major domestic financial centers and key cities, the number of which is among the highest in China, and is the first in the industry to establish a national level post-doctoral workstation. Holly International Financial, a wholly-owned subsidiary of the Company, is mainly engaged in offshore securities and futures trading, asset management, investment advisory and other services, covering major global securities and futures exchanges. Holly Capital, a wholly-owned risk management subsidiary, is mainly engaged in commodities trading and risk management and is a market maker of several futures products. The Company has won the awards of "National Civilized Unit", "China's Best Futures Company" and "Outstanding Member" of various futures exchanges.

弘業期貨股份有限公司成立於1995年，註冊資本1,007,777,778元人民幣，隸屬於江蘇省國資委全資擁有的國有企業江蘇省蘇豪控股集團有限公司。公司經營範圍涵蓋商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理、基金銷售業務。在北、上、廣等國內主要金融中心和重點城市設立近40家分支機構，數量位居全國前列，並在行業內率先建立國家級博士後工作站；全資子公司弘業國際金融主要從事境外證券及期貨交易、資產管理、投資諮詢等服務，覆蓋全球大型證券期貨交易所；全資風險管理子公司弘業資本主要從事大宗商品交易及風險管理業務，是多個期貨品種的做市商。公司榮獲『全國文明單位』『中國最佳期貨公司』以及各期貨交易所『優秀會員』等榮譽稱號。

In December 2015, Holly Futures was listed on the Main Board of Hong Kong Stock Exchange (03678.HK). On August 5, 2022, Holly Futures was successfully listed on the Main Board of Shenzhen Stock Exchange (001236.SZ).

2015年12月，弘業期貨在香港聯交所主機板上市（03678.HK）。2022年8月5日，弘業期貨成功登陸深圳證券交易所主機板（001236.SZ）。

As the director organisation of China Futures Association and the president organisation of Jiangsu Futures Association, the Company has always taken the corporate culture concept of "heritage, openness, integrity and excellence" as an important soft power and core competitiveness to lead and promote the reform and innovative development of the Company; insisted on the people-oriented implementation of human resources projects; always adhered to the service concept of "stability, efficiency and innovation", and developed financial services positively, actively and creatively; insisted on the risk management culture of "comprehensive, proactive and efficient", and built a comprehensive risk management system to enhance the refinement and professionalism of modern financial services for clients; insisted on the risk management culture of "comprehensive, proactive and efficient", and built a comprehensive risk management system to enhance the refinement and professionalism of the Company. Adhering to the service philosophy of "stability, efficiency and innovation", the Company will actively, proactively and creatively develop financial services and provide customers with high-quality, efficient and modern financial services; Adhering to the risk management culture of "comprehensive, proactive and efficient", the Company will build a comprehensive risk management system and enhance the ability of refined and professional proactive risk management.

作為中國期貨業協會理事組織、江蘇省期貨業協會會長組織，公司始終把『傳承、開放、誠信、卓越』的企業文化覈心理念作為引領和推動公司改革創新發展的重要軟實力和核心競爭力；堅持以人為本，實施人力資源項目建設；始終秉承『穩健、高效、創新』的服務理念，積極、主動、創造性地開展金融服務，為客戶提供優質高效的現代化金融服務；堅持『全面、主動、高效』的風險管理文化，建設全面風險管理體系，提升精細化、專業化的主動風險管理能力。



Development milestones  
發展歷程

<div>1995</div> <div>Established</div> <div>公司成立</div>	<div>1999</div> <div>Equity change</div> <div>股權變更</div> <div>Completed capital increase and rename</div> <div>完成增資並更名</div>	<div>2001</div> <div>Completed equity transfer</div> <div>完成股權轉讓</div>	<div>2007</div> <div>Increased capital and share</div> <div>增資擴股</div> <div>Became a member of CFFEX</div> <div>成為中金所會員</div>	<div>2011</div> <div>Rename</div> <div>公司更名</div>	<div>2012</div> <div>Rename</div> <div>公司更名</div>
Jiangsu Jinling Futures Co., Ltd. was established. 江蘇金陵期貨經紀有限公司成立	Jiangsu Holly Co., Ltd. (600128) and Jiangsu Pengcheng International Storage and Transportation Co., Ltd. have become the two major shareholders of the Company. 江蘇弘業股份有限公司（600128）和江蘇鵬程國際儲運有限公司成為公司兩大股東  changed its name to Jiangsu Holly Futures Brokerage Co., Ltd. 公司正式更名為江蘇弘業期貨經紀有限公司	Jiangsu Holly International Group Investment Management Co., Ltd. became the largest shareholder of the Company. 江蘇弘業國際集團投資管理有限公司成為公司第一大股東	The Company completed the equity change. Jiangsu Hongrui Technology Venture Capital Co., Ltd. and Shanghai Mingda (Group) Co., Ltd. became the new shareholders of the Company. 公司完成股權變更，江蘇弘瑞科技創業投資有限公司與上海銘大實業（集團）有限公司成為公司新進股東  The Company took the lead in becoming a trading and clearing member of the CFFEX (Member No.: 128). 公司率先成為中國金融期貨交易所交易結算會員（會員號：128）	The Company officially changed its name to "Jiangsu Holly Futures Co., Ltd." 公司正式更名為『江蘇弘業期貨有限公司』	The Company officially changed its name to "Holly Futures Co., Ltd." 公司正式更名為『弘業期貨股份有限公司』
<div>2013</div> <div>Established a risk management subsidiary</div> <div>設立風險管理子公司</div>	<div>2014</div> <div>Became a fully clearing member of CFFEX</div> <div>成為中金所全面結算會員</div>	<div>2015</div> <div>Acquisition of overseas subsidiary</div> <div>收購境外子公司</div> <div>Listed in Hong Kong</div> <div>香港上市</div>	<div>2022</div> <div>Listed on A-share</div> <div>A 股上市</div>	<div>2023</div> <div>Awards</div> <div>榮獲獎項</div>	<div>2024</div> <div>Won multiple ESG awards</div> <div>榮獲多項 ESG 類獎項<sup>1</sup></div>
The Company established a wholly-owned risk management subsidiary, Holly Capital Management Co., Ltd. 公司全資設立風險管理子公司 - 弘業資本管理有限公司	The Company was granted full clearing membership of the CFFEX. 公司獲得中國金融期貨交易所全面結算會員資格	Acquisition of Holly Su Futures (Hong Kong) Subsidiary 收購弘蘇期貨（香港）子公司  The first provincial state-owned enterprise to be listed on the HKEX by debut in this century. 本世紀以來省屬國有企業首家以首發方式在香港聯交所上市的企業	Holly Futures successfully landed on the main board of Shenzhen Stock Exchange (001236.SZ), and the registered capital increased to RMB 1,007,777,778  弘業期貨成功登陸深圳證券交易所主機板（001236.SZ），註冊資本增加至 1,007,777,778 元	After Holly Futures was first honored as a leading enterprise in Jiangsu Province's productive service industry in 2018, Holly Futures was once again awarded the title of "Leading Enterprise in High Quality Development" in Jiangsu Province. 繼 2018 年弘業期貨首獲江蘇省生產性服務業領軍企業榮譽後，弘業期貨再次獲評江蘇省『高品質發展領軍企業』稱號	Received the "2024 ESG Golden Jasmine Award - Social Responsibility Achievement Award" "2023 China Excellent Rural Revitalization Futures Company Junding Award" "2023 Jiangsu Corporate Social Responsibility Model" "Special Contribution Unit for Rural Revitalization Advanced Unit of Green Finance in Jiangsu Province in 2023" "Best Rural Revitalization Service Machine Social Responsibility Public Welfare Award", etc.  榮獲『2024ESG 金茉莉獎-社會責任成就獎』 『2023 年中國優秀鄉村振興期貨公司君鼎獎』 『2023 江蘇企業社會責任典範』 『鄉村振興特別貢獻單位』 『2023 年度江蘇省綠色金融先進單位』 『最佳鄉村振興服務機社會責任公益獎』等

<sup>1</sup>For details of the awards please refer to Appendix (IV) Memberships and honors and awards. 獎項具體情況請參考報告附錄（四）會員資格與榮譽獎項。

# 01

## Sustainable Development, Deepening ESG Management

## 永續發展，深化 ESG 管理

Holly Futures adheres to the social responsibility concept of "aligning social responsibility with corporate growth", strengthens ESG governance, continuously improves the ESG mechanism, and integrates ESG concepts into the Company's development strategies and operating activities, so as to create sustainable development value together with all stakeholders in an orderly manner.

弘業期貨秉承『社會責任與企業成長相統一』的社會責任理念，強化 ESG 治理，不斷完善 ESG 工作機制，將 ESG 理念全面融入公司發展戰略和經營活動中，攜手各利益相關方有序共創可持續發展價值。

Responding to material issues:

回應重要性議題：

17 Due diligence、18 Stakeholder communication

17 盡職調查、18 利益相關方溝通



United Nations Sustainable Development Goals (SDGs) response:  
聯合國可持續發展目標 (SDGs) 回應：



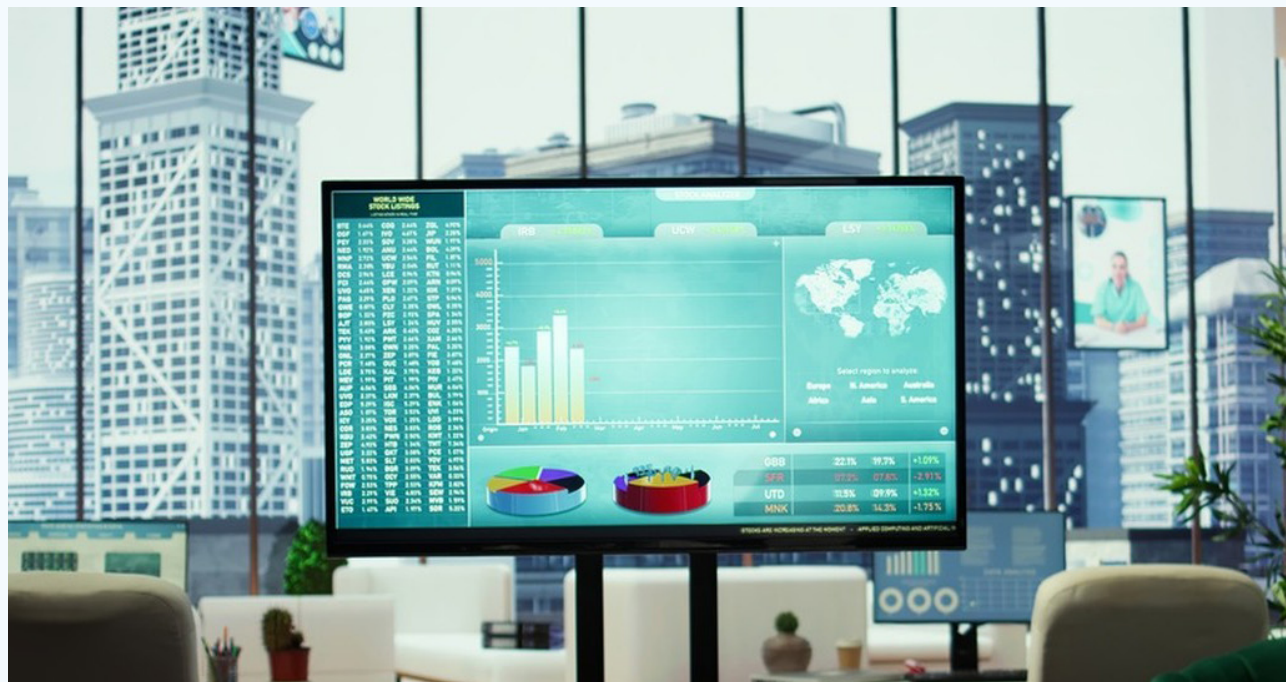
## Board statement 董事會聲明

The Board of Directors of Holly Futures makes the following statement in accordance with the requirements of the Environmental, Social and Governance Reporting Guide of HKEX.

弘業期貨董事會按照香港聯交所《環境、社會及管治報告指引》要求，作出以下聲明。

The Company and the Board of Directors follow the requirements of the Code of Governance for Listed Companies of the China Securities Regulatory Commission (CSRC) and the Environmental, Social and Governance Reporting Guide and Code on Corporate Governance of HXEX, and continue to promote the construction of an ESG governance system, strengthen the participation of the Board of Directors in the Company's ESG and sustainability affairs, and take the initiative to incorporate ESG into the Company's development strategies, major decision-making and production and operation. The Board of Directors and all Directors warrant that the contents of this report do not contain any false statements, misleading representations or material omissions and accept full responsibility for the Company's ESG strategy and reporting. During the Reporting Period, Holly Futures specially formulated the Working Rules of the Board of Directors' Strategy and ESG Committee to strengthen the Company's ESG governance structure and enhance the quality and scientificity of ESG decision-making.

公司及董事會遵循中國證監會《上市公司治理準則》及香港聯交所《企業管治守則》《環境、社會及管治報告指引》的各項要求，持續推動環境、社會及公司治理（ESG）治理體系建設，加強董事會在公司 ESG 與可持續發展事務中的參與力度，主動將 ESG 融入公司發展戰略、重大決策與生產經營。董事會保證本報告內容不存在任何虛假記錄、誤導性陳述或重大遺漏，對公司 ESG 策略及披露承擔全部責任。報告期內，弘業期貨特制定《董事會戰略與 ESG 委員會工作細則》，強化公司 ESG 管治架構，提高 ESG 決策的品質和科學性。



Level 角色	ESG governance structure ESG 管治架構	Main responsibilities 主要職責
 Decision-making level 決策層	<b>The Board of Directors and Strategy and ESG Committee</b>  董事會及戰略與 ESG 委員會	<p>The highest decision-making body in the Company's ESG governance structure, which comprehensively oversees the Company's ESG management matters and determines the Company's ESG management policy, strategy and planning.</p> <p>董事會作為 ESG 治理架構中最高決策機構，全面監督公司 ESG 管理事宜，決定公司 ESG 管理方針、戰略及規劃。</p> <p>The Strategy and ESG Committee under the Board of Directors mainly studies and advises on ESG and climate change visions, strategic planning, risks and opportunities, and is responsible for scrutinising and reporting to the Board of Directors on ESG and climate change related reports.</p> <p>董事會下設戰略與 ESG 委員會主要對 ESG 與氣候變化的願景、戰略規劃、風險和機遇等進行研究並提出意見，負責對 ESG 和氣候變化相關報告的審議並向董事會匯報。</p>
 Managerial level 管理層	<b>General Manager Office</b>  總經理室	<p>Deliberating and supervising the Company's ESG matters, including strategic planning, target setting, policy formulation, implementation management, risk assessment performance, information disclosure and other matters, and reporting to the Board of Directors.</p> <p>對公司 ESG 事項進行審議及監督，包括政策制定、執行管理、風險評估績效表現、信息披露等事宜，並向戰略與 ESG 委員會匯報。</p>
 Executive level 執行層	<b>Departments and Subsidiaries</b>  各部門及子公司	<p>The main body of execution of ESG-related matters, which consist of the heads of each department of the Company and the heads of subsidiaries, and implements specific work in accordance with the division of labor. Under the leadership of the Board of Directors and the managerial level, it organizes and carries out specific ESG work in accordance with the annual ESG work plan, and reports the progress of ESG work to the managerial level on a regular basis.</p> <p>ESG 相關事宜的執行主體，由公司各部門負責人及子公司負責人組成，按照分工落實具體工作。在戰略與 ESG 委員會、管理層的領導下，根據 ESG 年度工作計畫組織開展 ESG 具體工作，定期向管理層匯報 ESG 工作進展。</p>

Stakeholders' engagement

利益相關方溝通

The Company attaches great importance to communication with stakeholders such as the government, shareholders, employees, customers, suppliers, the environment and the community, and has established diversified communication channels and feedback mechanisms in response to the characteristics of each stakeholder. Based on the business characteristics of the futures industry, we understand the expectations and demands of our stakeholders promptly and respond correspondingly to promote the Company's development and ensure that the Company is in line with the expectations and interests of various stakeholders.

公司高度重視利益相關方溝通，識別出政府與監管機構、股東、員工、客戶、合作夥伴、環境、社區等利益相關方，針對各方特點建立了多元化的溝通渠道回饋機制，依據期貨行業業務特點，及時了解其期望與訴求，有針對性地進行回應，推動公司的發展與符合各類利益相關方的期望與利益相統一。

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

公司識別出的重要利益相關方與回應方式如下：

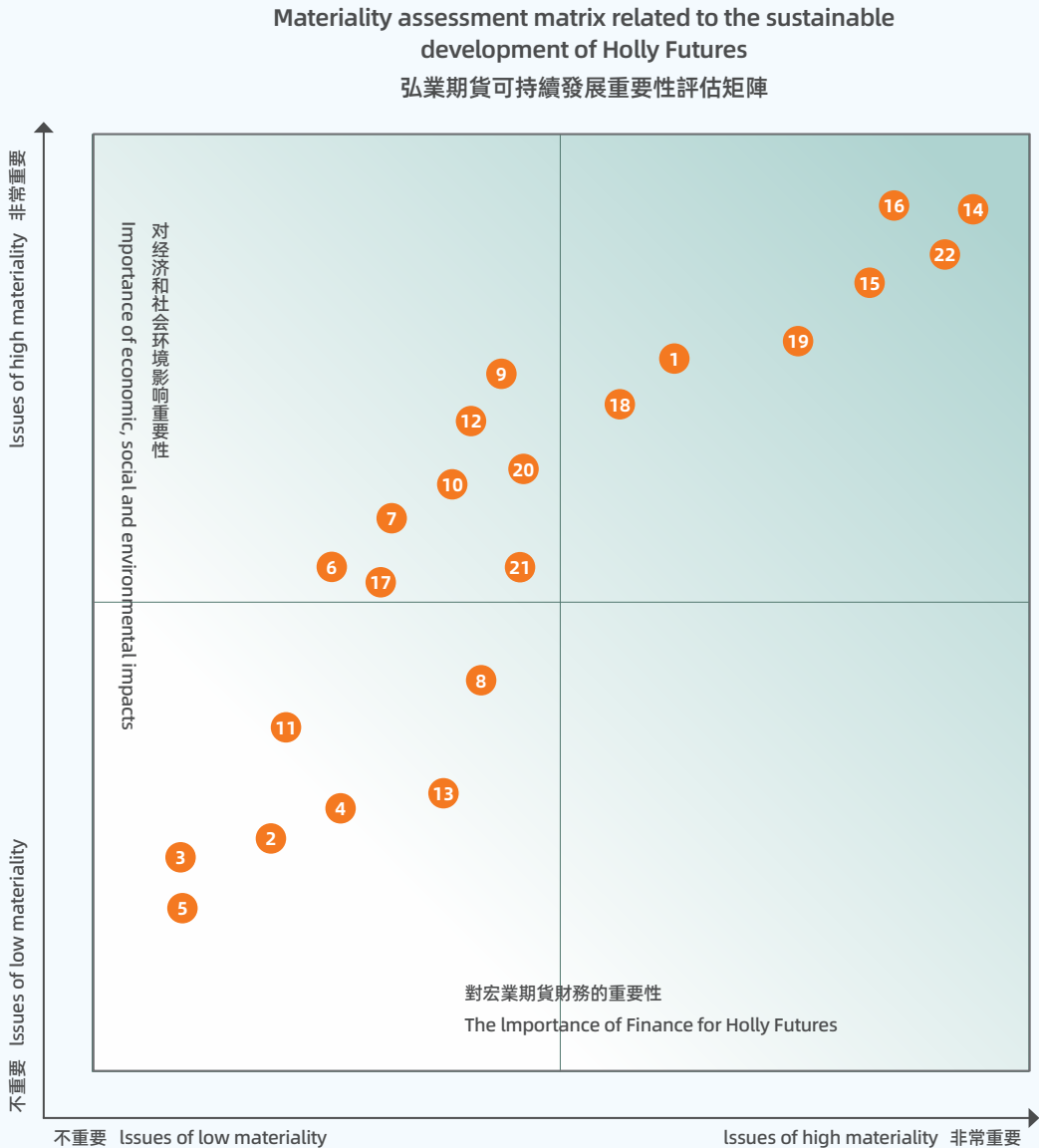
Stakeholders 利益相關方	 Government and regulatory bodies 政府與監管機構	 Shareholders 股東	 Customers 客戶	 Employees 員工	 Partners 合作夥伴	 Environment 環境	 Community 社會
Concerns 關注議題	Compliant operation Climate change Rural revitalization Anti-commercial bribery and anti-corruption Adhere to the leadership of the Communist Party of China Social contribution Product and service safety and quality 合規經營 應對氣候變化 鄉村振興 反商業賄賂及反貪污 堅持黨的領導 社會貢獻 產品和服務安全與品質	Due diligence Compliant operation Anti-commercial bribery and anti-corruption Stakeholder communication 盡職調查 合規經營 反商業賄賂及反貪污 利益相關方溝通	Supply chain security Anti-unfair competition Product and service safety and quality Data security and customer privacy protection 供應鏈安全 反不正當競爭 產品和服務安全與品質 數據安全與客戶隱私保護	Employees 員工	Supply chain security Anti-unfair competition 供應鏈安全 反不正當競爭	Energy utilization Climate change Product and service safety and quality Water utilization Waste disposal 能源管理 應對氣候變化 產品和服務安全與品質 水資源使用 廢棄物處理	Social contribution Rural revitalization 社會貢獻 鄉村振興
Communication channels 溝通渠道	Meetings with and trainings of government and regulatory authorities Local government and enterprise project cooperation Fulfilment of disclosure obligations for listed companies Regular communication and reports of the enterprise On-site inspections by regulatory authorities 政府及監管部門會議及培訓 地方政府及企業項目合作 履行上市公司信息披露義務 定期溝通與報告企業情況 監管部門現場檢查	Websites of exchanges and other designated media Investor Relations section of the Company's website General meeting Investor survey and research Hotline for investors Company announcement 交易所官網及其他指定媒體 公司官網投資者關係欄目 股東大會 投資者調研活動 投資者熱線電話 公司公告	Customer service hotline Customer satisfaction survey Resolving customers' complaints Investor education Holly Easy and Holly Futures APP Social media 客戶服務熱線 客戶滿意度調查 客戶投訴處理 投資者教育 弘運通、弘業期貨 APP 社交媒體	Enterprise OA platform Complaint box and trade unions Team building activities Employees' satisfaction survey 企業 OA 平臺 意見箱及工會渠道 團建活動 員工滿意度調查	Industrial communication conference 供應商評分 行業溝通會議	Proactive disclosure of environmental data Implementing green office 主動披露環境資料 落實綠色辦公	Public welfare and charity activities Rural revitalization project Localized employment and procurement 公益慈善活動 鄉村振興項目 本地化招聘、採購



Materiality assessment  
重要性議題評估

Combining the development trend of the industry and its own development strategy, according to laws, regulations and standards, the Company identifies and summarizes 22 substantive social responsibility issues of importance to the Company and its stakeholders based on the process and method of defining substantive issues in GRI and the ESG Reporting Guide of HKEX,the Self-regulatory Guideline No.17 for Companies Listed on the Shenzhen Stock Exchange - Sustainability Report (Trial), ranks the importance of the issues and makes key disclosure of management and performance of issues of high materiality.

公司結合行業發展趨勢、自身發展戰略，依據 GRI《全球可持續發展報告標準》、香港聯交所《環境、社會及管治報告指引》和《深圳證券交易所上市公司自律監管指引第 17 號——可持續發展報告（試行）》中對重要性議題的界定流程和方法，識別、排序、總結出對於公司和利益相關方具有重要性的 22 項可持續發展重要性議題，對議題重要性進行排序，並對重要性議題的管理與績效進行重點披露。



Issue dimension 議題範疇	Issues of both impact materiality and financial materiality 同時具有財務重要性和影響重要性的議題	Issues that have impact materiality but not financial materiality 具有影響重要性但不具有財務重要性的議題	Issues of both not impact materiality and financial materiality 不具有財務重要性和影響重要性的議題
Environmental 環境	1 Climate change 應對氣候變化	6 Energy utilization 能源利用 7 Water utilization 水資源使用	2 Pollution 污染物排放 3 Waste disposal 廢棄物處理 4 Ecosystem and biodiversity conservation 生態系統和生物多樣性保護 5 Environmental compliance management 環境合規管理 8 Circular economy 循環經濟
Social 社會	14 Product and service safety and quality 產品和服務安全與品質 15 Data security and customer privacy protection 數據安全與客戶隱私保護 16 Employees 員工	9 Rural revitalization 鄉村振興 10 Social contribution 社會貢獻 12 Supply chain security 供應鏈安全	11 Technology ethics 科技倫理 13 Equal treatment of SMEs 平等對待中小企業
Governance related to sustainable development 可持續發展相關治理	18 Stakeholder communication 利益相關方溝通 19 Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污 22 Compliant operation 合規經營	17 Due diligence 盡職調查 20 Anti-unfair competition 反不正當競爭 21 Adhere to the leadership of the Communist Party of China 堅持黨的領導	

Among them, the reasons for the issues of both not impact materiality and financial materiality to Holly Futures are as follows:  
其中，對弘業期貨不具有財務重要性和影響重要性的議題原因如下：

Issue dimension 議題範疇	Issues 議題	Reasons 原因
Environmental 環境	2 Pollution 污染物排放 3 Waste disposal 廢棄物處理 4 Ecosystem and biodiversity conservation 生態系統和生物多樣性保護 5 Environmental compliance management 環境合規管理 8 Circular economy 循環經濟	Holly Futures is a financial sector and such issues are not applicable. 弘業期貨屬於金融行業，該類指標和議題不適用
Social 社會	11 Technology ethics 科技倫理 13 Equal treatment of SMEs 平等對待中小企業	Holly Futures has strictly complied with the relevant laws and regulations and business ethics and has not been involved in the subject matter. 弘業期貨嚴格遵守相關法律法規和商業道德，未涉及該議題事項

# 02

## Consolidating the Foundation of Governance for Long-term Stability

### 行穩致遠，夯實治理根基

Holly Futures actively explores governance methods suitable for its own development, and makes continuous efforts to improve its governance structure, enhance compliance standards, and combat commercial bribery and corruption, etc. It identifies and analyses relevant risks and actively formulates countermeasures, so as to maintain a stable and steady development trend, and achieve high-quality and sustainable development.

弘業期貨積極探索適配自身發展的治理方式，在完善治理架構、提升合規經營水準、反商業賄賂及反貪污等方面持續努力，識別分析相關風險並積極制定應對措施，始終保持穩健發展態勢，實現高品質可持續發展。

Responding to material issues:

回應重要性議題：

19 Anti-commercial bribery and anti-corruption、22 Compliant operation

19 反商業賄賂及反貪污、22 合規經營



United Nations Sustainable Development Goals (SDGs) response:  
聯合國可持續發展目標 (SDGs) 回應：



# Sound governance structure

## 完善治理結構

In strict accordance with the Company Law of the People's Republic of China, the Code of Governance for Listed Companies, the Rules for the Supervision and Administration of Futures Companies and other relevant laws and regulations, Holly Futures takes the Articles of Association as the core institutional system, and continuously improves its governance structure. Holly Futures has established a governance structure consisting of the shareholders' (general) meeting, the Board of Directors, the Supervisory Committee and the senior management to ensure that the Company's decision-making and management are fair, transparent and effective.

弘業期貨嚴格遵守《中華人民共和國公司法》《上市公司治理準則》《期貨公司監督管理辦法》等法律法規，以公司章程為核心制度體系，持續完善治理架構。弘業期貨建立了由股東（大）會、董事會、監事會和高級管理層組成的治理架構（三會一層），確保公司決策和管理公正、透明和有效。

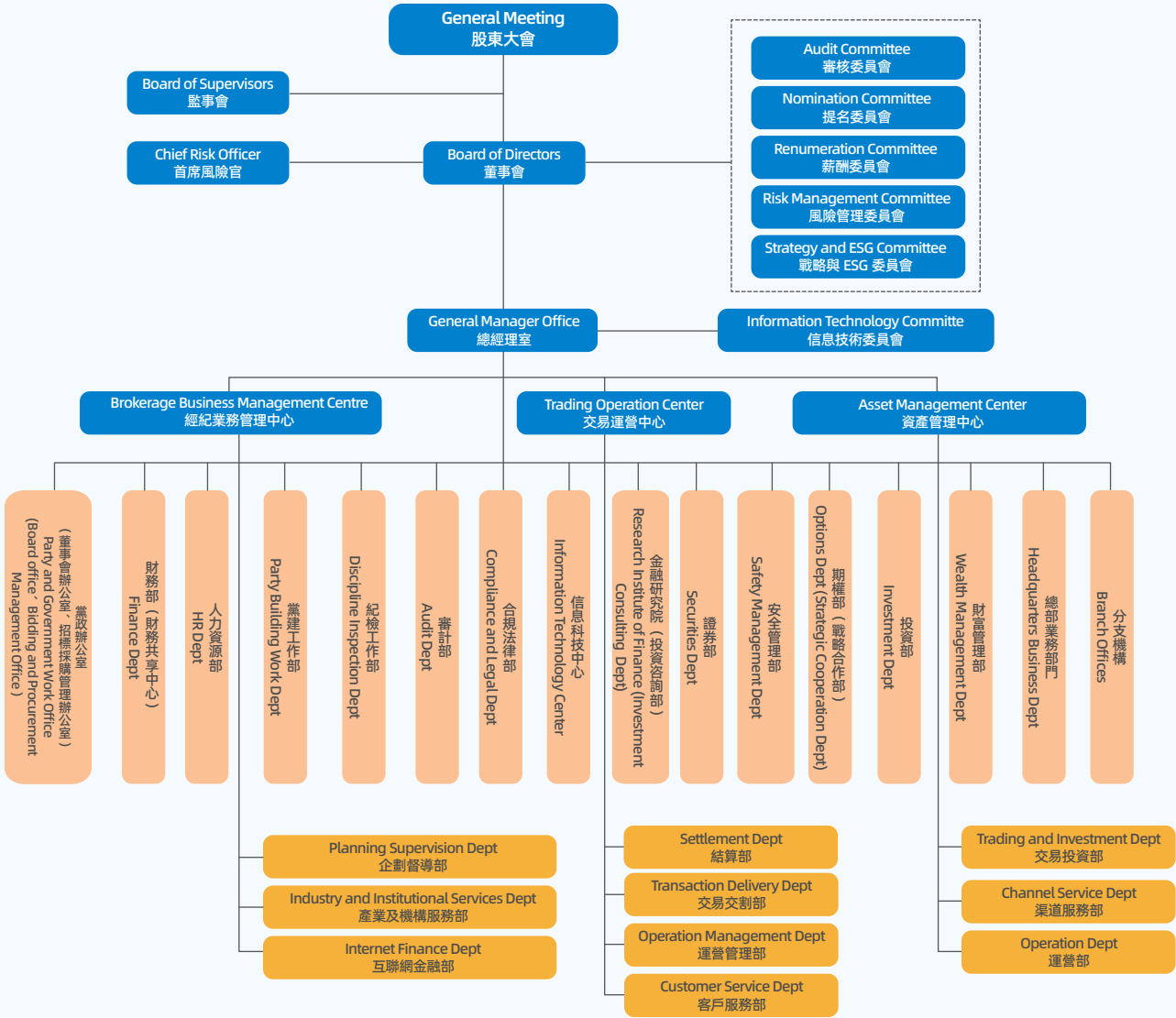
At the end of the Reporting Period, the Board of Directors comprised a total of 7 directors, including 2 executive directors, 2 non-executive directors and 3 independent non-executive directors. The Board of Supervisors consists of 3 supervisors, including 1 employee representative supervisor. The number of female directors, supervisors and senior management is 0, 1 and 1 respectively. The number of female directors, supervisors and senior management of the Company is as follows:

截至報告期末，董事會共有 7 名董事組成，其中執行董事 2 名、非執行董事 2 名、獨立非執行董事 3 名。監事會共有監事 3 名，含 1 名職工代表監事。董事、監事、高級管理人員女性人數分別為 0、1、1 人。公司董事、監事、高級管理人員女性人數占比如下：

	Directors 董事	Supervisors 監事	Senior management 高級管理人員
Number of female members 女性人數	0	1	1
Percentage of female members 女性比例	0	33.3%	16.7%

During the Reporting Period, Holly Futures strictly fulfilled the decision-making procedures, organizing 12 meetings of the Board of Directors, 7 meetings of the Supervisory Committee, 2 meetings of the General Meeting of Shareholders, 7 meetings of the Audit Committee, 5 meeting of the Nomination Committee, 1 meeting of the Risk Management Committee, 3 meetings of the Remuneration Committee and 2 meeting of the Strategy Committee (which renamed the Strategy and ESG Committee). A total of 42 motions of the Board of Directors, 20 motions of the Supervisory Board and 16 motions of the General Meeting of Shareholders were passed.

報告期內，弘業期貨嚴格履行決策程序，全年組織召開董事會 12 次，監事會 7 次，股東大會 2 次，審核委員會 7 次，提名委員會 5 次、風險管理委員會 1 次，薪酬委員會 3 次，戰略委員會（現已更名為戰略與 ESG 委員會）2 次，共通過董事會議案 42 個，監事會議案 20 個，股東大會議案 16 個。



During the Reporting Period, all directors, supervisors and senior management of the Company participated in the 2024 Continuing Supervisory Training and learnt about the regulation of listed companies, information disclosure and other information, which lasted for 2 hours. In addition, all directors participated in the training on the responsibilities of listed companies on the Main Board of HKEX conducted by Deheng Law Offices (Hong Kong) LLP.

報告期內，公司所有董事、監事及高管參與了 2024 年度持續督導培訓，學習了上市公司監管、信息披露等資料，培訓時長 2 小時。此外，所有董事均接受了德恒律師事務所（香港）有限法律責任合夥進行的香港聯交所主機板上市公司之責任的培訓。

The Company strictly follows the regulatory requirements of Unified Exchange and HKEX in its disclosure work, publishing 128 annual reports and announcements of meeting resolutions for A-shares and 254 performance reports and monthly statements of securities movements for H-shares, continuously improving the quality of information disclosure, enhancing communication and interaction with investors, deepening investors' understanding of and trust in the Company, and effectively safeguarding investors' rights and interests.

公司嚴格遵循香港聯交所和深圳交易所的監管要求開展披露工作。A 股方面發佈年度報告、會議決議公告等各類公告 128 份，H 股方面發佈業績報告、證券變動月報表等各類公告 254 份，持續提高資訊披露質量，不斷加強與投資者的交流互動，加深投資者對公司的了解與信任，切實保障投資者權益。

# Sound governance structure

## 完善治理結構

Following the relevant regulations of the China Securities Regulatory Commission and in conjunction with the Basic Norms for Enterprise Internal Controls, Holly Futures has established a complete set of internal control systems, including risk management, compliance management, legal auditing, internal auditing, etc., in compliance with the principles of comprehensiveness, materiality, checks and balances, adaptability, and cost-efficiency of internal control, and has stipulated the responsibilities of each level and the specifications for the development of the Company's business, as well as the business processes and the responsibilities of the positions. Provisions have been made for the responsibilities and business development standards of each level, various business processes and the duties and responsibilities of each position, to enable the Company's various businesses to operate and interface well, and to ensure the effective implementation of the Company's internal control and management framework. During the Reporting Period, the Company was not subject to any penalties imposed by the regulatory authorities for anti-money laundering offences or violations.

弘業期貨根據中國證券監督管理委員會相關規定並結合《企業內部控制基本規範》，在遵循內部控制全面性、重要性、制衡性、適應性、成本效益的原則上，建立健全包括風險管理、合規管理、法律審核、內部審計等在內的一整套內控制度，對各層級職責及展業規範、各項業務流程和崗位職責履職要求進行規定，使公司各項業務得以良好運轉和銜接，確保公司內部控制管理架構得以有效落實。報告期內，公司未出現因反洗錢違法、違規問題被監管部門處罰的情況。



## Governance

### 治理

Holly Futures strictly complies with the Company Law of the People's Republic of China, the Securities Law of the People's Republic of China, the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited and other laws and regulations, and continues to optimise its governance structure with its Articles of Association as the core system. The Risk Management Committee, as the highest decision-making body for the management of the Company's risk management indicators, reviews the Company's compliance risk management strategies, and comprehensively supervises and advises on the implementation of the risk control system. The General Manager's Office, as the managerial level, handles compliance risk events, supervises the implementation of compliance work and reports to the Risk Management Committee. The Compliance and Legal Affairs Department, as the executive level, is responsible for daily compliance review and providing legal support for the Company's operations.

弘業期貨嚴格遵守《中華人民共和國公司法》《中華人民共和國證券法》《香港聯合交易所有限公司證券上市規則》等法律法規，以《公司章程》為核心制度體系，持續優化治理架構。風險管理委員會作為公司風險監管指標管理最高決策機構，審閱公司合規風險管理策略，全面監督風險控制體系的實施情況並提出意見。總經理室作為管理層處理合規風險事件，監督合規工作的執行情況並向風險管理委員會匯報。合規法律部作為執行層，負責日常合規審查工作，為公司運營提供法律支持。

## Strategy

### 戰略

The Company has established compliance mechanisms and measures to further enhance the quality and effectiveness of compliance management work by cultivating compliance awareness, enhancing compliance skills, clarifying and implementing compliance responsibilities, improving compliance inspections, and implementing rewards and penalties. The Company has revised its systems for risk control and management of employee misconduct to improve the compliance management system. The Company launched monthly compliance training to popularise the latest regulatory requirements on time, supplemented by warning education on typical cases in the industry, to raise the awareness of all staff of the rule of law and compliance, to regulate the practice of staff, and to promote strict corporate governance by the law.

公司建立合規工作機制和措施，從培養合規意識、提升合規技能、明確和落實合規責任、完善合規檢查、落實獎優罰劣等多方面，進一步提升合規管理工作質效。公司對風險監控、員工違規行為管理等制度進行修訂，完善合規管理制度體系。公司按月開展合規等專項培訓工作，及時普及最新監管要求，輔以行業典型案例警示教育，提高全體員工的法治意識和合規意識，規範員工執業行為，著力推進依法從嚴治企。

The Company carries out the requirements of compliance management in depth, and improves and perfects the existing compliance management system in light of the actual working conditions. The Company has formulated an annual inspection plan and carried out on-site inspections on compliance management of branches and the operation of various business segments in a targeted manner. Through supervising and rectifying various problems found during the on-site inspections, the Company has continued to make up for the shortcomings of the internal control and compliance management and improve the comprehensive risk management system. On the basis of the existing inspection work, the Company pays close attention to the recent trend of the higher-level regulatory authorities and develops innovative methods to carry out compliance inspections, so as to find out more and cope with the hidden risks.

公司深入貫徹合規管理工作要求，結合實際工作執行情況在現行的合規管理體系之上進行健全、完善。公司制定年度檢查計畫，有針對性地對分支機構合規管理、各業務板塊運行情況開展現場檢查工作，並通過督促整改現場檢查發現的各項問題等方式，不斷補齊內控合規管理短板，完善全面風險管理體系。公司在現有檢查工作基礎上，密切關注上級監管部門近期動向，創新方法開展合規檢查，以發現更多並應對風險隱患。

Adhering to the principle of “risk-based and compliant operation”, Holly Futures has formulated and implemented the Anti-Money Laundering Internal Control System, Administrative Measures for Self-Assessment of the Risks of Money Laundering and Terrorist Financing, Anti-Money Laundering Internal Inspection and Audit Measures and Anti-Money Laundering Confidentiality Management



Measures, etc., to promote the steady and orderly development of the work of anti-money laundering. The Company carries out customer due diligence, customer risk level management, suspicious transaction analysis and reporting, publicity and training, blacklist monitoring, anti-money laundering internal inspection and audit, etc. following the provisions of the system, and customer identity information and transaction information are properly kept. The Company has actively carried out anti-money laundering publicity and training. In terms of publicity, the anti-money laundering publicity activities organised by the Company on the 4-15 National Security Education Day have been recorded in the “Jiangsu Anti-money Laundering Work Dynamics (Issue 7, 2024)”. In respect of training, the Company has independently and effectively launched and participated in various anti-money laundering training and regularly organised staff to participate in learning and training activities, supplemented by anti-money laundering knowledge tests and examinations after the training, to guide all staff to enhance their anti-money laundering awareness and practical work skills. During the Reporting Period, the Company did not have any incidents of money laundering risk and related non-compliance.

弘業期貨秉承『風險為本、合規經營』的原則，制定並執行《反洗錢內部控制制度》《洗錢和恐怖融資風險自評估工作管理辦法》《反洗錢內部檢查與審計辦法》《反洗錢保密工作管理辦法》等制度，推動反洗錢工作穩步有序開展。公司按制度規定開展客戶盡職調查、客戶風險等級管理、可疑交易分析與報告、宣傳與培訓、黑名單監控、反洗錢內部檢查與審計等工作，客戶身份信息與交易信息等資料均妥善保存。公司積極開展反洗錢宣傳與培訓工作，宣傳方面，公司組織開展的 4-15 國家安全教育日反洗錢宣傳活動被收錄於《江蘇反洗錢工作動態（2024 年第 7 期）》。培訓方面，公司自主有效地開展、參與各類反洗錢培訓，定期組織員工參加學習培訓活動，同時輔以培訓後的反洗錢知識測試檢驗，引導全員提高反洗錢工作意識和實務工作技能。報告期內，公司未發生洗錢風險事件及相關違規事項。

## Metrics and targets

### 指標與目標

During the Reporting Period, the Company held a total of 7 training sessions on compliance and anti-money laundering; amended a total of 33 internal control systems, added 3 new internal control systems and repealed 1 system; processed 7,338 anti-money laundering system procedures and approved 1,181 anti-money laundering submissions; reported and processed 35 system issues and improvement requirements; conducted anti-money laundering on-site inspections and audits at 24 branches as planned; and the Company and Xuzhou Branch received visits from the People's Bank of China for anti-money laundering supervision. The Company and Xuzhou Sales Department have been visited by the People's Bank of China for anti-money laundering supervision. In the future, Holly Futures will continue to regulate corporate governance, launch compliance-related training with higher coverage, and resolutely eliminate money laundering.

報告期內，公司共舉辦合規、反洗錢相關培訓共計 7 場；共修訂 33 項內控制度、新增 3 項內控制度、廢止 1 項制度；已處理 7,338 份反洗錢系統流程，審批 1,181 條反洗錢呈文流程；上報處理 35 項系統問題及改進需求事項，按計劃共計對全轄 24 家分支機構進行了反洗錢現場檢查與審計；公司及徐州營業部相繼接受了轄內人民銀行的反洗錢監管走訪。未來，弘業期貨將持續規範公司治理，開展覆蓋率更高的合規相關培訓，堅決杜絕洗錢行為的發生。

## Risk management

### 風險管理

Compliance risks are constantly changing with changes in regulations and policies, business development and market. The Company has established a continuous monitoring mechanism to reassess and identify compliance risks regularly, pay timely attention to updates in regulations and policies and adjustments in business processes, and dynamically update the compliance risk list to ensure that the Company can identify and respond to emerging compliance risks promptly.

合規風險隨著法規政策變化、業務發展和市場環境演變而不斷變化。公司已建立持續監測機制，定期對合規風險進行重新評估和識別，及時關注法規政策的更新和業務流程的調整，對合規風險清單進行動態更新，確保公司能夠及時發現和應對新出現的合規風險。





 Risk category 風險類別	 Risk description 風險描述	 Risk identification and response mechanisms 識別和應對機制
<p><b>Legal</b></p> <p><b>compliance risk</b></p> <p>法律法規合規風險</p>	<p>Relevant laws, regulations and regulatory policies are constantly being updated and improved, and the Company may fail to understand and comply with the new regulatory requirements promptly, resulting in legal disputes and regulatory penalties, which may seriously affect the Company's normal operation and reputation.</p> <p>□ 相關法律法規和監管政策不斷更新和完善，公司可能因未能及時了解並遵守新的監管要求出現違反法律法規的行為從而引發法律糾紛和監管處罰，嚴重影響公司的正常經營和聲譽。</p>	<p>The Company has formulated operable methods and processes for risk identification, assessment, monitoring, response and reporting with respect of compliance risks, and ensured the implementation of the risk management system using assessment, audit and inspection. In conjunction with the characteristics of the industry and business, comprehensively, systematically and continuously collect and analyse internal and external information that may affect the Company's operation and management, and comply with relevant laws and regulations, the requirements of supervisory authorities or institutions, the Code of Self-regulatory Conduct, or any guidelines in relation to the Company's futures business, to identify the compliance risks that the Company should face, as well as their sources, characteristics, conditions and potential extent of the impact.</p> <p>公司針對合規風險制定可操作的風險識別、評估、監測、應對、報告的方法和流程，並通過評估、稽核、檢查等手段保證風險管理制度的貫徹落實。結合行業、業務特點，通過流程分析、案例歸集和部門溝通等方法，全面、系統、持續地收集和分析可能影響公司經營管理的內外部信息、遵守相關法律規定及法規、監督部門或機構的規定、自律行為準則或任何與公司的期貨業務有關的指引，識別公司應對面臨的合規風險及其來源、特徵、形成條件和潛在影響程度。</p>
<p><b>Internal Control Compliance Risk</b></p> <p>內部控制合規風險</p>	<p>Inadequate internal management system and unreasonable process design of the Company may result in the lack of clear regulations and guidelines for business operations, giving rise to management loopholes and potential risks.</p> <p>公司內部管理制度不健全、流程設計不合理，可能導致業務操作缺乏明確的規範和指引，出現管理漏洞和風險隱患。</p>	<p>The Company closely monitors industry developments and proactively responds to relevant laws and regulations as well as stringent regulatory requirements. To meet the needs of compliant operation, the Company has formulated a series of scientific, stringent and comprehensive internal systems and measures, and has detailed the compliance requirements into every aspect of the business process, so as to ensure that there are rules to be followed and regulations to be complied with in all aspects of work. The Company endeavours to establish a set of effective compliance management</p>

<p><b>Anti-Money Laundering Compliance Risk</b></p> <p>反洗錢合規風險</p>	<p>The Company's failure to strictly and accurately understand the information of clients' identity background, source of funds and transaction purpose, and the lack of effective monitoring and analysis of client's trading behaviour may turn the Futures Company into a conduit for money laundering and other illegal activities and may expose the Company to regulatory penalties and reputational risks.</p> <p>□ 公司未能嚴格準確了解客戶的身份背景、資金來源和交易目的等信息，對客戶的交易行為缺乏有效的監測和分析，可能使公司成為洗錢等違法活動的通道，面臨監管處罰和聲譽風險。</p>	<p>and supervision mechanisms, through regular and in-depth inspections, to carry out comprehensive and detailed checks on the implementation of compliance work, and to identify and rectify potential compliance risks on time.</p> <p>公司密切關注行業動態，積極主動地應對相關法律法規以及嚴格的監管要求。為切實滿足合規經營的需要，公司制定一系列科學、嚴謹且全面的內部制度與措施，將合規要求細化至業務流程的每一個環節，確保各項工作有章可循、有規可依。與此同時，公司著力構建一套行之有效的合規管理監督機制，通過定期且深入的排查工作，對合規工作的落實情況進行全面、細緻的檢查，及時發現並糾正潛在的合規風險。</p>
	<p>The Company shall formulate a scientific, clear and feasible money laundering risk management strategy, reasonably allocate and co-ordinate anti-money laundering resources such as personnel, funds and systems, and regularly evaluate its effectiveness. The money laundering risk management strategy shall be carried out promptly under the money laundering risk situation and market changes. The Company's self-evaluation of money laundering and terrorist financing risks has commenced a new round of self-evaluation of money laundering and terrorist financing risks following the self-evaluation cycle. After comprehensive evaluation, the Company's self-evaluation result is a lower risk, and the possibility of money laundering risks is relatively low.</p> <p>公司制定科學、清晰、可行的洗錢風險管理策略，合理配置、統籌安排人員、資金、系統等反洗錢資源，並定期評估其有效性。洗錢風險管理策略應當根據洗錢風險狀況及市場變化及時進行。公司洗錢和恐怖融資風險自評估工作，根據自評估週期開展了新一輪洗錢和恐怖融資風險自評估工作，經綜合評估，公司自評結果為較低風險，暨洗錢風險發生可能性較低。</p>	



# Anti-commercial bribery and anti-corruption

## 反商業賄賂及反貪污

Holly Futures implements the requirements of comprehensive strict governance of the Party, strictly abides by relevant laws, regulations, and rules such as the Criminal Law of the People's Republic of China, the Company Law of the People's Republic of China, the Constitution of the Communist Party of China, the Regulations on Internal Supervision of the Communist Party of China, and the Rules for Discipline Inspection and Enforcement of the Disciplinary Organs of the Communist Party of China. As an institution with significant influence in the financial sector, Holly Futures continues to improve its party conduct and anti-corruption work mechanisms. During the Reporting Period, the Company did not experience any noncompliant incidents or lawsuits involving bribery, extortion, fraud, etc.

弘業期貨貫徹落實全面從嚴治黨要求，嚴格遵守《中華人民共和國刑法》《中華人民共和國公司法》和《中國共產黨章程》《中國共產黨黨內監督條例》《中國共產黨紀律機關監督執紀工作規則》等相關法律法規和規章制度。弘業期貨作為一家在金融領域具有重要影響力的機構，持續完善黨風廉政建設和反腐敗工作機制。報告期內，公司未發生涉及賄賂、勒索、欺詐等不合規事件及訴訟事件。

### 1 Governance 治理

Holly Futures has established a top-down management process to improve the mechanism of Party Integrity Building and anti-corruption work. The Risk Management Committee, as the decision-making level, comprehensively supervises and advises on the implementation of the Company's commercial bribery and money laundering risk control system. The General Manager's Office, as the managerial level, directly manages, coordinates, supervises and reports on the anti-commercial bribery and anti-money laundering work, co-ordinates the multi-departmental work, actively constructs a strict supervision system, and fully stimulates the disciplinary work, Discipline Inspection Dept, Compliance and Legal Dept, HR Dept, Finance Dept to play a synergistic role.

弘業期貨為進一步完善黨風廉政建設和反腐敗工作機制，建立自上而下的管理流程。風險管理委員會作為決策層全面監督公司的商業賄賂及洗錢風險控制體系的實施情況並提出意見。總經理室作為管理層直接反商業賄賂及反洗錢工作的管理、統籌、監督和匯報工作，統領多部門整體發揮合力作用，積極構建嚴密監督體系，充分激發紀檢工作部、合規法律部、人力資源部、審計部、財務部等多部門發揮協同作用。

### 2 Strategy 戰略

Holly Futures has formulated a set of strict and comprehensive systems, from the supervision of daily business processes to the control of key decision-making links; every corner that may breed corrupt behaviours has been included in the supervisory vision. The Company has formulated the Regulations on Punishment for Employee Non-compliance and the Regulations on Clean Practices, which set out the performance of various non-compliance and disciplinary offences as well as the corresponding measures to strengthen employees' awareness of disciplinary rules and regulations. The Company amended the Measures for Integrity File Management to further improve the supervision and management mechanism of the Company's cadres. The Company has established an anonymous reporting mechanism and formulated the Discipline and Inspection Supervision Telephone Receiving Rules to encourage employees to actively participate in supervision and maintain a zero-tolerance attitude towards any corrupt behaviour. Holly Futures continuously optimises the anti-money laundering system to ensure that it is highly compatible with the latest domestic and international laws and regulations and regulatory requirements, so that every employee deeply understands that anti-corruption

Discipline and Inspection Dept promotes the development of integrity risk prevention and control work, and conducts inspections and supervision on the implementation of integrity risk prevention and control measures in various departments and subsidiaries;

紀檢工作部推進廉潔風險防控工作的開展，對各部門和子公司廉潔風險防控措施落實情況進行檢查督促；

Audit Dept exercises the right of internal audit supervision, and carries out internal audit supervision over the financial income and expenditure, internal control, risk management and related economic activities of the Company and its subsidiaries;

審計部行使內部審計監督權，對公司及所屬子公司財務收支、內部控制、風險管理以及有關經濟活動等實行內部審計監督；

Compliance and Legal Dept carries out the management of clean practices in terms of business compliance and diligence and provides legal support to the Company;

合規法律部從業務合規、勤勉盡責等方面開展廉潔從業管理，為公司提供法律支持；

HR Dept incorporates the clean practices of staff into the human resources management system and handles non-compliant staff in accordance with regulations;

人力資源部將工作人員廉潔從業納入人力資源管理體系，按規處理違規員工；

Finance Dept strengthens financial records to eliminate irregularities.

財務部強化財務記錄，杜絕不規範行為的發生。

and anti-money laundering is not only a legal obligation, but also an important embodiment of maintaining the stability of the financial market and fulfilling our social responsibility, thus forming a good atmosphere of active practice throughout the company. The Company regularly carries out integrity education activities to guide employees to establish correct values and professional ethics, and to build a firm line of defence in their minds.

弘業期貨制定了一套嚴格且全面的制度，從日常業務流程的監督到關鍵決策環節的把控，每一個可能滋生貪腐行為的角落都被納入監管視野。公司制定《員工違規處分規定》和《廉潔從業規定》，明列各項違規違紀行為的表現以及相應的處理措施強化員工紀律規矩意識。公司修訂《廉潔檔案管理辦法》，進一步健全完善公司幹部監督管理機制。同時，建立了匿名舉報機制，制定《紀檢監督電話接聽規範》，鼓勵員工積極參與監督，對任何貪腐行為保持零容忍態度。弘業期貨不斷優化反洗錢制度，確保其與國內外最新的法律法規和監管要求高度契合，讓每一位元員工都深刻認識到反貪腐、反洗錢不僅是法定義務，更是維護金融市場穩定、履行社會責任的重要體現，從而在全公司形成積極踐行的良好氛圍。公司定期開展廉政教育活動，引導員工樹立正確的價值觀和職業道德觀，築牢思想防線。

Holly Futures to further strengthen supervision and monitoring, effectively promote the construction of the integrity risk prevention and control system, to achieve integrity risk prevention and control of unified management, up and down the joint, complementary strength. The Company formulated and revised the Holly Futures integrity risk prevention and control catalogue table' to start risk prevention and control work, identify the risk level of the main duties and responsibilities of the integrity risk points, assign the responsible units and responsible parties, and formulate targeted prevention and control measures.

弘業期貨為進一步強化監督監管，有效推動廉潔風險防控體系建設，實現廉潔風險防控統一管理、上下聯動、力量互補。公司制定修訂《弘業期貨廉潔風險防控目錄表》開展風險防控工作，識別主要職權的廉潔風險點的風險等級，落實責任單位和責任主體，制定針對性防控措施。

Duties and Responsibilities 主要職權	Risk Level 風險等級	Prevention and Control Measures 防控措施	Responsible Department 責任單位
Study and decide on the “three important and one major” issue 研究決定『三重一大』事項	High 高	<div>1. To formulate the relevant provisions of the democratic centralisation system; 制定民主集中制有關規定；</div> <div>2. Strictly implemente the Implementation Measures for the “three important and one major” Decision-Making System and comply with the rules of procedure;  嚴格執行《『三重一大』決策制度實施辦法》，遵守議事規則；</div> <div>3. To establish and improve the mechanism for supervising and checking the implementation of the “three important and one major” decision-making system;  建立完善『三重一大』決策制度執行情況監督檢查機制；</div> <div>4. To keep minutes of all meetings;  Make good minutes of meetings, which should reflect the date of the meeting, attendees, decision-makers' speeches and other information.  做好各項會議的會議記錄，會議記錄需體現會議日期、出席人、決策者發言等信息。</div>	<div>Party and Government Work Office 黨政辦公室</div> <div>HR Dept 人力資源部</div> <div>Securities Dept 證券部</div> <div>Discipline Inspection Dept 紀檢工作部</div> <div>subsidiary companies 子公司</div>

Business reception 商務接待	High 高	<div>1. 1. Strictly enforcing the regulations on the management of business reception and implementing the spirit of the eight provisions of the Central Government;  嚴格執行商務接待管理規定，貫徹中央八項規定精神；</div> <div>2. Before the business reception, the person in charge of the business reception should handle the approval process under the regulations, and fill in the application form in a standardised manner;  商務接待前經辦人需按規定辦理審批流程，規範填寫申請單；</div> <div>3. Regularly check the approval situation;  定期檢查審批情況；</div> <div>4. Finance Dept audits and checks the expenses and bills that do not comply with the regulations and will not be reimbursed;  財務部審核把關，對不符合規定的費用、票據不予報銷；</div> <div>5. To enhance integrity education to prevent risks.  加強廉潔教育，防範風險。</div>	<div>departments 各部門</div> <div>branch offices 分支機構</div> <div>subsidiary companies 子公司</div>
Business confidentiality 商業秘密管理	High 高	<div>1. Strictly enforce the confidentiality-related system and strengthen the education on the system;  嚴格執行保密相關制度，加強制度宣貫教育；</div> <div>2. Reasonably arrange the division of labour in business and pay attention to the mutual constraints of incompatible positions;  合理安排好業務分工，注意不相容崗位的相互制約；</div> <div>3. Strictly keep files containing commercial secret information;  嚴格保管含有商業秘密信息的檔；</div> <div>4. Enhance the management of internal business workgroups and remove departing staff promptly.  加強內部業務工作群管理，及時清除離職人員。</div>	<div>departments 各部門</div> <div>branch offices 分支機構</div> <div>subsidiary companies 子公司</div>



3 Risk management  
風險管理

The Company establishes a sound system, strengthens financial and business control, enhances personnel management and examination, and initiates external co-operation and supervision to identify risks of commercial bribery and corruption, and pays close attention to the dynamics of the industry and the situation in the same industry, to ensure that the Company can detect and efficiently respond to the relevant risks on time.

公司建立健全制度體系、加強財務與業務監控、強化人員管理與審查、開展外部合作與監督等方面來識別商業賄賂和貪污風險，高度關注行業動態和同業情況，確保公司能夠及時發現並高效應對相關風險。

Risk category 風險類別	Risk description 風險描述	Risk identification and response mechanisms 識別和應對機制
Business bribery risk 商業賄賂風險	<p>Competition in the futures industry is fierce, and employees of the Company may offer bribes to clients, partners or staff of regulatory bodies to obtain improper benefits in the course of business development and customer service, etc. There may also be cases where employees accept bribes from suppliers or partners and offer them improper facilities in the selection of cooperative objects and procurement of goods or services, which may harm the interests of the Company and may also lead to a crisis of trust in the industry as a whole.</p> <p>期貨行業競爭激烈，公司員工可能在業務拓展、客戶服務等過程中，為獲取不正當利益，向客戶、合作夥伴或監管機構工作人員等行賄，也可能存在員工接受供應商、合作方的賄賂，在選擇合作物件、採購商品或服務時給予對方不正當的便利，損害公司利益，還可能引發整個行業的信任危機。</p>	<p>1. Topay attention to industry dynamics and market information to understand whether there are similar incidents of commercial bribery or corruption in other companies in the same industry, and whether there are any negative rumours or whistleblowing information about the Company in the market, to carry out risk screening promptly.</p> <p>關注行業動態和市場信息，了解同行業其他公司是否存在類似的商業賄賂或貪污事件，以及市場上是否有關於公司的負面傳聞或舉報信息，及時進行風險排查。</p> <p>2. Conduct strict due diligence on suppliers and partners to examine their business reputation, financial status, operating results, etc., and to find out whether there are any adverse records of commercial bribery.</p> <p>對供應商、合作夥伴進行嚴格的盡職調查，審查其商業信譽、財務狀況、經營業績等，了解其是否存在商業賄賂等不良記錄。</p> <p>3. Set up strict approval processes for major transactions, co-operation projects, capital expenditure, etc., and require detailed information on project background, contract terms, capital budget, etc., to</p>

		<p>ensure the reasonableness and compliance of the transactions.</p> <p>對重大交易、合作項目、資金支出等設置嚴格的審批流程，要求提供詳細的項目背景、合同條款、資金預算等資料，確保交易的合理性和合規性。</p> <p>4. Formulate clear, specific and detailed anti-commercial bribery policies and codes of conduct to clearly define the scope of various types of non-compliance and provide clear guidelines for employee behaviour.</p> <p>制定清晰、明確且詳細的反商業賄賂政策與行為準則，明確界定各類違規行為的範疇，為員工行為提供明確指引。</p>
Business bribery risk 商業賄賂風險	<p>1. Financial officers may take advantage of their duties to commit corruption through falsification of accounts, false declaration of expenses and misappropriation of public funds.</p> <p>財務人員可能利用職務之便，通過篡改帳目、虛報費用、挪用公款等方式進行貪污。</p> <p>2. Personnel in charge of asset management may corrupt customer deposits or the Company's funds and take the Company's assets for their use through false transactions and asset transfers.</p> <p>負責資產管理的人員可能會貪污客戶保證金或公司自有資金，通過虛假交易、資產轉移等手段將公司資產據為己有。</p> <p>3. When launching new business or investment projects, the Company's employees may collude with outsiders to engage in corrupt practices.</p> <p>在開展新的業務項目、投資項目時，公司員工可能與外部人員勾結進行貪污行為。</p>	<p>1. Regularly launch internal audits to conduct a comprehensive review of the company's financial status, business processes, transaction records, etc.</p> <p>定期開展內部審計工作，對公司的財務狀況、業務流程、交易記錄等進行全面審查。</p> <p>2. Establish dedicated reporting channels, such as reporting mailboxes and reporting hotlines, and disclose them to employees and customers. At the same time, establish a whistleblower protection system to encourage employees and relevant personnel to actively report suspicious behaviour.</p> <p>設立專門的舉報渠道，如舉報郵箱、舉報熱線等，並向員工和客戶公開。同時，建立舉報人保護制度，鼓勵員工和相關人員積極舉報可疑行為。</p> <p>3. Formulate clear, specific and detailed anti-corruption policies and codes of conduct to clearly define the scope of various types of non-compliance and provide clear guidelines for employee behaviour.</p> <p>制定清晰、明確且詳細的反貪污政策與行為準則，明確界定各類違規行為的範疇，為員工行為提供明確指引。</p>



## 4 Metrics and targets 指標與目標

During the Reporting Period, Holly Futures launched a variety of anti-corruption training and activities, covering more than 95% of the staff, including the Company's organisation of a warning education conference, a focus on watching warning education films, a visit to the Constitution Park, and participation in the Holding Group's Risk Control and Legal Lecture Hall, which educated more than 1,260 people; and organisation of an anti-corruption riddle quiz, The Group has organised the following activities: "Drawing Clean Kites - Advocating Diligence and Integrity in the Family", a parent-child kite-drawing and flying activity, "Building a Line of Defence in Discipline and Law - Youth Accompanying Integrity", and the recording of a micro-video entitled "Clean Winds and Clean Words - Clerks Talking about Diligence and Integrity". The number of participants in these activities totalled 471. In the future, Holly Futures will continue to carry out anti-commercial bribery and anti-corruption training in various forms and with a higher coverage rate, to strictly enforce disciplinary actions, and to resolutely prevent the occurrence of incidents of violation of regulations.

報告期內，弘業期貨開展形式多樣的反腐敗培訓和活動，相關培訓和測試覆蓋 95% 以上的員工，其中公司組織召開警示教育大會、集中觀看警示教育片、參觀憲法公園活動和參加控股集團風控法務大講堂等活動，受教育人員逾 1,260 人次；先後組織開展猜廉政燈謎、《繪廉潔風箏·倡勤廉家風》風箏繪製放飛親子活動、《紀法築防線·青春伴廉行》紀法知識競賽、錄製《清風廉語·書記談勤廉》微視頻等廉潔文化特色活動，有關活動參加人數共 471 人次。未來，弘業期貨將持續開展形式多樣、覆蓋率更高的反商業賄賂及反貪污培訓，嚴明紀律處分，堅決杜絕違反規定的事件的發生。



# 03

## Green Development to Protect Lucid Waters and Lush Mountains

### 綠色發展，守護綠水青山<sup>2</sup>

Since the 20th Party Congress, China's ecological civilisation has reached a critical turning point in its history, with the goal of carbon peaking and the vision of carbon neutrality, an important directive that not only profoundly reveals China's major responsibility in global ecological governance, but also leads the whole society to move forward steadfastly in the direction of green, low-carbon and sustainable development. As an important participant in the financial field, Holly Futures has been steadfastly implementing various important measures to cope with climate change and environmental protection, integrating the concept of green development into corporate development and operation, and making unremitting efforts to promote the green transformation of the economy and society, and to realise the vision of a beautiful China where mankind and nature coexist in harmony.

黨的二十大以來，我國生態文明建設迎來了歷史性的關鍵轉捩點，碳達峰目標和碳中和願景，這一重要指示不僅深刻揭示了我國在全球生態治理中的重大責任，更引領著全社會向綠色、低碳、可持續發展的方向堅定邁進。作為金融領域的重要參與者，弘業期貨始終堅定不移地貫徹落實應對氣候變化和環境保護的各項重要舉措，將綠色發展理念融入到企業發展經營中，為推動經濟社會綠色轉型、實現人與自然和諧共生的美麗中國願景而不懈努力。

Responding to material issues:

回應重要性議題：

1 Climate change、6 Energy utilization、7 Water utilization

1 應對氣候變化、6 能源利用、7 水資源使用

<sup>2</sup> During the Reporting Period, the statistical caliber of the key environmental data indicators was the headquarters of Holly Futures, which accounted for 45.8% of the overall office headcount.  
報告期內，關鍵環境資料指標的統計口徑為弘業期貨總部，占全部辦公人數的 45.8%。



United Nations Sustainable Development Goals (SDGs) response:  
聯合國可持續發展目標 (SDGs) 回應：



# Climate change

## 應對氣候變化

With the concept that “Lucid waters and lush mountains are invaluable assets”, Holly Futures has been actively responding to the advancement of the work of Carbon Dafeng and the fulfilment of its objectives, to cope with the risks and opportunities brought about by climate change amidst the development and changes. Following the TCFD framework and Appendix C2 of the Listing Rules of the HKEX, Holly Futures has set up a governance organisation to respond to climate change, improved the management process and response strategy for identifying climate risks, and presented the Company's performance during the Reporting Period through indicators.

弘業期貨牢固樹立綠水青山就是金山銀山的理念，積極回應碳達峰碳中和工作的推進和目標的實現，在發展和變革中應對和把握氣候變化帶來的風險和機遇。弘業期貨根據 TCFD 框架和香港聯交所證券上市規則附錄 C2，設立應對氣候變化的治理機構，完善識別氣候風險的管理流程和應對策略，並通過指標呈現公司在報告期內的績效表現。

### 1 Governance 治理

Strategy and ESG Committee, as the decision-making level, assesses and formulates the climate change vision, organisational structure, strategic planning, etc.; paies attention to the development trend, risks and opportunities in the field of climate change, researches the Company's climate change policy and puts forward proposals; and be responsible for reviewing the Company's reports related to climate change and reporting to the Board of Directors. General Manager Office, as the managerial level, is directly involved in the management, coordination, supervision, and reporting of the response to climate change, and it leads the multi-departmental team to play a synergistic role. Party and Government Work Office is the executive department to collect bottom-line information and implements relevant energy-saving and emission-reduction measures.

戰略與 ESG 委員作為決策層會評估制定氣候變化願景、組織架構、戰略規劃等；關注氣候變化領域發展趨勢、風險和機遇，就公司氣候變化政策進行研究並提出建議；負責公司氣候變化相關報告的審議，並向董事會匯報。總經理室作為管理層直接參與應對氣候變化的管理、統籌、監督和匯報工作，統領多部門整體發揮合力作用。黨政辦公室作為執行部門收集底層資料並落實相關節能減排措施。

### 2 Strategy 戰略

Holly Futures has identified and disclosed the policy and action in responding to climate risks and seizing climate-related opportunities. Following the climate risk disclosure framework of TCFD, the Company identified the possible impact of climate change on its business segments for short (1-2 years), medium (3-5 years), medium and long (6-9 years) and long (10 years and more).

弘業期貨識別並披露氣候風險和把握氣候機遇方面的方針與行動，公司將氣候變化風險在短期（1-2年）、中期（3-5年）、中長期（6-9年）和長期（10年及以上）等不同尺度可能對自身業務板塊產生的影響進行了識別。

Type of risk 風險類型	Description of the risk 風險描述	Time horizon 影響時間	Intensity of impact 影響強度	Scope of impact 影響範圍	Response measures 應對措施
Transition risks 轉型風險	<p>With the introduction of carbon neutrality, green finance and other related policies triggering market demand for climate-friendly products or services, the Company and its customers' businesses are exposed to compliance risk due to failure to meet regulatory requirements.</p> <p>隨著碳中和、綠色金融等相關政策的出台引發市場對氣候友好型產品或服務的需求，導致公司及公司客戶業務因未滿足監管規定而面臨合規風險。</p>	Long 長期	Medium 溫和	The Company 全公司	<p>Proactively identify changes in regulations and policies related to climate change and develop response measures to address compliance requirements</p> <p>積極識別與氣候變化相關的法規政策變化，制定應對措施以應對合規要求。</p>
Market risk 市場風險	<p>With the deepening of the dual-carbon strategy and the green financial policy, which triggers the market demand for climate-friendly products or services, the Company faces the risk of reduced market competitiveness as a result of the Company's failure to meet the expectations of society and customers.</p> <p>隨著雙碳戰略和綠色金融政策的深入，引發市場對氣候友好型產品或服務的需求，公司未滿足社會及客戶對公司期待而面臨的市場競爭能力降低的風險。</p>	Long 長期	Medium 溫和	The Company 全公司	<p>To develop green finance business and build up the image of a responsible green enterprise.</p> <p>發展綠色金融業務的開展，樹立負責任綠色企業形象。</p>
Reputation risk 聲譽風險	<p>Regulatory mandatory disclosure of climate-related financial information lacks historical information and accurate accounting methods, which affects the quality of disclosure.</p> <p>監管強制披露氣候相關財務信息，缺乏歷史資料與精準核算方法，影響披露品質。</p>	Long 長期	Medium 溫和	The Company 全公司	<p>Strengthen the environmental data base, continuously provide stakeholders with information on greenhouse gas emissions, and reduce energy consumption and greenhouse gas emissions through various green operation measures.</p> <p>夯實環境資料基礎，持續向利益相關方提供溫室氣體排放信息，通過各種綠色運營措施降低能耗減少溫室氣體排放</p>

Type of risk 風險類型	Description of the risk 風險描述	Time horizon 影響時間	Intensity of impact 影響強度	Scope of impact 影響範圍	Response measures 應對措施
Physical risks 急性實體風險 實體風險	Extreme weather conditions such as typhoons, floods, droughts, rain, snow and ice, etc. caused by climate change may affect the normal operation of the Company's business divisions and result in property losses, which may affect the Company's business.  氣候變化導致的颱風、洪水、乾旱、雨雪冰凍等極端天氣可能影響公司營業部正常運營並造成財產損失，進而影響公司業務。	Short 短期	High 劇烈	The Company 全公司	Continuously operate and provide reliable services in the face of frequent occurrence of extreme weather; develop online services through multiple channels and methods to ensure that customers can complete transactions and business operations at home.  在頻繁發生極端天氣的情況下持續運營，提供可靠的服務；多渠道、多方式開展線上服務，保障客戶足不出戶完成交易和業務辦理。  Conduct regular emergency drills to familiarise ourselves with responding to health, safety and hygiene incidents arising from climate change.  定期開展應急演練，以熟練應對氣候變化產生的健康安全衛生事件。
Chronic risk 慢性實體風險	The Company is headquartered in Nanjing, which is at a relatively low altitude and may be exposed to the risk of flooding due to sea level rise. Continuous rise in temperature may cause employees to be deeply affected by high temperatures, which may increase the consumption of refrigeration power.  公司總部位於南京，海拔較低，可能面臨海平面上升導致的水災風險，持續氣溫上升易導致員工深受高溫影響，增加製冷電量的消耗。	Long 長期	Medium 溫和	The Company 全公司	Regularly track the environmental and climatic risks of the operation sites, replace old and inefficient equipment and facilities, and safeguard the occupational health and safety of employees.  定期追蹤運營地的環境和氣候風險，更換老舊低效能設備設施，保障員工職業健康安全。

1 Risk management  
風險管理

Holly Futures integrates climate change-related risks into its overall risk management culture and processes. The Company closely tracks and collects domestic and international policies and regulations related to climate change, identifies risk factors affecting the company, ranks and analyses the extent of their impact on the company, and formulates corresponding response and development measures and strategies on time. The Company identifies and warns of potential environmental risks arising from extreme climate change, actively launches emergency drills and educational activities to cope with climate change, and puts the personal safety of its employees in the first place, while safeguarding the safety of the Company's assets. The process of identifying risks related to climate change is as follows:

弘業期貨將氣候變化相關風險融入公司整體風險管理文化和流程中，公司緊密跟蹤國內外氣候變化相關的政策法規，收集與氣候變化相關的監管要求，識別對公司產生影響的風險因素，將其對公司的影響程度進行排序分析，及時制定相應的應對和發展措施和戰略。公司對極端氣候變化潛在產生的環境風險進行提前識別和預警，積極開展應對氣候變化的應急演練和教育活動，將員工的人身安全放在第一位，同時保障公司的資產安全。公司識別氣候變化相關風險的流程是：



## 2 Metrics and targets 指標與目標

During the Reporting Period, the Company proactively implemented various emission reduction measures and improved the efficiency of energy utilisation, achieving a reduction in total and per capita greenhouse gas emissions compared to 2023. In the future, the Company will continue to implement energy saving and emission reduction measures, and take more stringent standards and practical actions to reduce carbon emissions generated in the course of operations, to realise the “Double Carbon” target.

報告期內，公司積極實施各類減排措施，提高能源利用效率，實現了溫室氣體總量及人均排放量較 2023 年有所下降。未來，公司將貫徹節能減排措施，以更嚴格的標準和實際行動降低運營過程中產生的碳排放，助力實現『雙碳』目標。

### GHG emissions/ 溫室氣體<sup>3</sup>

Direct greenhouse gas emissions (Scope 1)  
直接溫室氣體排放量（範圍一）

32.27  
CO2e tons  
噸二氧化碳當量

Indirect greenhouse gas emissions (Scope 2)  
間接溫室氣體排放量（範圍二）

475.09  
CO2e tons  
噸二氧化碳當量

Total greenhouse gas emissions  
溫室氣體排放總量

507.36  
CO2e tons  
噸二氧化碳當量

Per capita emissions of greenhouse gases  
溫室氣體人均排放量

1.74  
CO2e tons/person  
噸二氧化碳當量 / 人

<sup>3</sup> The scope of GHG emissions is the direct GHG emissions from petrol consumption of owned vehicles and the indirect GHG emissions from purchased electricity. GHG inventories contain carbon dioxide, methane and nitrous oxide. GHG emissions are presented in terms of carbon dioxide equivalent, and direct GHG emissions calculated in accordance with the General Rules for Calculation of Comprehensive Energy Consumption (GBT2589-2020), the 2019 Revision to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories by the Intergovernmental Panel on Climate Change (IPCC), Climate Change 2023: Synthesis Report. Indirect GHG emission factors are taken from the Announcement on the Release of CO2 Emission Factors for Electricity in 2022.

溫室氣體排放量核算範圍為自有車輛汽油消耗產生的直接溫室氣體排放，以及外購電力產生的間接溫室氣體排放，涉及的溫室氣體包含二氧化碳、甲烷和氧化亞氮。溫室氣體排放資料按照二氧化碳當量呈列。直接溫室氣體排放的計算因數來源於《綜合能耗計算通則（GB/T2589-2020）》《IPCC 2006年國家溫室氣體清單指南 2019 修訂版》《IPCC 第六次評估綜合報告》，使用電力排放因子取自《關於發佈 2022 年電力二氧化碳排放因數的公告》。

## Emissions management 排放物管理

Holly Futures strictly abides by laws and regulations related to environmental protection such as the Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution, the Water Pollution Prevention and Control Law of the People's Republic of China, the Law on the Prevention and Control of Environmental Pollution Caused by Solid Waste, and the Regulation on the Administration of the Recovery and Disposal of Waste Electrical and Electronic Products, and has been practicing the concepts of green and sustainable development.

公司嚴格遵守《中華人民共和國大氣污染防治法》《中華人民共和國水污染防治法》《中華人民共和國固體廢棄物污染環境防治法》《廢棄電器電子產品回收處理管理條例》等相關法律法規，始終踐行綠色環保與可持續發展理念。

As a financial enterprise, the Company's business does not damage, pollute or abuse the environment and resources, nor does it belong to the high-energy-consuming and high-emission industry. The wastewater generated by the Company is mainly domestic wastewater generated in the office process; the harmless waste generated is mainly waste paper and domestic garbage generated in the office process; the hazardous waste generated includes waste toner cartridges and so on, and there are no waste electronic products generated. During the Reporting Period, the Company did not have any environmental pollution incidents or penalties imposed for breaches of environmental laws and regulations.

作為金融類企業，公司主要污染源包括辦公車輛尾氣排放。公司產生的廢水主要為辦公過程中產生的生活廢水，產生的無害廢棄物主要為辦公過程中產生的廢紙、生活垃圾等，產生的有害廢棄物包括廢棄硒鼓等，未有廢棄電子產品產生。報告期內，公司未發生任何環境污染事件，未發生任何因違反環保相關法律法規而收到處罰的情況。



**Wastewater:** Strictly comply with the relevant provisions of the Water Pollution Prevention and Control Law, and incorporate domestic wastewater into the municipal sewage network and then send it to the municipal wastewater treatment plant for disposal.

廢水：嚴格遵守水污染防治法相關規定，將生活廢水納入市政污水管網後送至城市汙水處理廠處置。



**Waste disposal:** Adhering to the concepts of recycling and harmless disposal, different treatment methods are set up for different types of waste to ensure proper disposal. For office waste, waste separation and recycling is carried out and property management units are responsible for its removal. Hazardous waste is entrusted to qualified organisations for recycling and disposal or reuse.

廢棄物處置：秉承循環利用和無害化處置理念，針對不同種類廢棄物設置不同的處理方式，保障其實現妥善處理。針對辦公垃圾，開展垃圾分類回收，並由物業管理單位統一清運。有害廢棄物委託有資質的單位進行回收處置或再利用。



**Waste Reduction:** Promoting the “Clear Your Plate Campaign”, publicising waste separation and strengthening waste generation statistics, the Company endeavours to reduce waste at source and keep the amount of non-hazardous and hazardous waste generated at a relatively low level.

廢棄物減量：提倡『光碟行動』、宣傳垃圾分類、強化廢棄物產生量統計，努力做到源頭減量，將無害及有害廢棄物產生量控制在較低水準。



During the Reporting Period, the Company's total and per capita consumption of major energy and water resources decreased compared to the previous year.

報告期內，公司主要能源、水資源總消耗量與人均消耗量較上年度均有所降低。





**Consumption Reduction:** use the Office Automation (OA) management system to implement electronic approval, printing, attendance, etc.; promote online business, advocate online meetings, and encourage email communication; implement paperless office, use double-sided paper as far as possible, and reasonably use secondary paper; prepare personal water cups and reduce the use of disposable paper cups.

**降耗：**使用辦公自動化（OA）管理系統，落實電子審批、用印、考勤等；推動各項業務線上化，提倡線上會議，鼓勵電子郵件溝通；推行無紙化辦公，盡可能雙面用紙，合理使用二次紙；自備個人水杯，減少一次性紙杯的使用。



**Low-carbon:** formulate the Regulations on the Management of Public Vehicles to encourage the use of public transport in daily operations, with official vehicles protecting only the urban area and the province and neighbouring provinces, reducing the frequency of official vehicle use and tailpipe emissions. Encourage employees to give priority to green and low-carbon travelling modes such as public transport, cycling and walking for daily commuting.

**低碳：**制定《公車管理辦法》，在日常經營中，鼓勵公共交通使用，公務用車僅保障市區與省內與鄰近省份，減少公務用車頻次，減少尾氣排放。鼓勵員工日常通勤優先選擇公共交通、自行車和步行等綠色低碳出行方式。

## Resources and energy consumption 資源、能源消耗<sup>6</sup>

Consumption of purchased electricity  
外購電力消耗量

885,364  
kWh  
千瓦時

Per capita electricity consumption  
人均耗電量

3,042.49  
kWh/person  
千瓦時 / 人

Consumption of gasoline  
汽油消耗量

14.41  
kL  
千升

Total amount of gasoline per capita  
人均汽油消耗量

0.05  
kL/person  
千升 / 人

Total energy consumption  
能耗消耗總量

124.30  
ton standard coal 噸標準煤

Direct energy consumption  
直接能源消耗

15.49  
ton standard coal 噸標準煤

Indirect energy consumption  
間接能源消耗

108.81  
ton standard coal 噸標準煤

Energy consumption intensity  
能耗密度

0.43  
ton standard coal/person 噸標準煤 / 人

Water consumption  
耗水量

3,572  
ton 噸

Per capita water consumption  
人均耗水量

12.27  
Ton/person 噸 / 人

## Green finance 綠色金融

Green finance is not only an important bridge between the ecological value of “lucid waters and lush mountains” and the economic value of “invaluable assets”, but also a key link to realise the synergy between sustainable economic development and ecological environment protection. The Company actively responds to the major strategic deployment of the transformation and development of the real economy under the guidance of the national “dual-carbon” goal. The Company is exploring effective ways to develop green finance, and is committed to contributing to the construction of a greener, more harmonious and sustainable social development pattern while achieving its steady development.

綠色金融不僅是連接『綠水青山』的生態價值與『金山銀山』的經濟價值之間的重要橋樑，更是實現經濟可持續發展與生態環境保護協同共進的關鍵紐帶。公司主動回應國家『雙碳』目標引領下實體經濟轉型發展的重大戰略部署。公司探索發展綠色金融的有效路徑，致力於在實現自身穩健發展的同時，為構建更加綠色、和諧、可持續的社會發展格局貢獻力量。

With the listing of polysilicon futures, the number of new energy products Holly Futures traded on the Guangzhou Futures Exchange has increased to three, helping the market focus on the environmental protection industry, providing risk management tools for the development of a green and low-carbon economy, and serving the new energy industry chain. Holly Futures is actively fulfilling its mission of serving the real economy by cultivating the market, enhancing clean energy industry enterprises' knowledge and understanding of the futures market, guiding them to use futures for risk management, and helping them to cope with market fluctuations. In the future, clean energy futures products will continue to help enterprises reduce costs, enhance operational efficiency and competitiveness, and promote the development of the green economy.

隨著多晶硅期貨的上市，弘業期貨在廣州期貨交易所交易的新能源品種已增加至三個，助力市場關注環保產業，為綠色低碳經濟發展提供風險管理工具，服務新能源產業鏈。弘業期貨積極踐行金融服務實體經濟使命，做好市場培育工作，加強新能源產業企業對期貨市場的認識和理解，引導企業利用期貨進行風險管理，助力企業應對市場波動。未來不斷上新的新能源期貨品種將繼續助力企業降低成本，提升企業經營效率和競爭力，推動綠色經濟健康發展。

<sup>4</sup> Energy consumption is calculated based on the electricity and gasoline consumption, and the conversion factors in the national standard of the People's Republic of China, General Rules for Calculation of Comprehensive Energy Consumption (GB/T2589-2020).  
能源消耗量根據電力、汽油消耗量和中華人民共和國國家標準《綜合能耗計算通則（GB/T2589-2020）》中的換算因數計算。

# 04

## Trust and Win-win, Optimize Customer Service

### 信賴共贏，優質客戶服務

In the course of development, Holly Futures has constantly innovated itself and upgraded the level of refinement in corporate management and professionalism in service. By vigorously promoting the innovative development of Internet financial services and deeply strengthening the integrated construction of investment and research, the company has achieved high efficiency and convenience in financial services as well as precision and professionalism in investment research. The company has comprehensively sorted out and optimised the customer service process to make it more standardised, efficient and humane, which has won the high trust of customers and realised mutual benefits and a win-win situation with customers.

在發展的征程中，弘業期貨不斷自我革新，持續提升企業管理的精細化水準與服務的專業水準。通過大力推進互聯網金融服務的創新發展，深度加強投研一體化建設，實現了金融服務的高效便捷與投資研究的精準專業。公司對客戶服務流程進行全面梳理與優化，使其更加規範、高效、人性化，贏得了客戶的高度信賴，實現了與客戶之間的互利共贏。

Responding to material issues:

回應重要性議題：

14 Product and service safety and quality、15 Data security and customer privacy protection、20 Anti-unfair competition

14 產品和服務安全與品質、15 數據安全與客戶隱私保護、20 反不正當競爭



United Nations Sustainable Development Goals (SDGs) response:  
聯合國可持續發展目標 (SDGs) 回應：



# Quality of products and services

## 產品和服務品質

Holly Futures actively promotes the “Holly Technology” strategy, deeply integrating cutting-edge technology with the futures business. By actively expanding and optimising customer communication and feedback channels, we ensure that the voices of our customers are transmitted to the Company in a timely and effective manner and receive effective feedback. Through precise insights into customer needs, the Company creates a personalised and efficient service experience for customers based on intelligent means. The Company has always been committed to the pursuit of quality, and is unswervingly dedicated to providing clients with a full range of high-quality services, helping clients to move forward steadily in the futures market, and creating value together.

弘業期貨積極推進『科技弘業』戰略，深度融合前沿科技與期貨業務。通過積極拓展並優化客戶溝通回饋渠道，確保客戶的聲音能夠及時、有效地傳遞至公司內部並得到有效回饋。公司通過精準洞察客戶需求，以智慧化手段為依託，為客戶打造個性化、高效化的服務體驗。公司始終堅守對品質的追求，矢志不渝地致力於為客戶提供全方位、高品質的服務，助力客戶在期貨市場中穩健前行，攜手共創價值。

### 1 Governance 治理

Holly Futures continues to deepen the construction of an intelligent customer service system and builds a comprehensive product and service management system. General Manager's Office, as the managerial level, evaluates the progress of innovative projects and coordinates internal and external cooperation resources; coordinates the service supervision system and continues to pay attention to major complaints; supervises the implementation of various departments and reports to the Board of Directors. Various departments act at the executive level to promote product innovation and research, customer service and response.

弘業期貨持續深化智慧化客戶服務體系的構建工作，構建完善的產品和服務管理體系。總經理室作為管理層評估創新項目進度，協調內外部合作資源；統籌服務監督體系，持續關注重大問題投訴；監督各部門執行情況並向董事會匯報。多部門作為執行層實際推動產品創新和研究、客戶服務和回應工作。



### 2 Strategy 戰略

#### Enhancing digital intelligence services

##### 提升數智化服務

Against the backdrop of digital transformation, Holly Futures, with a forward-looking strategic vision, has been steadfastly promoting digital transformation and making every effort to promote the construction and improvement of its intelligent platform. The Company continuously upgrades and optimises the “Holly Easy” APP, enhancing its functionality and operational convenience to improve user experience. The company is orderly promoting the development of the “Holly Futures Mini Program” and “Holly Futures APP”, successfully building a cloud service system with “APP+new media” as the core dual pivot, providing customers with efficient, accurate, and comprehensive services.

在數位化變革的時代背景下，弘業期貨秉持前瞻性戰略眼光，堅定不移地推進數位化轉型工作，全力推動智慧平臺的建設與完善。公司對『弘運通』APP<sup>7</sup> 進行持續的升級與優化，不斷增強其功能的完備性與操作的便捷性，以提升用戶體驗。與此同時，公司有序推進『弘業期貨小程序』及『弘業期貨 APP』<sup>8</sup> 的開發工作，成功搭建起以『APP+ 新媒體』為核心雙支點的雲服務體系，為客戶提供高效、精準且全方位的服務。

The Company is focusing on building an online new media matrix, fully integrating resources, and leveraging the advantages of new media communication. Through this matrix, the Company regularly pushes diversified investment information to clients, including market morning and evening reviews, in-depth research reports on varieties, professional trading strategies, etc., and timely issues important announcements related to margin rate adjustments, changes in trading delivery rules, etc., to ensure that clients can timely and accurately grasp market dynamic information and provide solid and reliable information support for their investment decisions. Holly Futures pays close attention to the trend of new media and digital development, actively expands its layout, and vigorously launches a series of online featured columns such as “Holly Finance”, “Digital Reading”, “Sound and Color”, etc., committed to providing customers with high-quality financial knowledge and market analysis content.

公司著力構建線上新媒體矩陣，充分整合資源，發揮新媒體傳播優勢。通過該矩陣，公司定期向客戶推送涵蓋市場早晚評、品種深度研報、專業交易策略等在內的多樣化投資信息，並及時發佈有關保證金率調整、交易交割規則變更等重要公告，確保客戶能夠及時、準確地掌握市場動態信息，為其投資決策提供堅實可靠的信息支撐。弘業期貨高度關注新媒體與數位化發展的潮流趨勢，積極佈局，大力推出《弘觀財經》《數讀黑金》《有聲有色》等一系列線上特色欄目，致力於為客戶提供優質的金融知識與市場分析內容。

Looking ahead, Holly Futures will continue to closely follow the development trend of the digital media field, actively expand cooperation opportunities with external professional organisations, try to introduce advanced AIGC technology, and continue to innovate in new media publicity work, and endeavour to provide customers with more rich and diversified content products as well as more diversified forms of presentation, to further enhance the quality and standard of customer service, and to realise the common development with customers. We will further improve the quality and standard of customer service to achieve mutual development with our customers.

展望未來，弘業期貨將持續緊密跟蹤數字傳媒領域的發展趨勢，積極拓展與外部專業機構的合作機會，嘗試引入先進的 AIGC 技術，在新媒體宣傳工作中不斷創新，努力為客戶提供更為豐富多元的內容產品以及更加多樣化的呈現形式，進一步提升客戶服務的品質與水準，實現與客戶的共同發展。

<sup>7</sup> “Holly Easy” APP is a mobile trading software under Holly Futures, which integrates online account opening, futures trading, options trading, fund trading and professional information.

『弘運通』APP 是弘業期貨旗下的一款手機交易軟體，集線上開戶、期貨交易、期權交易、基金交易、專業資訊為一體的應用程序。

<sup>8</sup> “Holly FuturesAPP” is a one-stop comprehensive financial service software that integrates audio-visual information, market trading, business operation, wealth management, and futures investment and education.

『弘業期貨 APP』是一款集視聽資訊、行情交易、業務辦理、財富管理、期貨投教於一體的一站式綜合金融服務軟體。

### Intellectual property protection

#### 保護知識產權

The Company attaches importance to the management of intellectual property rights, fully respects the intellectual property rights related to the intellectual labour achievements of others, and pays attention to the prevention of risks of intellectual property infringement in business development and operation management. The Company has formulated the Measures for the Management of the Work of Software Genuine Edition, and has made clear the management of genuine software in the procurement, installation, use and other aspects of the use of genuine software, to promote the work of software genuine edition. During the Reporting Period, the Company did not experience any significant intellectual property infringement incidents.

公司重視知識產權管理工作，充分尊重他人智力勞動成果相關的知識產權權利，在業務發展和經營管理中注重防範知識產權侵權風險，公司制定了《軟件正版化工作管理辦法》，在採購、安裝、使用等使用環節明確對正版軟件的管理行為，推進軟件正版化工作。報告期內，公司未發生重大知識產權侵權事件。

### Customer service work

#### 客戶服務工作

To ensure that all kinds of complaints are properly handled promptly, the Company has issued the Customer Complaint Handling Regulations. The Company has set up the following complaint channels: complaint telephone, e-mail, interviews, etc. and has published on the Company's website. The key points of the Company's complaint handling are as follows:

為確保各類投訴時間及時得到妥善處理，公司出台《客戶投訴處理辦法》。公司設立以下投訴途徑：投訴電話、電子郵件、信訪等並已通過公司網站公示。公司投訴處理要點如下：

For general complaints, the relevant business departments should solve the problem locally, and if the problem cannot be solved through coordination, it should be transferred to Customer Service Dept in time according to the stipulated procedures. If it is the responsibility of the Company, the department under complaint should sincerely apologise to the customer to gain his understanding. If no co-ordination can be made and direct economic loss has been caused to the customer, a written proposal for handling the complaint should be submitted to the supervisory leader after the amount of loss has been verified;

對於一般性投訴，相關業務部門應做到就地解決，無法協調解決的及時轉交客戶服務部按規定程序處理。確屬公司責任的，被投訴部門應真誠向客戶道歉取得客戶諒解。協調不成且已給客戶造成直接經濟損失的，應在核定損失金額後向分管領導提交書面投訴處理建議；

The relevant department shall feed back the complaint investigation and the progress or result of the complaint handling to Customer Service Dept within 1 working day after receiving the complaint. The customer service staff shall make a return visit to the customer within 2 working days after the completion of complaint handling. If the customer indicates that the problem has not been solved, the complaint will be transferred to secondary complaint acceptance;

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

For major complaints, if Compliance and Legal Dept investigates and the facts are confirmed to be caused by the Company's or staff's illegal and unlawful behaviours, or if it may trigger a mass or vicious incident, the relevant department will report to the regulator after confirmation from the relevant department's leader and Chief Risk Officer;

對於重大投訴，合規法律部調查，事實認定確屬公司或工作人員違法違規行為造成的，或可能引發群體性、惡性事件的，經相關部門領導及首席風險官確認後，由相關部門報監管機構；

Customer service staff shall fill in the “Customer Interview Registration Form” based on the written complaint materials of customers and bind it for safekeeping. Customer complaint receivers, handlers and related personnel shall be responsible for the confidentiality of the contents of customer complaints.

客服人員應根據客戶書面的投訴材料填寫《客戶信訪登記表》並裝訂保管。客戶投訴受理人、處理人及相關人員，對客戶投訴的內容應負有保密責任。

### Investor education and protection

#### 投資者教育與保護

Holly Futures has always firmly anchored on investor education and investor protection as its core development path, and has promoted investor education in a solid and powerful manner. The Company has launched investor education activities in various forms and with rich contents, fully utilising multiple channels combining online and offline to enhance investors' awareness of risk prevention from various aspects and perspectives, such as popularisation of investment knowledge, warning of risk cases, and cultivation of safety awareness, etc. The Company has also launched investor education activities from various aspects and perspectives to guide investors to view fluctuations in the market objectively and to build up the concepts of rational, value-based, and long-term investment. We aim to protect the legitimate rights and interests of investors.

弘業期貨始終堅定地錨定以『投資者教育和投資者保護』為核心發展之路，扎實有力地推進投資者教育工作。公司通過開展形式多樣、內容豐富的投教活動，充分運用線上線下相結合的多元渠道，從投資知識普及、風險案例警示、安全意識培養等多個方面與角度，全方位提升投資者的風險防範意識，多方位、多角度開展投資者教育專項活動，引導投資者客觀看待行情波動，樹立理性投資、價值投資、長期投資理念為目標，全力守護投資者的合法權益。

By the Opinions of the General Office of the State Council on Further Strengthening the Protection of the Lawful Rights and Interests of Small and Medium-sized Investors in the Capital Market and other relevant requirements, Holly Futures has formulated and adhered to the Measures for Administration of Securities and Futures Investor Suitability, strictly standardized the investor account opening business process. The Company actively improves the risk classification and assessment of products, and accurately classifies risk levels according to scientific methods. At the same time, the Company has refined the classification of investors and integrated multi-dimensional factors to differentiate between investor types. The Company's main measures to protect investors' rights and interests include:

公司嚴格遵循《國務院關於加強監管防範風險推動資本市場高品質發展的若干意見》等要求，制定並切實落實《證券期貨投資者適當性管理辦法》，嚴格規範投資者開戶流程。公司積極完善產品風險分類評估，依據科學方法精準劃分風險等級。同時，公司細化投資者分類，綜合多維度因素區分投資者類型。公司保護投資者權益的主要措施有：



- Publish various pushes and announcements on various online platforms to warn against fraud and illegal futures activities, and guide investors to guard against fraudulent activities, learn about futures through formal channels and stay away from illegal futures;  
在各類線上平臺發佈各類警惕詐騙與非法期貨活動的推送與公告，引導投資者防範詐騙活動，通過正規渠道了解期貨，遠離非法期貨；
- Strictly regulate the business process of investor account opening, and carry out strict identity authentication such as video link auditing and adequate risk disclosure for investors;  
嚴格規範投資者開戶業務流程，對投資者進行視頻連線審核等嚴格的身份認證與充分的風險揭示；
- Use investment education bases as a platform and school-enterprise cooperation as a means to ensure diversification of investor education and protection and to continuously promote related activities.  
以投教基地為平臺，以校企合作為抓手，確保投資者教育與保護工作多元化，持續推動相關活動的開展。



### 3 Risk management 風險管理

Holly Futures has organised a risk identification team comprising business leaders and professional compliance officers to further define the precise objectives of risk identification, focusing on the core business segments such as futures brokerage and asset management, and to explore potential risks in depth. At the same time, the Company clearly outlines the boundaries of risk identification, specifying the business scope, departments and customer groups involved, and builds a solid foundation for risk identification by collecting a wide range of internal and external information.

弘業期貨組織業務骨幹與專業合規人員等組成的風險識別團隊，進一步明確風險識別的精確目標，聚焦于期貨經紀、資產管理等核心業務板塊，深入挖掘潛在風險。同時，公司清晰勾勒出風險識別的邊界，明確所涉業務範圍、部門及客戶群體，通過廣泛收集內外部多元信息，築牢風險識別的堅實基礎。



#### Risk category 風險類別

Investment  
advisory  
services risk  
投資諮詢服務風險



#### Risk description 風險描述

1. The information provided by the Company's staff on market analyses, market forecasts, investment recommendations, etc. may be inaccurate, incomplete or outdated. If clients make investment decisions based on such information, it may result in investment errors and loss of funds.  
  
公司員工提供的市場分析、行情預測、投資建議等信息可能存在不準確、不完整或過時的情況。如果客戶依據這些信息進行投資決策，可能會導致投資失誤，造成資金損失。
2. The Company fails to fully understand customers' risk tolerance, investment objectives, financial situation and other personalised needs, and provides investment advice that does not match customers' actual circumstances, which may expose customers to risks that are beyond their tolerance.  
  
公司未能充分了解客戶的風險承受能力、投資目標、財務狀況等個性化需求，提供的投資建議與客戶實際情況不匹配，可能使客戶面臨超出其承受範圍的風險。



#### Risk identification and response mechanisms 識別和應對機制

The Company will conduct a comprehensive and detailed sorting of its various businesses, such as futures brokerage business, asset management business, fund sales business, futures investment consulting business, etc. The Company will also conduct a comprehensive and detailed sorting of the business processes of each business segment, including the operation procedures of each business segment, the personnel and departments involved, the flow of funds, and the information transmission channels. The specific operation process of each business segment, the personnel and departments involved, the flow of funds and the path of information transmission are clearly defined. For example, in the brokerage business, there may be risk points in every aspect of the business, from client account opening, trade order issuance, trade execution, clearing to delivery. By combining the business process in detail, we can identify the key points where risks may arise.

公司會對自身的各項業務，如期貨經紀業務、資產管理業務、基金銷售業務、期貨投資諮詢業務等進行全面細緻的梳理。明確每個業務環節的具體操作流程、涉及的人員和部門、資金流向以及信息傳遞路徑等。例如在經紀業務中，從客戶開戶、交易指令下達、交易執行、結算到交割等各個環節，都可能存在風險點。通過詳細梳理業務流程，能夠清晰地找出可能出現風險的關鍵節點。

Client communication and feedback risk  
客戶溝通與回饋風險

1. The Company's failure to respond promptly to customers' enquiries and complaints, or its untimely release of important market information and risk alerts, etc., prevents customers from obtaining critical information, which affects their decision-making and risk control, which in turn leads to incorrect decision-making and affects customer satisfaction.

公司未能及時回復客戶的諮詢、投訴等信息，或者在重要市場信息發佈、風險提示等方面不及時，導致客戶無法及時獲取關鍵信息，影響其決策和風險控制，進而做出錯誤的決策，影響客戶滿意度。

2. Staff's failure to receive and handle customer complaints on time and excessive delays will aggravate customer dissatisfaction, which may lead to more serious disputes and even lead to loss of customers.

員工對客戶的投訴未能及時受理和處理，拖延時間過長，會使客戶的不滿情緒加劇，可能引發更嚴重的糾紛，甚至導致客戶流失。

The Company conducts a comprehensive risk assessment of clients, including their risk tolerance, investment experience, financial situation and transaction objectives. Through questionnaire surveys, face-to-face interviews and data analyses, the Company understands the basic situation and investment preferences of its clients. For clients with low risk tolerance, if they engage in high-risk futures trading, the Company needs to identify the possible risk of client loss and the resulting risk of client complaints and disputes.

公司對客戶進行全面的風險評估，包括客戶的風險承受能力、投資經驗、財務狀況、交易目的等方面。通過問卷調查、面談、資料分析等方式，了解客戶的基本情況和投資偏好。對於風險承受能力較低的客戶，如果其進行高風險的期貨交易，公司就需要識別到可能存在的客戶損失風險以及由此引發的客戶投訴、糾紛等風險。

The Company has carried out various investor protection education activities and information on the activities organised during the Reporting Period is set out below:

公司開展各類投資者保護宣教活動，報告期內組織的活動資料<sup>9</sup>如下：

Number of original educational investment products 原創投教產品種數	Total number of original physical educational products distributed 原創實物投教產品總發放件數	Original electronic product total clicks 原創電子投教產品總點擊量	Number of non original educational investment products 非原創投教產品種數	Total number of non original physical educational products distributed 非原創實物投教產品總發放件數	Total clicks on non original electronic educational products 非原創電子投教產品總點擊量	Event sessions 活動場次	Number of participants in the event 活動參加人次
16	403	64,430	30	600	68,445	12	2,447

Holly Futures collaborates with universities to promote investor education

弘業期貨與高校合力推動投資者教育

On October 28, 2024, Holly Futures entered Nanjing Audit University, focusing on the key group of young financial consumers. Special investment education activities conveyed financial knowledge to investors and strengthened risk prevention awareness. The Company's leadership attaches great importance to this event. Zhao Weixiong, Deputy Secretary of the Party Committee and General Manager, and Shao Xidong, member of the Party Committee, attended. Nine colleagues from HR Dept, Internet Finance Department, and Customer Service Department worked closely together to ensure the smooth completion of the Company's investment and education promotion, employment consultation, and other aspects throughout the process. The Company and other securities and futures institutions organize fun activities to cleverly integrate securities and futures knowledge into traditional entertainment projects such as investment pots, rings, lacquer fans, and more down-to-earth to convey financial knowledge to investors.



2024年10月28日，弘業期貨走進南京審計大學，聚焦青年金融消費者這一重點群體，通過專題投教活動，向投資者傳遞金融知識，強化風險防範意識。公司領導高度重視此次活動，黨委副書記、總經理趙偉雄和黨委委員邵錫棟出席，人力資源部、互聯網金融、客戶服務部等九位同事緊密協作，全程保障好公司投教宣傳、就業諮詢等環節順利完成。公司與其他證券期貨機構一起組織趣味活動，將證券期貨知識巧妙融入投壺、套圈、做漆扇等傳統娛樂項目中，更『接地氣』地向投資者傳遞金融知識。

<sup>9</sup>The statistical universe of the data includes the activities of “Launching the 2024 3-15 Investor Protection Education and Publicity Programme”, “5-15 National Investor Protection Publicity Day” and “World Investor Week 2024”. “World Investor Week 2024”.

該資料的統計口徑包含了『開展2024年3·15投資者保護教育宣傳專項活動』、『5·15全國投資者保護宣傳日』活動和『2024年世界投資者周』活動。

4 Metrics and targets  
指標與目標

The Company has continued to develop and optimise its digital services and innovate. During the Reporting Period, the research and development expenses of “Holly Futures APP” for 2024 amounted to approximately RMB 408,459.67. The Company actively responded to customer complaints. The Company received a total of 8 complaints from customers of its business operations, with a complaint handling rate of 100%. In the future, the Company will closely follow the development trend of digital media, and through external co-operation, try to provide customers with richer contents and more diversified forms of new media publicity with the help of AIGC. The Company will continue to carry out a variety of investor education activities and become a more reliable financial partner for investors and clients through more efficient and convenient customer services.

公司持續發展優化數智服務並持續開拓創新，報告期內，《弘業期貨APP》2024年研發費用約為408,459.67元。公司積極應對客戶投訴問題，報告期內，公司共受理營業業務客戶投訴8宗，投訴處理率100%。未來，公司將緊跟數字傳媒發展趨勢，通過和外部合作的方式，嘗試借助AIGC，在新媒體宣傳方面為客戶提供更豐富的內容和更多樣化的形式。公司將持續開展形式多樣的投資者宣教活動，通過更高效便捷的客戶服務，成為投資者及客戶更可信賴的金融夥伴。



# Data security and customer privacy protection

## 數據安全與客戶隱私保護

The Company has always taken a strict and responsible attitude and strictly followed a series of relevant laws and regulations, such as the Network Security Law of the People's Republic of China and the Personal Information Protection Law of the People's Republic of China. To ensure information security, the Company has formulated a series of internal management systems, such as Working Methods of the Information Technology Committee, Information Technology Management Measures, the Network Security Incident Management Measures, and Information Management Measures, etc., to ensure the safety, efficiency and stability of the additional construction and operation of the information system. The additional construction and operation of the information system are safe, efficient and stable.

公司始終以嚴謹且負責的態度，嚴格遵循《中華人民共和國網絡安全法》《中華人民共和國個人信息保護法》等一系列相關法律法規，為切實保障信息安全，制定了一系列內部管理制度，如《信息技術委員會工作辦法》《信息技術管理辦法》《網絡安全事件管理辦法》《資料管理辦法》等，確保信息系統的額建設和運行安全高效穩定。

### 1 Governance 治理

Information Technology Committee is the main body responsible for information technology system construction, acts as the decision-making level to achieve effective authorisation and control of IT decisions. To ensure effective implementation of the work, the Committee holds regular meetings at least once a quarter or convenes ad hoc committee meetings as required. General Manager's Office serves as the managerial level to supervise the implementation of strategies and systems, and coordinate cross departmental safety work. General Manager's Office supervises the implementation of this topic and reports to Information Technology Committee. Multiple departments act as the executive layer to carry out IT management and execution work. Information Technology Center builds a security technology architecture, formulates information technology management systems, and implements information technology management work. Transaction Delivery Dept and Settlement Dept implement data security standards in business operations.

信息技術委員會是信息技術（以下簡稱『IT』）系統建設、管理及安全管理的責任主體，作為決策層實現 IT 決策的有效授權和控制，為保障工作的有效執行，至少每季度召開一次例會或根據需要召開臨時委員會會議。總經理室作為管理層監督策略和制度執行，協調跨部門安全工作；監督本議題執行情況並向信息技術委員會匯報。多部門作為執行層開展 IT 管理和執行工作，信息科技中心搭建安全技術架構、制定信息技術管理制度、落實信息技術管理的管理工作，交易交割部、結算部在業務操作中落實落實數據安全規範工作。

### 2 Strategy 戰略

#### Principles of network and information security

##### 網絡和信息安全原則

The Company follows domestic and international information security standards and industry norms, implements standardized level protection for information systems, adheres to overall planning, highlights key areas, advances security and development

simultaneously, emphasizes management and technology, combines emergency defense with long-term mechanisms, and integrates information security protection throughout the entire process of information construction. On the premise of ensuring the performance and security of information systems, the Company fully utilizes resources, emphasizes effectiveness, avoids duplication and blind investment, actively adopts mature advanced technologies and professional security services allowed by national laws and regulations, and uses scientific methods to ensure safe operation.

公司遵循國內、國際的信息安全標準及行業規範，對信息系統實行規範化的等級保護，堅持統籌規劃、突出重點，安全與發展並進，管理與技術並重，應急防禦與長效機制相結合，將信息安全保障貫穿于信息化建設全過程。在確保信息系統性能和安全的前提下，公司充分利用資源，講究實效，避免重複和盲目投資，積極採用國家法律法規允許的、成熟的先進技術和專業安全的服務，運用科學的方法，保障安全運行。

#### Data security management

##### 數據安全管理

The Company data management includes two aspects: transaction settlement business data management and system data management. Specific management measures are as follows:

公司資料管理包括交易結算業務資料管理和系統資料管理兩個方面，具體管理措施如下：

##### Transaction settlement business data management 交易結算業務資料管理

1. Transaction settlement information is confidential to the Company and must not be disclosed or disclosed;  
交易結算資料屬於公司機密，不得洩露，禁止外傳；
2. Access to transaction settlement business information must be approved by Chief Risk Officer and registered for filing;  
查閱交易結算業務資料，必須經首席風險官批准，並登記備案；
3. The storage device for transaction settlement data must be a dedicated device and cannot be used for other purposes;  
存放交易結算資料的存放裝置必須是專用設備，不得用於其他用途；
4. Before reading transaction settlement information from mobile storage devices and receiving settlement information online or via email, virus scanning should be performed first;  
在讀取移動存放裝置上的交易結算資料以及從網上接收或郵件接收結算資料之前，應首先進行病毒掃描；
5. Regularly transfer transaction settlement data to immutable storage media for off-site storage. Remote storage refers to storing backup data in another building with strict fire and theft prevention measures in place;  
定期將交易結算資料轉儲到不可更改的存儲介質上，進行異地存放。異地存放是指將備份資料存放到另外的建築物內，存放地點必須有嚴格的防火、防盜措施；
5. Regularly check whether the backup media is invalid and verify the integrity and effectiveness of the backup data.  
定期檢查備份介質是否失效，並檢查備份資料的完整性和有效性。

<b>System data management</b> 系統資料管理	<p>1. System data management is the responsibility of a dedicated person in the configuration management position, who must promptly and accurately supplement, modify, and verify system data;</p> <p>系統資料管理由配置管理崗位專人負責，配置管理崗必須及時、準確地對系統資料進行補充、修改、核對；</p> <p>2. Personnel in various positions of the technical department are not allowed to make system parameter adjustments without authorization. Any changes to the system's functional modules, parameter settings, etc., must be approved by the person in charge of the Information Technology Center, and the corresponding "System Change Form" must be filled out for registration and filing.</p> <p>技術部各崗位人員不得擅自進行系統參數調整。對系統功能模塊、參數設置等作任何改動，都必須得到信息科技中心負責人的批准，並相應填寫『系統變更表』登記備案。</p>
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Customer privacy protection

客戶隱私保護

The Company attaches great importance to the security of customer information and other commercial information, and has formulated relevant regulations and taken corresponding measures to ensure the security of the Company's trade secrets and investor information in an open market environment. The Company provides necessary information security training, education, and assessment to all employees, and sets clear information security requirements for partner service personnel. The contract signed between the Company and the partner should include confidentiality and integrity agreements, clarifying their respective security obligations and responsibilities, and requiring the partner to promise that the product or service does not contain malicious code or unauthorized connection functions, and does not provide operation modules, functions, and means that violate laws and regulations.

公司充分重視客戶資料等公司商業信息安全問題，制定相關制度、採取相應措施確保在開放的市場環境中公司的商業機密和投資者信息安全。公司對全體員工開展必要的信息安全培訓、教育和考核，對合作方服務人員提出明確的信息安全要求。公司與合作方簽訂合同應包含保密和誠信協議，明確各自承擔的安全義務和責任，並要求合作方在提供產品或服務的同時承諾產品不存在惡意代碼或未授權的連接功能，不提供違反法律法規的操作模塊、功能和手段。

Supplier safety management

供應商安全管理

The Company has formulated the Management Measures for Evaluation of Information Technology Service Providers to standardize the management of information technology suppliers and strengthen the confidentiality and security management of company information and materials. The Company regularly collects and updates supplier information within the industry, and forms written materials and records. Multiple department personnel conduct on-site inspections and exchanges with suppliers. The Company has clearly defined multiple responsibilities in the contract signed with the supplier:

公司制定《信息技術服務商評估管理辦法》規範對信息技術供應商的管理，加強公司信息資料的保密性和安全性管理。公司定期收集、更新行業內供應商信息並形成書面資料及記錄，多部門人員對供應商進行實地考察和現場交流。公司與供應商簽訂合同中已明確多項責任：

- In the contract signed with the supplier, it is required that the core system supplier provide 7 \* 24-hour technical support service response, and specific provisions are made for their service response time, clarifying the liability for breach of contract;
- 與供應商簽訂合同中要求核心系統的供應商應提供 7\*24 小時的技術支持服務回應，並特別對其服務回應時間做出具體規定，明確違約責任；

- Sign relevant confidentiality clauses in the contract signed with the core system supplier, specifying the confidentiality requirements for the Company's business information that the supplier may be involved in or come into contact with during the service, and listing the legal responsibilities that will be borne for the leakage of confidential information;
- 與核心系統供應商簽訂的合同中簽署相關保密條款，明確對供應商在服務中可能涉及、接觸到的公司業務資料的保密要求作出規定，列明洩密將承擔的法律責任；
- The contract signed with the supplier requires the supplier to promise that the product does not have malicious program code or unauthorized connection functions, does not provide functional modules that violate laws and regulations, and complies with industry standards and technical guidelines. The supplier shall not disclose confidential information of the service organization;
- 與供應商簽訂的合同中要求供應商承諾產品不存在惡意程序碼或未授權的連接功能，不提供違反法律法規的功能模塊，並符合行業規範和技術指引，不得洩露所服務機構的保密信息；
- The contract signed with the supplier specifies that the supplier shall undergo information security extension inspections by industry regulatory authorities.
- 與供應商簽訂的合同中明確供應商應當接受行業監管部門的信息安全延伸檢查。

3 Risk management  
風險管理

Information Technology Committee should develop strategies and relevant systems for IT risk management, inspect the compliance of information systems, and assess IT risks. The Company establishes an internal IT audit system, conducting IT audits at least once every two years, conducting special audits on the construction and operation of important IT projects, and hiring qualified external institutions to conduct IT audits and IT risk assessments on the Company.

信息技術委員會應制定 IT 風險管理的策略和相關制度，對信息系統的合規性進行檢查，對 IT 風險進行評估。公司建立內部 IT 審計制度，至少每兩年進行一次 IT 審計，對重要 IT 項目的建設和運行進行專項審計，聘請外部有資質的機構對公司進行 IT 審計和 IT 風險評估。



Risk category  
風險類別



Risk description  
風險描述

Data security  
risks  
數據安全風險

1. Aging of the Company system hardware, software defects, network failures, etc. can all lead to system crashes or data loss, affecting the normal conduct of transactions and even causing data loss, resulting in losses for the Company and customers.
- 公司系統硬件老化、軟件缺陷、網絡故障等都可能導致系統崩潰或資料丟失，影響交易的正常進行，甚至導致資料丟失，給公司和客戶帶來損失。
2. As the Company's data volume continues to grow, data storage devices may experience malfunctions, damage, or insufficient capacity. If the data storage architecture design is unreasonable, such as the lack of effective data backup and recovery mechanisms, it will also increase the risk of data loss.
- 隨著公司的資料量不斷增長，資料存放裝置可能出現故障、損壞或容量不足的情況。如果資料存儲架構設計不合理，如缺乏有效的資料備份和恢復機制，也會增加資料丟失的風險。



Customer privacy leakage risk

客戶隱私洩露風險

Customers' personal information, transaction records, and other data may be leaked due to network security vulnerabilities, poor internal management, and other reasons. This may result in customers being defrauded, causing economic losses, while also exposing the Company to legal and reputational risks.

客戶的個人信息、交易記錄等資料可能因網絡安全性漏洞、內部管理不善等原因被洩露。這可能導致客戶遭受詐騙，造成經濟損失，同時也會使公司面臨法律風險和聲譽風險。

Trading service risk

交易服務風險

The Company's trading system may experience lag, latency, data transmission errors, and even system crashes due to hardware failures, software vulnerabilities, network congestion, and other issues. This may result in customers being unable to place orders, cancel orders, or check transaction information promptly, missing the best trading opportunity, and causing losses to customers.

公司交易系統可能會因硬件故障、軟件漏洞、網絡擁堵等問題，出現卡頓、延遲、資料傳輸錯誤甚至系統崩潰等情況。這可能導致客戶無法及時下單、撤單或查詢交易信息，錯過最佳交易時機，給客戶帶來損失。

4 Metrics and targets  
指標與目標

The Company fully utilizes various media and other effective promotional methods to strengthen the publicity of laws, regulations, and policies on emergency response to network and information security incidents, carry out publicity activities on basic knowledge and skills of network and information security, improve customers' awareness of prevention and emergency response capabilities, and increase customers' awareness of personal information confidentiality. The Company has included emergency knowledge of network and information security incidents as training content for employees, cadres, and related personnel, strengthening training on network and information security, especially emergency plans, and enhancing prevention awareness and skills. The Company shall organize at least one annual drill for all employees on this plan, simulating the handling of network and information security incidents, improving practical capabilities, verifying and improving the plan, and reporting the drill results to the local securities regulatory bureau. In the future, the Company will continue to implement systems and measures for data security and customer privacy protection to prevent the occurrence of data and customer privacy breaches.

公司充分利用各種傳播媒介及其他有效的宣傳方式，加強網絡與信息安全事件應急處置的法律、法規和政策的宣傳，開展網絡與信息安全基本知識和技能的宣傳活動，提高客戶防範意識和應急處理能力，增加客戶對個人信息的保密意識。公司將網絡與信息安全事件應急知識列為員工與幹部和相關人員的培訓內容，加強網絡與信息安全特別是網絡與信息安全應急預案的培訓，提高防範意識與技能。公司每年至少組織一次全員對本預案的演練，類比處置網絡與信息安全事件，提高實戰能力，核對和完善預案，並將演練情況報告轄區證監局。未來，公司將持續落實數據安全及客戶隱私保護方面制度和措施，防止資料和客戶隱私洩露事件的發生。

## Responsible marketing 負責任營銷

Holly Futures strictly adheres to the requirements of national laws and regulations such as the Consumer Rights Protection Law of the People's Republic of China and the Implementation Measures for the Protection of Financial Consumer Rights of the People's Bank of China, ensuring the authenticity of marketing and promotional content, ensuring that every piece



### Holly Futures conducts cybersecurity awareness training

#### 弘業期貨開展網絡安全意識培訓

To do a good job in network security protection and enhance employees' awareness of network security, Holly Futures will conduct network security training online and offline on August 13, 2024. External experts will be invited to introduce the basic knowledge of network security to all employees from the perspectives of daily office, legal, and security incident case analysis. Information Technology Center will answer questions for employees and popularize information security threats and prevention methods.

為做好網絡安全防護工作，提升員工網絡安全意識，弘業期貨於2024年8月13日採用線上和線下方式開展網絡安全培訓，邀請外部專家為全體員工進行網絡安全基礎知識介紹，從日常辦公角度、法律角度、安全事件案例分析角度，並由信息科技中心為員工答疑，普及信息安全威脅與防範方式。



of information is true and reliable, and ensuring that the entire business process does not mislead customers.

弘業期貨嚴格遵循《中華人民共和國消費者權益保護法》《中國人民銀行金融消費者權益保護實施辦法》等國家法律法規的要求，對營銷宣傳內容的真實性進行保障，確保每一項信息都真實可靠，做到業務全流程不誤導客戶。

In terms of internal management, the Company strictly implements the spirit of relevant documents such as the Margin Management System. A scientific risk assessment policy for various financial products has been established for marketing and publicity work. Based on a detailed and professional risk level assessment of each financial product, fully disclose to customers clearly and explicitly the various risks that may be faced during the trading process. The Company uses professional evaluation methods to assess customers' risk tolerance, recommends product risk levels that match their risk tolerance through a matching process, and provides customers with a secure and adapted financial service experience.

在內部管理上，公司嚴格落實《保證金管理制度》等相關文件精神。針對營銷宣傳工作，構建了一套科學的各類金融產品風險評估方針。在對每一款金融產品進行詳盡且專業的風險等級評估基礎上，以清晰明確的方式向客戶充分揭示交易過程中可能面臨的各類風險。公司運用專業的評估方法判斷客戶的風險承受能力，通過匹配流程向客戶推薦與其風險承受程度相契合的產品風險等級，為客戶提供安全適配的金融服務體驗。

# 05

## Deep Empowerment to Build a Better Workplace

### 深度賦能 構建美好職場

As the core driving force for the sustainable development of enterprises, Holly Futures has always incorporated employee value enhancement into its ESG strategic framework. Through systematic human capital management practices, it continues to fulfill its responsibility commitment of “people-oriented, empowering growth”. Holly Futures continues to strive for the deep integration of employees' professional abilities, individual value realization, and corporate social responsibility, promoting a win-win situation for employee development and enterprise development.

作為企業可持續發展的核心驅動力，弘業期貨始終將員工價值提升納入 ESG 戰略框架，通過系統性的人力資本管理實踐，持續踐行『以人為本，賦能成長』的責任承諾。弘業期貨持續為員工的專業能力、個體的價值實現與企業的社會責任深度交融努力，促進員工發展和企業發展的雙贏局面。

Responding to material issues:

回應重要性議題：

16 Employees

16 員工



United Nations Sustainable Development Goals (SDGs) response:  
聯合國可持續發展目標 (SDGs) 回應：



# Governance

## 治理

Holly Futures is committed to establishing good employment relationships with employees and continuously optimizing its management system to create a healthier workplace environment. General Manager Office directly participates in the management, coordination, supervision, and reporting of employees as the managerial level. Multiple departments act as the executive layer to promote employee management, with HR Dept responsible for recruitment, training, performance management, and Safety Management Dept responsible for employee occupational health and safety management.

弘業期貨致力於與員工建立良好的僱傭關係，為建立更加健康的職場環境建立了不斷優化的管理體系。總經理室作為管理層直接參與員工的管理、統籌、監督和匯報工作。多部門作為執行層實際推動員工管理工作，人力資源部負責招聘、培訓、績效等管理工作，安全管理部負責員工職業健康與安全保障管理工作。

# Strategy

## 戰略

### 1 Diversified and equal employment 多元化、平等的僱傭

#### Equal employment

##### 平等僱傭

Holly Futures deeply understands that creating a harmonious and stable employment environment can promote the sustainable development of the enterprise. The Company strictly abides by relevant laws and regulations such as the Labor Law of the People's Republic of China, the Labor Contract Law of the People's Republic of China, the Employment Promotion Law of the People's Republic of China, the Law of the People's Republic of China on the Protection of Minors, and the Regulations on the Prohibition of the Use of Child Labor. The Company has established a sound employment management system, and all aspects of employee recruitment, onboarding, and employment are strictly legal and compliant. Relevant regulations have also been made regarding working hours, dismissal and resignation, benefits and benefits, etc., to protect the rights and interests of employees under the law. The Company has improved and issued the Employee Handbook (Revised Edition), which stipulates the forms of personal leave, sick leave, maternity leave, breastfeeding leave, and other forms of leave. Relevant regulations have also been made regarding working hours, dismissal and resignation, and benefits and benefits to protect the rights and interests of employees following the law.

弘業期貨深知營造和諧穩定的用工環境，方能推動企業的持續發展。公司嚴格遵守《中華人民共和國勞動法》《中華人民共和國勞動合同法》《中華人民共和國就業促進法》《中華人民共和國未成年人保護法》《禁止使用童工規定》等有關法律法規，公司建立了完善的用工管理制度，從員工的招聘、入職、在職期間等各個環節都嚴格合法合規。針對工作時數、解聘與離職、待遇福利等內容也做出了相關規定，依法保障員工權益。公司完善印發《員工手冊（修訂版）》，手冊明確規定了事假、病假、產假、哺乳假等休假形式，針對工作時數、解聘與離職、待遇福利等內容也做出了相關規定，依法保障員工權益。

#### Diversified employment

##### 多元化僱傭

Holly Futures is committed to creating a fair and transparent recruitment environment. During the recruitment process, the Company strictly follows the principles of “openness, fairness, equality, and merit based selection”. In the selection process, the Company adopts a scientific and reasonable evaluation method to comprehensively assess the professional skills, comprehensive qualities, and moral qualities of job seekers, injecting a continuous stream of motivation into the company's long-term development. The Company adheres to the policy of equal employment and equal pay for equal work, ensuring equal employment opportunities and promoting diversity among employees in terms of gender, age, and professional background. As of the end of the Reporting Period, Holly Futures had a total of 565 full-time and part-time employees and the subsidiaries have a total of 71 full-time and part-time employees.. Among them, 294 were female employees, accounting for 46.2% of all employees.

弘業期貨致力於打造一個公平、公正、透明的招聘環境，在招聘過程中，公司嚴格遵循『公開、公正、平等、擇優』的原則；在選拔環節，公司採用科學合理的評估方式，對求職者的專業技能、綜合素質以及道德品質等進行全面考察，為公司的長遠發展注入了源源不斷的動力。公司恪守平等僱傭、同工同酬政策，保障就業平等，促進員工在性別、年齡、專業背景的多元化。截止報告期末，本公司共有全日制及半日制員工 565 人，附屬公司共有全日制及半日制員工 71 人，其中女性員工為 294 名，占全部員工的 46.2%。

The Company recruited 62 new employees annually, conducted a total of 62 written interviews, and organized 328 interviews. The subsidiaries recruited 21 new staff. Relying on the People's Bank of Jiangsu Province, the Company has applied for 2 national-level overseas high-end talent introduction projects and 2 provincial-level overseas postdoctoral projects. During the Reporting Period, Holly Futures collaborated with universities to organize the 7th “Zhengshang Cup” College Student Simulation Trading Competition, promoting the “Futures Knowledge into Campus” activity; Cooperate with Hohai University to carry out the credit course of Theory and Practice Analysis of Futures and Options Investment for graduate students, coordinate the appointment of 10 Company lecturers, and cultivate futures talents in universities.

公司年度新招聘員工 41 名，共開展筆、面試 41 場，組織面試 328 人次，附屬公司新招聘員工 21 名；依託江蘇省人民銀行，公司申報國家級海外高端人才引進項目 2 人，省級海外博士後項目 2 人。報告期內，弘業期貨與高校合作開展第七屆『鄭商所杯』大學生模擬交易大賽，宣傳開展『期貨知識進校園』活動；與河海大學合作開展研究生《期貨期權投資理論與實務分析》學分課程，協調委派公司講師 10 人次，培育高校期貨人才。

### 2 Occupational health and safety 職業健康安全

#### Safe production

##### 安全生產

Holly Futures strictly adheres to the Safety Production Law of the People's Republic of China, takes the law as the criterion, and regulates enterprise safety management behavior. To promote the transformation of enterprise safety management, the Company continuously introduces advanced safety management concepts and technologies, regularly organizes employees to participate in professional safety training, invites industry experts to give lectures, and enhances the safety awareness and emergency response capabilities of all employees. Holly Futures upholds the concept of “life and safety first”, and always adheres to the safety bottom line. In daily work, from senior leaders to grassroots employees, safety awareness is deeply rooted in people's hearts. To effectively improve the prevention and response capabilities of various safety accidents, Holly Futures has established a scientific safety management system. The Company regularly organizes

professional safety training and invites industry experts to give lectures, imparting the latest safety knowledge and emergency response skills to employees. The Company conducts a comprehensive safety hazard investigation of the office space, from the completeness of fire protection facilities to the safety of electrical circuits, to ensure that hazards are nip in the bud. During the Reporting Period, Holly Futures suffered one work-related injury and lost 13 working days.

弘業期貨嚴格遵循《中華人民共和國安全生產法》，以法律為準繩，規範企業安全管理行為。為推動企業安全管理轉型，公司不斷引入先進的安全管理理念與技術，定期組織員工參加專業安全培訓，邀請業內專家授課，提升全體員工的安全意識與應急處理能力。弘業期貨秉持『生命至上、安全第一』的理念，公司始終堅守安全底線，在日常工作中，從高層領導到基層員工，安全意識深入人心。為切實提高各類安全事故的防範應對能力，弘業期貨構建科學的安全管理體系。公司通過定期組織專業的安全培訓，邀請業內專家進行授課，為員工傳授最新的安全知識與應急處理技能。公司對辦公場所進行全方位的安全隱患排查，從消防設施的完備性，到電氣線路的安全性，確保將隱患扼殺在萌芽狀態。報告期內，弘業期貨因工受傷人數為 1 人，因工損失工作日數為 13 天。



### Holly Futures launches fire safety education and training activities 弘業期貨開展消防安全教育培訓活動

On September 25, 2024, Holly Futures organized fire safety education and training activities through a combination of online and offline methods. During the training, fire experts combined recent fire cases to explain the importance of fire safety through videos, pictures, and other means. They also shared a series of fire safety knowledge with employees, including fire laws and regulations, fire safety knowledge, basic operation of fire facilities, and other emergencies. Through this training, the Company's employees' awareness of fire safety and their understanding and operational ability of fire equipment have been improved, providing theoretical knowledge support for the Company to do a good job in various safety production work before National Day.

2024 年 9 月 25 日弘業期貨通過『線上+線下』相結合的方式組織開展了消防安全教育培訓活動。培訓中，消防專家結合近年來發生的火災案例，以視頻、圖片等方式講述了消防安全的重要性，並向員工們講述了消防法律法規、消防安全常識、消防設施的基本操作以及其他突發情況處置等一系列消防安全知識。通過此次培訓，提高了公司員工的消防安全意識以及對消防器材的認知和操作能力，為公司做好國慶日前各項安全生產工作提供理論知識保障。



### Physical and mental health

#### 身心健康

Holly Futures is an enterprise in the financial industry, and its office environment is far away from common occupational hazards such as dust, noise and radioactive substances. Holly Futures strictly follows the Labour Law of the People's Republic of China, the Work-Related Injury Insurance Ordinance and other laws and regulations, and translates the legal requirements into concrete actions to protect the rights and interests of employees. By organising a variety of health training seminars and inviting authoritative medical experts to share their knowledge on workplace health, the Company empowers its employees in all aspects of health, from the prevention of common diseases to the counselling of mental health; it also organises regular professional medical check-ups to help its employees understand their health conditions promptly.

弘業期貨為金融行業企業，辦公環境遠離粉塵、噪聲以及放射性物質等常見職業病危害因素。弘業期貨嚴格遵循《中華人民共和國勞動法》《工傷保險條例》等法律法規，將法律要求轉化為切實保障員工權益的具體行動。通過舉辦豐富多樣的健康培訓講座，邀請權威醫學專家分享職場健康知識，從常見疾病預防到心理健康疏導，全方位為員工的健康賦能；定期組織專業體檢，說明員工及時了解自身身體狀況。

The Company has always been actively creating a safe, healthy and warm office environment, equipped with advanced ventilation and air purification equipment to ensure indoor air quality; set up a comfortable rest area, so that employees can fully relax after work. Holly Futures takes practical actions to protect the physical and mental health of its employees, so that they can work with peace of mind and grow with the Company. Holly Futures Union has built a staff activity centre equipped with three well-equipped fitness facilities, namely a gym, a yoga room, and a table tennis room, to satisfy the different sports preferences of the staff, to continuously improve the quality of life of the staff, and to enhance the sense of achievement and happiness of the staff.

公司始終積極營造安全、健康、溫馨的辦公環境，配備先進的通風與空氣淨化設備，保障室內空氣品質；設置舒適的休息區域，讓員工在工作之余能夠得到充分放鬆。弘業期貨用實際行動，全方位保障員工的身心健康，讓員工能夠安心工作，與企業共同成長。弘業期貨工會打造職工活動中心，配備健身房、瑜伽室、乒乓球室三處設施完備的健身場所，滿足員工不同的運動喜好，持續提升員工的生活品質，增強廣大職工的獲得感與幸福感。

## 3 Employee development and training 員工發展和培訓

### Training system

#### 培訓體系

Holly Futures firmly believes that talent is the core driving force of enterprise development. To fully tap the potential of employees, improve their overall quality and help the Company achieve its long-term development goals, the Company has formulated the Education and Training Management Regulations and other systems to build a set of targeted talent training system.

弘業期貨始終堅信，人才是企業發展的核心驅動力。為了充分挖掘員工潛力，提升員工整體素質，助力企業實現長遠發展目標，公司制定了《教育培訓管理辦法》等制度，構建了一套有針對性的人才培養體系。

Through the combination of internal and external training, the Company implements the training work of external organisations such as associations and exchanges; HR Dept assists each department in carrying out daily training work, covering compliance and anti-money laundering, information technology, innovative business, futures knowledge, etc., to help employees strengthen the foundation of their vocational skills and increase the depth of their specialised skills. To improve the professional skills of its staff, the Company organised follow-up training for its staff on futures and funds and supervised the completion of such training. To promote more staff to pass the futures industry examinations. The Company organised specialised training for the futures and funds industry qualification examinations, and to fulfil its corporate social responsibility. The Company organised the construction of its examination centre for the futures industry examinations and completed the enrolment of 80 subjects for registration and the examination. During the Reporting Period, the Company conducted a total of 31 internal and external training sessions.

公司通過內外部培訓相結合的方式，落實協會、交易所等外部機構培訓工作；人力資源部協助各部門開展日常培訓工作，涵蓋合規反洗錢、信息技術、創新業務、期貨知識等方面，幫助員工夯實職業技能基礎，加大員工專項技能深度。公司為提高員工專業技能，組織員工參加期貨、基金後續培訓，並督促跟蹤完成進度；為促進更多員工通過期貨從業考試，開設期貨、基金從業資格考試專題培訓；為落實企業社會責任，籌建期貨從業考試自主考場，完成 80 科次報名及考試工作。報告期內，公司共開展各方面內外部培訓共計 31 場。



Holly Futures Training System

弘業期貨培訓體系

New employee training 新員工培訓	General training 通用培訓	<p>The main purpose is to provide pre- and post-employment training for newly recruited employees, including training on the Company's development history, rules and regulations, employee behavior norms, corporate culture, professional ethics, and business etiquette. Organized by HR Dept.</p> <p>主要是對新招職工進行入職前後的應知應會培訓，包括公司的發展史、規章制度、職工行為規範、企業文化、職業素養及商務禮儀等方面的培訓。由人力資源管理部門負責組織。</p>
	Professional job training 專業崗位培訓	<p>HR Dept, in conjunction with relevant departments in the business sector where the new employee is located, will organize job skills training for the new employee. Professional guidance will be provided on the responsibilities, workflow, and relevant systems of the new employee's position, and training objectives will be determined and a training plan will be developed.</p> <p>由人力資源部會同新職工所在業務板塊相關的部門，組織對新職工進行崗位技能方面的適崗培訓，針對新職工所任崗位的職責內容、工作流程、相關制度進行專業輔導，確定培養目標並制定培訓計畫。</p>
On-the-job training 在職培訓	Comprehensive management training 綜合管理類培訓	<p>Focusing on enhancing the operational and management capabilities of the training objects, it is divided into training for middle and senior management personnel and general management personnel, which will be coordinated and arranged by the Company, according to the annual training plan.</p> <p>側重提升培訓物件的經營管理能力，分為中高層管理人員和一般管理人員培訓，由公司根據年度培訓計畫統籌安排。</p>
	Business development training 業務發展類培訓	<p>Focusing on improving the job skill level of training targets, it is divided into job skill training (noncertification) and professional vocational qualification training (certification).</p> <p>側重提升培訓對象的崗位技能水準，分為崗位技能培訓（非取證類）和專業職業資質培訓（取證類）。</p>
	Professional technical training 專業技術類培訓	<p>Emphasis is placed on cultivating professional knowledge, market trends, sales skills, experience sharing, communication skills, and other skills required for the development of various business segments of the Company. The main training targets are business-related personnel.</p> <p>側重於公司各業務板塊發展所需的專業知識、市場熱點、銷售技能、經驗分享、溝通能力等培養。主要培訓對象為業務相關人員。</p>
	Party and government themed training 黨政專題類培訓	<p>Focusing on the theoretical education of the Party, Party and government thematic education, Party spirit education, etc., the specific training will be planned and implemented by Party Building Work Dept according to the needs of the Company's Party organization and the requirements of the higher-level Party organization.</p> <p>側重於黨的理論教育、黨政專題教育、黨性教育等，具體培訓開展由黨建工作部根據公司黨組織需要、上級黨組織要求策劃實施。</p>

Assessment system

考核體系

The Company has formulated assessment plans such as the 2024 Business Department Target Assessment Method, Business Personnel Assessment Plan, Functional Department Performance Management Method (Trial), etc., closely focusing on the principle of efficiency as the core, actively building a multidimensional evaluation system, focusing on creating a positive evaluation mechanism, and strengthening incentives and assessments for business personnel. The Company focuses precisely on the key, difficult, and weak links in the management process, fully combines the functional positioning and future development direction of each functional department, and scientifically and reasonably sets assessment indicators and their weights based on the differentiation principle of “one part, one policy”. By implementing the classification management of evaluation levels, the assessment of functional positions has been further strengthened, ensuring that each department and position can clearly define their own work goals and responsibilities, and improve overall work efficiency.

公司制定《二〇二四年度業務部門目標考核辦法》《業務人員考核方案》《職能部門績效管理辦法（試行）》等考核方案，緊緊圍繞以效益為核心的原則，積極搭建起多維評價體系，著力打造積分考評機制，強化對業務人員的激勵與考核。公司精準聚焦經營管理過程中的重點、難點以及薄弱環節，充分結合各職能部門的功能定位與未來發展方向，依據『一部一策』的差異化原則，科學合理地設置考核指標及其權重。通過實施考評等級分類管理，進一步加大了對職能崗位的考核力度，確保每個部門、每個崗位都能明確自身的工作目標與責任，提升整體工作效能。

Holly Futures fully implements quantitative assessment goals, establishes quantifiable incentive assessment methods with precise incentives and immediate rewards and punishments, particularly emphasizes the quantitative management of key indicators, and comprehensively covers the assessment scope to business departments, functional departments, and all employees, truly realizing the quantitative assessment policy for all departments and employees. The Company closely links the assessment results with the salary and job adjustment of cadres and employees, and has successfully established a self-restraint mechanism for employment by issuing the Implementation Rules for Promoting the Ability of Middle-level Managers to Move Up and Down.

弘業期貨全面推行量化考核目標，建立精準激勵、即時獎懲的可量化激勵考核辦法，特別突出對關鍵指標的量化管理，將考核範圍全面覆蓋到業務部門、職能部門以及全體員工，真正實現了全部門、全員工的量化考核政策。公司將考核結果與幹部、員工的薪酬待遇、崗位調整緊密掛鉤，通過出台《推進中層管理人員能上能下實施細則》，成功建立起了能上能下、能進能出的企業自我約束用人機制。。

Salary management

薪酬管理

Holly Futures always adheres to the principle of rigid redemption based on assessment results. The Company strictly follows the salary management method and assessment plan to accurately calculate the salaries, bonuses, and welfare allowances of personnel in each department, ensuring the fairness and rationality of salary distribution. The Company will fulfill the assessment results bonus on schedule according to the prescribed time and standards, further stimulating employees' work enthusiasm and initiative.

弘業期貨始終堅持考核結果剛性兌付的原則。公司嚴格依據薪酬管理辦法以及考核方案，精準核算各部門人員的工資、獎金及福利津貼，確保薪酬分配的公平性與合理性。公司按照規定的時間和標準，按期兌現考核結果獎金，進一步激發員工的工作熱情與積極性。

4Employee care and communication

員工關懷與溝通

Protecting rights and interests

保障權益

In the operation and development of the enterprise, Holly Futures has always placed the protection of employees' rights and well-being in an important position, actively taking a series of practical and effective measures to make employees truly feel the warmth and care of the company. The Company focuses on strengthening the management of welfare allowances. In terms of social security and housing provident fund, the Company arranges dedicated personnel to collect, review, and summarize relevant information from each business department on time and accurately, ensuring that the social security and housing provident fund rights of every employee can be timely and fully implemented. As of the end

of the Reporting Period, the signing rate of employee labor contracts was 100%, the coverage rate of social insurance was 100%, and there were no incidents of forced labor or employment of child labor.

在企業的運營發展中，弘業期貨始終將員工的權益保障與幸福關懷置於重要位置，積極採取一系列切實有效的措施，讓員工真切感受到公司的溫暖與關愛。公司著力強化福利津貼的管理工作，在社保與公積金方面，公司安排專人按時、精準地搜集、審核並匯總各營業部的相關資料，確保每一位元員工的社保、公積金權益都能得到及時、足額的落實。截至報告期末，員工勞動合同簽訂率 100%，社會保險覆蓋率 100%，未發生強制勞動和僱傭童工事件。

The Company also conducts strict and meticulous audits on employee communication expenses, overseas subsidies, and commercial insurance benefits. In the communication fee review, accurately calculate the subsidy amount based on company regulations and actual usage; For overseas employees, fully consider their working environment and living costs, and reasonably issue overseas subsidies to reflect the company's care for overseas personnel; In terms of commercial insurance review, ensure that the insurance plan meets the needs of employees and provides them with practical risk protection.

對於員工的通訊費、駐外補貼以及商業保險等福利項目，公司也進行嚴格且細緻的審核。在通訊費審核中，依據公司規定與實際使用情況，準確核算補貼金額；對於駐外員工，充分考慮其工作環境與生活成本，合理發放駐外補貼，以體現公司對駐外人員的關懷；在商業保險審核方面，確保保險方案符合員工需求，為員工提供切實的風險保障。

The Company not only carefully handles commercial insurance for employees, covering various types of insurance such as health protection fund, one-year comprehensive insurance, and lifelong critical illness insurance, but also provides solid economic support for employees when facing illness and unexpected risks. We also pay special attention to retirees and provide them with suitable commercial insurance, so that they can also enjoy the care and protection of the Company after retirement. The Company has also paid sufficient attention to the health protection of female employees' children and provided relevant commercial insurance for them.

公司不僅為在職人員精心辦理商業保險，涵蓋健康保障基金、一年期綜合險以及終身重疾險等多種險種，為員工在面對疾病和意外風險時提供堅實的經濟支持；還特別關懷退休人員，為他們辦理合適的商業保險，讓他們在退休後也能享受到公司的關愛與保障。公司對女職工子女的健康保障也給予了充分關注，為女職工子女辦理相關商業保險。

## 5 Smooth communication 暢通溝通

Holly Futures fully respects and protects the legitimate rights and interests of employees, and is committed to building an open, transparent, and democratic management environment. The Company has specially opened a "Reform and Innovation Proposal Box". The Company encourages employees to actively voice their opinions through this channel, gather their wisdom, and jointly promote the progress of the Company. To ensure that employee suggestions are promptly and effectively addressed, the Company strictly adheres to the principle of time-limited processing. For issues that are more concentrated in employee feedback, the Company will quickly organize relevant departments to conduct in-depth research and analysis, develop practical and feasible solutions, and promptly provide feedback on the handling results to employees.

弘業期貨充分尊重和保障員工的合法權益，致力於構建一個開放、透明、民主的管理環境，公司特開設『改革創新建議箱』。公司鼓勵員工通過此渠道積極諫言，彙聚員工的智慧，共同推動公司的進步。為確保員工的建議能夠得到及時有效的處理，公司嚴格遵循限時辦結原則。對於員工反映較為集中的問題，公司會迅速組織相關部門進行深入研究和分析，制定切實可行的解決方案，並及時向員工回饋處理結果。

The Company establishes a system of employee representative assembly, where employee representatives elected by employees participate in business operation meetings to review systems and methods that involve the practical interests

of employees. At the meeting, employee representatives can fully express their demands and opinions, and have in-depth communication and exchange with the Company's management. The management of the Company will also carefully listen to the suggestions of employee representatives, optimize and improve relevant systems and methods, and ensure that the Company's decisions fully consider the interests and needs of employees.

公司建立職工代表大會制度，員工通過選舉產生的職工代表，參與到業務經營會議中，對涉及職工切實利益的制度和辦法進行審議。在會議上，職工代表們可以充分表達員工的訴求和意見，與公司管理層進行深入的溝通和交流。公司管理層也會認真聽取職工代表的建議，對相關制度和辦法進行優化和完善，確保公司的決策能夠充分考慮到員工的利益和需求。



### Holly Futures Chairman Chu Kairong visited and comforted retired cadres of the company before the holiday 弘業期貨董事長儲開榮節前走訪慰問公司退休幹部

On the occasion of the Spring Festival, Chu Kairong, Chairman of Holly Futures, and his delegation visited and comforted Comrade Li Changying, a retired cadre of the Company. Chu Kairong introduced to Li Changying the relevant situation of the Company's high-quality development in recent years, inquired in detail about Li Changying's physical and living conditions, and extended greetings and blessings to him on behalf of the company. Li Chang expresses gratitude for the care and concern of the Company's leaders, sincerely praises the achievements of the Company in recent years, and wishes Holly Futures to take big steps towards a new stage of high-quality development.

在新春佳節來臨之際，弘業期貨董事長儲開榮一行走訪慰問了公司退休幹部李昌應同志。儲開榮向李昌應介紹了近年來公司開啟高品質發展新階段的有關情況，詳細詢問了李昌應的身體和生活情況，並代表公司向他致以問候和祝福。李昌應對公司領導的關心關愛表示感謝，對公司近年來取得的成績由衷稱讚，祝願弘業期貨大步邁向高品質發展新階段。





Risk management

風險管理

The futures industry, as an important branch of the financial sector, has highly specialized business, strong market volatility, and is strictly regulated by policies and regulations, which poses many special challenges to human resource management. Holly Futures recognizes that human resource management in this industry needs to maintain a continuous balance between specialization, compliance, and cost efficiency. By building a forward-looking talent strategy, strengthening risk control mechanisms, and combining digital transformation, the Company can achieve sustainable development in fierce competition. Holly Futures responds to potential human resource management risks through diversified employment measures and rights protection, continuous training and assessment systems, smooth communication channels, and employee care.

期貨行業作為金融領域的重要分支，業務高度專業化、市場波動性強且受政策法規嚴格監管，使得人力資源管理工作面臨諸多特殊挑戰。弘業期貨認識到本行業的人力資源管理需在專業化、合規性與成本效率之間持續平衡。通過構建前瞻性的人才戰略、強化風險控制機制，並結合數位化轉型，公司才能在激烈競爭中實現可持續發展。弘業期貨通過多元化的雇傭措施和權益保護、持續的培訓和考核體系、暢通的溝通渠道和員工關懷，應對潛在的人力資源管理風險。



Risk category

風險類別



Risk description

風險描述

<div>Professional talent recruitment and turnover</div> <div>專業人才招聘和流失</div>	<div>The futures industry is highly specialized in business, and the limited number of professional talents makes it difficult for companies to recruit.</div> <div>期貨行業業務高度專業化，專業人才數量有限，導致公司的招聘難度大。</div> <div>The fierce competition in the futures industry makes it difficult for companies to retain core talents. The loss of talent has the potential to affect the Company's trade secrets and customer resources, as well as increase the Company's recruitment and training costs.</div> <div>期貨行業內競爭激烈，使得公司難以留住核心人才。人才的流失潛在影響公司的商業機密和客戶資源，還會增加公司的招聘和培訓成本。</div>
<div>Compliance management</div> <div>合規管理</div>	<div>The futures industry is subject to strict policy and regulatory supervision. Due to the constantly updating and changing regulations and policies, training and supervising employees' compliance awareness require a lot of time and effort, and the effectiveness is difficult to fully guarantee. Once a violation occurs, the Company will not only face legal sanctions and economic losses, but also seriously damage its reputation.</div> <div>期貨行業受到嚴格的政策法規監管，由於法規政策不斷更新變化，對員工合規意識的培訓和監督需要投入大量的時間和精力，且效果難以完全保證。一旦出現違規行為，公司不僅會面臨法律制裁和經濟損失，還會嚴重損害公司聲譽。</div>
<div>Teamwork and integration</div> <div>團隊協作和融合</div>	<div>Futures business requires collaboration among multiple departments, and employees from different departments have different professional backgrounds and work styles, which can easily lead to conflicts and misunderstandings in communication and collaboration.</div> <div>期貨業務需要多個部門協同合作，不同部門的員工專業背景和工作方式存在差異，容易在溝通協作中產生矛盾和誤解。</div>

Metrics and targets

指標與目標

In the future, Holly Futures will strive to build a better workplace environment, enhancing employee satisfaction and sense of gain through standardized employment, diverse training forms and applicable training mechanisms, responsible occupational health and safety management, caring and communication with employees.

未來，弘業期貨將為構建更美好的職場環境努力，通過規範的雇傭、多樣的培訓形式和適用的培養機制、負責任的職業健康及安全管理、貼心的員工關懷和溝通，增強員工的滿意度和獲得感。

Indicator 指標名稱	Unit 單位	2024
Employment 雇傭		
Total number of employees 員工總數	person 人	636
Number of new employees recruited in the year 年度新招聘員工數	person 人	62
Employee-by employment type 員工 - 按用工形式劃分		
Contract employees 合同制員工	person 人	636
Others 其他	person 人	0
Employee-by gender 員工 - 按性別劃分		
Number of males 男性員工人數	person 人	342
Number of females 女性員工人數	person 人	294
Employee-by age 員工 - 按年齡劃分		
Below 30 years old 30 歲以下員工人數	person 人	153
31 years old-40 years old 31-40 歲員工人數	person 人	327
41 years old-50 years old 41-50 歲員工人數	person 人	124
Above 50 years old 50 歲以上員工人數	person 人	32
Employee-by rank 員工 - 按職能劃分		
Senior management 高級管理人員	person 人	9

Indicator 指標名稱	Unit 單位	2024
Middle management 中層管理人員	person 人	71
General and technical staff 一般及技術員工	person 人	556
Employee-by region 員工 - 按地區劃分		
Number of staff within Jiangsu 江蘇省內員工人數	person 人	323
Other regions of Mainland China excluding the Jiangsu 中國大陸除江蘇省外其他地區員工人數	person 人	292
Overseas (including areas outside the Chinese Mainland) 境外（包括中國大陸境外地區）員工人數	person 人	21
Employee-by education 員工 - 按學歷劃分		
College and below 大專及大專以下員工人數	person 人	58
Undergraduate 本科員工人數	person 人	442
Master 碩士員工人數	person 人	151
PhD and above 博士及以上員工人數	person 人	5
Employee-by specialty 員工 - 按專業劃分		
Technical 技術人員	person 人	37
Management and administration 管理與行政人員	person 人	280
Financial 財務人員	person 人	51
Sales 銷售人員	person 人	268
Overall staff turnover rate 員工流失率		
Staff turnover rate 員工整體流失率	%	17.76
Staff turnover rate-by gender 員工流失率 - 按性別劃分		
Percentage of males staff turnover 男性員工流失比例	%	8.85
Percentage of female staff turnover 女性員工流失比例	%	6.9

Indicator 指標名稱	Unit 單位	2024
Staff turnover rate-by age 員工流失率 - 按年齡劃分		
Staff turnover rate staff under 30 years old 30 歲以下員工流失比例	%	4.96
Staff turnover rate of staff aged 31 years old-40 years old 31-40 歲員工流失比例	%	7.43
Staff turnover rate of staff aged 41 years old-50 years old 41-50 歲員工流失比例	%	2.65
Staff turnover rate of staff aged 51 years old-60 years old 51-60 歲員工流失比例	%	0.71
Staff turnover rate of staff aged over 60 years old 60 歲以上員工流失比例	%	0
Staff turnover rate-by region 員工流失率 - 按地區劃分		
Staff turnover rate within Jiangsu 江蘇省內員工流失比例	%	9.73
Staff turnover rate in other regions of the Mainland China excluding Jiangsu 中國大陸除江蘇省外其他地區員工流失比例	%	6.02
Staff turnover rate in overseas (including areas outside the Mainland China) 境外（包括中國大陸境外地區）員工流失比例	%	24.14
Health and safety 健康與安全		
Number of death due to work injury 因工亡故人數	person 人	0
Proportion of death due to work injury 因工亡故比例	%	0
Number of work injury 因工受傷人數	person 人	1
Proportion of work injury 因工受傷比例	%	0.16
Development and training 發展及培訓		
Total training participant(s) 培訓總人數	person 人	636
Total training hour(s) 培訓總學時	hour 小時	21,550
Total training input 培訓總投入	RMB 元	24,814.44
Training performance-by gender 培訓績效 - 按性別劃分		



Indicator 指標名稱	Unit 單位	2024
Number of male employees trained 男性員工受訓人數	person 人	342
Number of female employees trained 女性員工受訓人數	person 人	294
Average hours of training for male staff 男性員工平均受訓小時數	hour 小時	34.14
Average hours of training for female staff 女性員工平均受訓小時數	hour 小時	34.14
Training performance-by rank 培訓績效 - 按職級劃分		
Number of senior managements trained 高級管理人員受訓人數	person 人	9
Number of middle managements trained 中層管理人員受訓人數	person 人	71
Number of general and technical staff trained 一般及技術員工受訓人數	person 人	556
Number of training sessions for senior management 高級管理人員受訓人次數	person/time 人次	47
Number of training sessions for middle management 中層管理人員受訓人次數	person/time 人次	585
Number of training sessions for general and technical staff 一般及技術員工受訓人次數	person/time 人次	2,291
Average hours of training for senior management 高級管理人員平均受訓小時數	hour 小時	49.33
Average hours of training for middle management 中層管理人員平均受訓小時數	hour 小時	54.44
Average hours of training for general and technical staff 一般及技術員工受訓小時數	hour 小時	35.74



# 06

## Building a Beautiful and Harmonious Society Together

### 美美與共，建設和諧家園

Holly Futures deeply practices corporate social responsibility, adheres to the origin of futures serving the real economy, innovatively uses futures and derivative tools to serve agricultural risk management and farmers' income guarantee, builds a resilient supply chain management system, and simultaneously builds a continuous effort in the public welfare field, effectively fulfilling the social responsibility of state-owned financial institutions.

弘業期貨深入踐行企業社會責任，堅持期貨服務實體經濟的本源，創新運用期貨及衍生品工具服務農業風險管理與農民增收保障，構建具有韌性的供應鏈管理體系，同步構建在公益領域持續發力，切實履行國有金融機構的社會擔當。

Responding to material issues:  
回應重要性議題：

9 Rural revitalization、10 Social contribution、12 Supply chain security、21  
Adhere to the leadership of the Communist Party of China  
9 鄉村振興、10 社會貢獻、12 供應鏈安全、21 堅持黨的領導



United Nations Sustainable Development Goals (SDGs) response:  
聯合國可持續發展目標 (SDGs) 回應：



# Adhere to the leadership of the Party building 堅持黨建引領

Holly Futures focuses on the development theme of “building a strong party, improving governance, stabilizing operations, and integrating well”, with deepening state-owned enterprise reform as the driving force, deepening comprehensive strict governance of the party as the guarantee, continuously enhancing the political and organizational functions of grassroots party organizations, continuously strengthening the construction of cadres, talents, and party members, conscientiously implementing the requirements of party conduct and clean governance, promoting work with party conduct, taking responsibility as one's own, firmly adhering to the bottom line of integrity and compliance, and providing strong political and organizational guarantees for the Company's high-quality development to a new level.

弘業期貨圍繞『黨建強、治理優、經營穩、融合好』發展主題，以深化國企改革為動力，以縱深推進全面從嚴治黨為保障，不斷增強基層黨組織政治功能和組織功能，持續加強幹部人才和黨員隊伍建設，認真貫徹落實黨風廉政建設各項要求，以黨風促工作，以盡責為己任，守牢廉潔合規底線，為公司高品質發展再上新臺階提供堅強的政治保證和組織保證。

During the Reporting Period, Holly Futures held a total of 53 party committee meetings and reviewed 187 proposals, including 13 special party committees. The Company continues to strengthen ideological construction, issuing institutional lists such as “Key Points for Party Building Work”, “Implementation Measures for Ideological Work Responsibility System”, and “Outline for Corporate Culture Construction”; Establish a leadership group for corporate culture construction, adjust the members of the ideological work group and office, as well as the members of the public opinion response and emergency response group; Deeply study and implement the spirit of the Third Plenary Session of the 20th Central Committee of the Communist Party of China, organize and carry out a series of activities to celebrate the 75th anniversary of the founding of the People's Republic of China, such as “Light and Shadow Casting Soul to Celebrate the Birthday Together” themed film party classes, collecting poetry, calligraphy and painting works, collecting blessing pictures and short videos, participating in the Party Building Front Alliance themed cultural performances, and carrying out propaganda and education activities on the Law of the People's Republic of China on the National Flag, Law of the People's Republic of China on the National Emblem and Law of the People's Republic of China on the National Anthem.

報告期內，弘業期貨共召開黨委會 53 次，審議議案 187 項，其中專題黨委會 13 次。公司持續加強思想建設，印發《黨建工作要點》《意識形態工作責任制實施辦法》《企業文化建設綱要》等制度清單；成立企業文化建設領導小組，調整意識形態工作小組和辦公室成員以及與情應對和應急處置小組成員；深入學習貫徹黨的二十屆三中全會精神，組織開展『光影鑄魂共慶華誕』主題電影黨課、徵集詩文書畫作品、徵集祝福圖片和短視頻、參加黨建陣地聯盟主題文藝匯演、開展《國旗法》《國徽法》《國歌法》宣傳教育活動等慶祝中華人民共和國成立 75 周年系列活動。

Holly Futures actively carries out party building propaganda work, publishing more than 157 reports in multiple mainstream media and 19 reports on the “Xuexi Qiangguo” platform during the Reptring Period, including 119 reports on state-owned enterprise responsibilities and rural revitalization, further enhancing the Company's brand image; Completed the compilation of 51 issues of 'Holly Dynamics', with a total of over 650 pages and approximately 400000 words; The reports on fulfilling social responsibilities have been released by authoritative central and provincial media such as People's Daily Online, Xinhua News Agency APP, and Jiangsu State owned Assets and Party Building Official Account, and have received strong feedback.

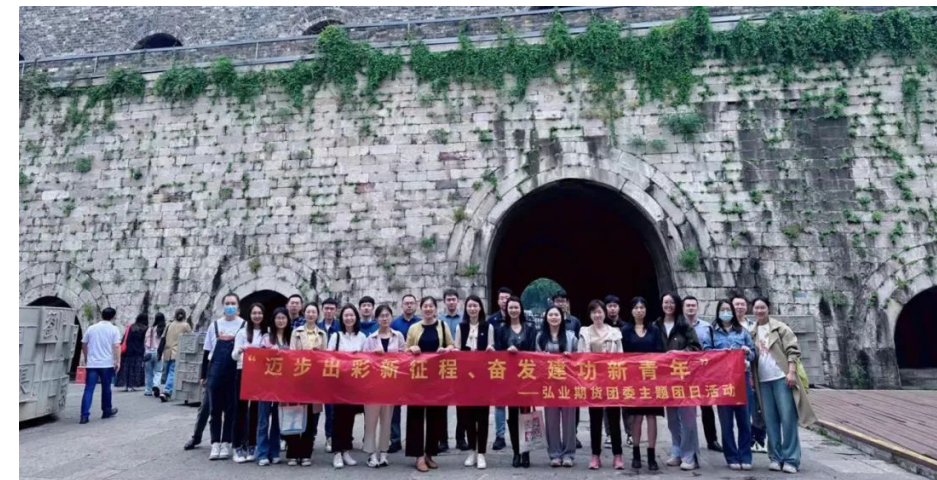
弘業期貨積極開展黨建宣傳工作，報告期內在多家主流媒體發佈報導 157 餘篇次，『學習強國』平臺刊發 19 篇次，其中相關國企擔當、鄉村振興的報導 119 篇次，進一步提升公司品牌形象；編制完成《弘業動態》51 期，共 650 餘頁約 40 萬字；相關履行社會責任的報導在人民網、新華社 APP、江蘇國資黨建公眾號等中央和省級權威媒體發佈，獲得強烈反響。



## Holly Futures launches “May Fourth” themed group day activities 弘業期貨開展『五四』主題團日活動

Holly Futures Youth League Committee held a themed Youth Day event titled “New Journey of Striving for Excellence and Achievements” to commemorate the 105th anniversary of the May Fourth Movement. The young members of the Youth League draw new strength from the profound historical heritage by visiting the Nanjing City Wall Museum and hiking the Nanjing Ming City Wall. The young members of the group came to the Nanjing City Wall Museum, and through the introduction of the guide, they gained a deeper understanding of the structure, history, and stories behind this millennium-old city. Through this themed group day activity, the young members gained a deep understanding of the history, culture, and unique charm of the Nanjing City Wall, and further enhanced their cultural confidence and sense of historical mission.

弘業期貨團委舉辦『邁步出彩新征程、奮發建功新青年』主題團日活動，紀念『五四運動』105 周年。團員青年們通過參觀南京城牆博物館、徒步南京明城牆，從深厚的歷史底蘊中汲取奮進有為的新力量。團員青年們來到南京城牆博物館，通過講解員的介紹，讓大家對這座千年古城的構造、歷史和背後的故事有了更加深刻的理解。通過這次主題團日活動，團員青年們深度了解了南京城牆的歷史文化和獨特魅力，更提升了文化自信和歷史使命感。



# Industry collaboration 行業協同發展

Holly Futures strictly abides by laws and regulations, and seeks common development with its partners in the course of stable operation. The Company strictly follows a series of laws and regulations, including the Company Law of the People's Republic of China, the Purchasing Law of the People's Republic of China, and the Contract Law of the People's Republic of China, to ensure that all business activities are carried out in accordance with laws and regulations.

弘業期貨嚴守法律法規底線，在穩健運營中謀求與合作夥伴的共同發展。公司嚴格遵循《中華人民共和國公司法》《中華人民共和國採購法》《中華人民共和國合同法》等一系列法律法規，確保各項經營活動依法依規進行。

In procurement, the Company adheres to the principles of open, fair and just co-operation, and has formulated the Purchasing Management Measures and the Information Technology Service Provider Evaluation System to comprehensively regulate and manage procurement and provide solid protection for the orderly commencement of procurement activities. The Company has actively launched the supplier evaluation and management work. Through the establishment of a scientific and reasonable evaluation system, the Company conducts comprehensive consideration of the suppliers' product quality, delivery capability, price level and after-sales service, etc., and promotes the suppliers to continuously optimise their services through dynamic management, so as to facilitate the common progress of the supply chain.

在採購環節，公司秉持公開、公平、公正的合作原則，制定《採購管理辦法》《信息技術服務提供者評估制度》全面對採購的規範與管理，為採購活動的有序開展提供堅實保障。公司積極開展供應商評估管理工作，通過建立科學合理的評估體系，對供應商的產品品質、交付能力、價格水準、售後服務等多方面進行綜合考量，以動態管理的方式推動供應商不斷優化服務，促進供應鏈共同進步。

Risk Identification

Qualification risk: Collect information on the qualifications of suppliers to ensure that they have the appropriate qualifications. Quality service risk: Evaluate the supplier's industry case and service evaluation, and identify risks such as service quality and response time. Compliance risk: Check whether suppliers comply with laws and regulations and company requirements to prevent non-compliance.

風險識別

資質風險：收集供應商資質資訊，確保其具備相應資質

服務風險：評估供應商行業案例和服務評價，識別服務品質、回應速度等風險

合規風險：檢查供應商是否遵守法律法規和公司要求，防止違規行為的發生

Risk Management

Selection management: Select suppliers in an open and fair manner to reduce selection risks. Contract management: Define the terms of the contract to restrict the behaviour of suppliers and protect the interests of the Company. Evaluation management: Regularly evaluate supplier co-operation and identify risks in a timely manner.

風險管理

選擇管理：通過公開、公正的方式選擇供應商，降低選擇風險

合同管理：明確合同條款，約束供應商行為，保護公司利益

評估管理：定期評估供應商合作情況，及時發現風險

Countermeasures

Rectification and improvement: Based on the assessment results, urge suppliers to rectify and improve their service quality and management standards. Replacement of suppliers: Terminate the co-operation with suppliers with poor evaluation or significant risks in a timely manner. On-site service management: Strict on-site service by suppliers to prevent risks in the service process.

應對措施

整改改進：根據評估結果督促供應商整改，提升服務品質和管理水準

更換供應商：對評估不佳或存在重大風險的供應商及時終止合作

現場服務管理：嚴格供應商現場服務，防止服務過程中出現風險

Holly Futures has revised the Integrity Risk Prevention and Control Catalogue to identify potential integrity risks in the supplier management process, assign risk levels, and formulate preventive and control measures for specific integrity risk points. Holly Futures has also signed an undertaking on integrity with its employees to effectively prevent integrity risks in the procurement and tendering process.

弘業期貨修訂《廉潔風險防控目錄表》，識別在供應商管理過程中潛在的廉潔風險，並將賦風險等級，針對特定廉潔風險點落實責任主體並制定防控措施。弘業期貨與員工簽訂廉潔從業承諾書，有效預防在採購和招投標環節的公正廉潔風險。

Main responsibilities  
主要職權

Procurement, use and management of fixed assets, office supplies, publicity materials and non-operational procurement such as selection and appointment of intermediary service organisations

固定資產、辦公用品、宣傳品採購、使用和管理，以及仲介服務機構選聘等非經營性採購

Integrity risks  
廉潔風險點

1. Failure to select suppliers by the required procedures for private gain;  
為謀取私利，未按規定程序比選供應商；
2. For personal gain, the product or service acceptance procedure is not standardised, or the acceptance is unqualified, the product is inferior to the best, resulting in discrepancies in the accounts or loss of assets;  
為謀取私利，產品或服務驗收程序不規範，或驗收不合格，以次充好，造成賬實不符或資產損失；
3. To ask for rebates from suppliers during the procurement process, or to accept rebates from suppliers without reporting or accounting for them, or to misappropriate them for other purposes or to take them for personal use;  
採購過程中跟供應商索要返利，或收受供應商返利不報告、不入帳，挪作他用或占為己有；  
The actual quantity purchased does not match the invoice or the price is inflated, or false invoices are issued;  
實際採購數量與發票不相符合或者價格虛高、開假髮票；
4. Violating the spirit of the Eight Provisions of the Central Government by purchasing promotional materials over the standard, and engaging in unauthorised purchases of cigarettes and alcoholic beverages;  
違反中央八項規定精神，超標準購買宣傳品，出現違規購買煙酒等行為；
5. The use and distribution of materials do not comply with the regulations, do not fulfil the approval procedures, and arbitrarily lend, swap, dispose of, change property rights or take them as private property.

物資使用和分配不符合規定，不履行審批手續，隨意轉借、調換、處置、變更產權或據為私有。

Prevention and control measures  
防控措施

1. Strictly follow the procurement system, regulate the procurement approval process, and strengthen the management of suppliers;  
嚴格按照採購制度，規範採購審批流程，加強供應商管理；
2. Selecting multiple suppliers for general procurement, adhering to the principle that more than one person should handle procurement matters, and strengthening the control on the price, type and quality of the purchased items;  
一般性採購選擇多家供應商進行比選，堅持採購事項由多人經手原則，加強對採購物品價格、物品種類和物品品質的把關；
3. Establishing registers for stocking, requisitioning, increasing and decreasing stock, strictly fulfilling the approval process, and conducting regular inspections;  
建立入庫、領用、增減結存登記帳，嚴格履行審批流程，定期檢查；
4. Strengthen financial control and audit supervision, regularly conduct inventory verification of fixed assets with the Finance Dept to ensure that the accounts are in line with the facts and accounts are in line with the accounts;  
加強財務監管和審計監督，定期與財務部對固定資產進行盤點核實，做到賬實相符，賬賬相符；
5. Strengthen the procurement staff's awareness of integrity and self-discipline and strictly implement the spirit of the eight provisions of the Central Government.  
強化採購人員廉潔自律意識，嚴格執行中央八項規定精神。



Bidding and tendering work 招投標工作	<div><div>1. Artificially splitting tender sections in violation of regulations, circumventing open tendering, or changing open tendering into invited tendering without authorisation; 違反規定人為拆分標段，規避公開招標，或擅自將公開招標變更為邀請招標；</div><div>2. Accepting requests from relevant individuals or units to manipulate the tendering process by means of bid-rigging or bid-accompanying; 接受相關個人或單位請托，採用圍標、陪標等方式操縱招投標；</div><div>3. Leaking relevant information or setting up favourable terms in the tendering process due to interest; 因利益關係在招標過程中洩露相關信息或設置傾向性條款；</div><div>4. Falsifying the bidding process. 議標過程弄虛作假。</div></div>	<div><div>1. Strictly comply with the relevant laws and regulations on tendering and the relevant systems of the Company, and adhere to the public announcement system; 嚴格遵守招投標相關法律法規及公司相關制度，堅持公開公示制度；</div><div>2. Tender documents for internal invitations to tender shall be issued only after completing the approval process stipulated by the Company; tender documents for open tenders shall be issued only after being examined by the relevant tender and bidding management department in addition to completing the approval process stipulated by the Company; 內部邀請招標的招標檔需完成公司規定的審批流程後才能發出；公開招標的招標文件除需完成公司規定的審批流程，還需經有關招投標管理部門審核後才能發佈；</div><div>3. Strictly control the additional expenditure on the project or project construction, which exceeds a certain standard, to be discussed and decided collectively. 嚴格控制工程或項目建設增項支出，超過一定標準由集體討論決定。</div></div>
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Holly Futures has actively participated in industry exchange activities. Through sharing experience and exchanging views with peers, the Company has been able to learn from the cutting-edge concepts and advanced practices in the industry, broadening its vision of development and injecting new vitality into the co-operation and development between the Company and its suppliers. During the reporting period, the Company's procurement management was highly effective. The Company conducted comprehensive assessments on all suppliers, including but not limited to environmental and social assessments, and all suppliers successfully passed the annual audits. Moreover, after rigorous verification by the Company, the Company did not find any suppliers with significant and potential negative impacts or non-compliance incidents in terms of business ethics, environmental protection, labour standards, and so on. The Company encourages suppliers to focus on ESG factors in their operations, such as implementing more environmentally efficient production processes, more socially responsible staff employment and other measures, and to always adhere to the bottom line of ethics and responsibility, to strive to create an honest and sustainable business ecosystem and promote more resilient supply chain management.

弘業期貨積極投身行業交流活動，通過與同行分享經驗、交流見解，不斷汲取行業前沿理念和先進實踐，拓寬自身發展視野，為公司與供應商的合作發展注入新的活力。在報告期內，公司採購管理工作成效顯著，公司對所有供應商均進行全面的評估，包括但不限於環境及社會方面的考核，所有供應商均順利通過年度稽核，且經公司嚴謹核查，未發現任何供應商在商業道德、環境保護、勞工準則等方面存在重大及潛在的負面影響或違規事件。公司鼓勵供應商在運營過程中注重 ESG 因素，如實施更加具有環境效益的生產流程、更具社會責任的員工雇傭等措施，並始終堅守道德與責任底線，致力於打造一個誠信、可持續的商業生態環境，促進更具韌性的供應鏈管理。

Indicator 指標名稱	Unit 單位	2024
Supply chain management 供應鏈管理		
Total number of suppliers 供應商總數	unit 家	69
Number of suppliers by region 供應商數 - 按地區分類		
Yangtze River Delta 長江三角洲地區	unit 家	49
Pearl River Delta 珠江三角洲地區	unit 家	6
Pan Bohai Rim 環渤海地區	unit 家	4
Central 中部地區	unit 家	6
Northeast 東北地區	unit 家	4
West 西部地區	unit 家	0
Other 其他地區	unit 家	0

## Contribute the power of Holly 貢獻弘業力量

### 1 Insisting on paying tax according to law 堅持依法納稅

Holly Futures has always adhered to the spirit of the rule of law, fulfilled its tax obligations effectively, and steadfastly practiced the concept of lawful and honest taxation. The Company actively carries out tax policy promotion work and continuously improves the awareness level of internal employees and customers towards tax regulations. At the same time, we will continue to improve the tax management system, establish a sound risk prevention and control system, and effectively prevent various tax risks. Through these measures, Holly Futures has injected strong impetus into the high-quality development of the futures market and established a good example of lawful taxation and compliant operation for the industry.

弘業期貨自始至終秉持法治精神，切實履行納稅義務，堅定不移地踐行依法誠信納稅的理念。公司積極開展稅收政策宣傳工作，不斷提升內部員工及客戶對稅收法規的認知水準。同時，持續完善稅務管理制度，建立健全風險防控體系，有效防範各類稅務風險。通過這些舉措，弘業期貨為期貨市場的高品質發展注入了強勁動力，也為行業樹立了依法納稅、合規經營的良好典範。

## 2 Assist in rural revitalization 助力鄉村振興

Holly Futures actively responds to the national call and deeply practices the concept of “building a strong financial country”, especially demonstrating the responsibility and role of state-owned enterprises in promoting the rural revitalization strategy. Holly Futures, relying on the “Hongxin Escort” party building brand, fully leverages the advantages of “National Civilized Unit” and “A+H” listed companies, actively explores and implements a series of effective “insurance+futures” projects, innovates financial tools to serve the agricultural industry chain, effectively solves the risk of agricultural product price fluctuations, ensures stable income for farmers, and helps promote rural industrial revitalization and development.

弘業期貨積極回應國家號召，深入踐行『金融強國』理念，特別是在推進鄉村振興戰略方面展現出應有的國企擔當與作為。弘業期貨依託『弘心護航』黨建品牌，充分發揮『全國文明單位』、『A+H』上市公司的優勢，積極探索並實施了一系列卓有成效的『保險+期貨』項目，通過金融工具創新服務農業產業鏈，有效解決了農產品價格波動風險，保障了農戶收入穩定，有力助推鄉村產業振興與發展。

Holly Futures continues to carry out “insurance+futures” business to promote agricultural development and assist rural revitalization. During the Reporting Period, the Company carried out 123 projects, underwriting agricultural products worth over 1.2 billion yuan, covering 14 provinces and 11 types of agricultural products nationwide. In this process, the Company leveraged its professional advantages, continuously optimized its business model, and ensured more regional characteristic agricultural products, such as launching the first rapeseed “insurance+futures” project in Jiangsu Province and the fish feed “insurance+futures+bank” project. Holly Futures will take this opportunity to help farmers and agricultural enterprises gain a deeper understanding of the characteristics and role of “insurance+futures”, explore new models of risk management that better meet the needs of agriculture, rural areas, and farmers, and contribute to the stable production and supply of agricultural products and the high-quality development of rural industries through futures trading.

弘業期貨通過持續開展『保險+期貨』業務，推動農業發展，助力鄉村振興。報告期內，公司開展項目數量123個，承保農產品貨值超12億元，覆蓋全國14個省份和11種農產品。在這個過程中，公司發揮專業優勢，不斷優化業務模式，保障了更多區域特色農產品，如開展江蘇省首單油菜『保險+期貨』項目、魚飼料『保險+期貨+銀行』項目等。弘業期貨將以此為契機，幫助農戶和涉農企業更深入了解『保險+期貨』的特點和作用，探索更符合『三農』的風險管理需求新模式，為農產品的穩產保供、推動鄉村產業高品質發展貢獻期貨力量。

During the Reporting Period, the rural revitalization leadership group and office of Holly Futures promoted rural revitalization-related work, organized and completed the application work for more than 400 rural revitalization projects, and completed the writing of deed materials. The party organization of the Company headquarters mobilizes all branches to carry out paired assistance and grassroots party organization paired assistance activities. The Company actively carries out a series of public welfare and charity activities such as assisting rural revitalization, caring for women and children, voluntary donations, and blood donation, effectively guiding party members and cadres to play a pioneering and exemplary role, driving the masses to participate in enterprise construction together.

報告期內，弘業期貨的鄉村振興領導小組及辦公室推進鄉村振興相關工作，組織完成400多項鄉村振興工作的申報工作，完成事蹟材料撰寫。公司總部黨組織動員各支部開展結對幫扶、基層黨組織結對幫扶活動。公司積極開展助力鄉村振興、關愛婦女兒童、義務捐款、獻血等系列公益慈善活動，切實引導黨員幹部發揮先鋒模範作用，帶動群眾，共同參與企業建設當中來。



## Holly Futures conducts research on rural revitalization work in Siyang County 弘業期貨赴泗陽縣調研鄉村振興工作

On February 7, 2024, Chu Kairong, Chairman of Holly Futures, Zhao Dong, Deputy General Manager, Yao Aili, Assistant General Manager and Director of the Party and Government Office, and their delegation went to Wangji Town, Siyang County to conduct research on rural revitalization work and carry out paired construction and “green financial services for rural revitalization” activities.

2024年2月7日，弘業期貨董事長儲開榮，副總經理趙東，總經理助理、黨政辦公室主任姚愛麗等一行赴泗陽縣王集鎮調研鄉村振興工作，並開展結對共建暨『綠色金融服務鄉村生態城』活動。



Under the joint witness of the Company and township leaders, Holly Futures signed a rural revitalization framework assistance agreement and a party organization pairing and co construction agreement with Wangji Town in Siyang County. In the next step, both parties will continue to carry out comprehensive cooperation in organizational co construction, rural revitalization, industrial development, and other aspects, and establish a long-term mechanism of village enterprise joint responsibility and joint heart. Holly Futures will continue to deepen its cooperation and joint construction with Wangji Town, ensuring the sustainability of joint construction activities. Through practical actions, it will help create characteristic industries and provide solid financial support for consolidating and expanding the achievements of poverty alleviation and comprehensively promoting rural revitalization.

在公司和鄉鎮領導共同見證下，弘業期貨與泗陽縣王集鎮簽署鄉村振興框架幫扶協定和黨組織結對共建協議。下一步雙方將在組織共建、鄉村振興、產業發展等方面持續開展全方位合作，建立村企聯業聯責聯心的長效機制。弘業期貨將不斷深化與王集鎮的各項合作與共建，確保共建活動可持續性深入開展，以實際行動助力打造特色產業，為鞏固拓展脫貧攻堅成果、全面推進鄉村振興提供了堅實的金融支撐。





As the Chinese New Year approaches, to provide a warm and happy Spring Festival for local disadvantaged groups. Chu Kairong and the leaders of Wangji Town carried out a pre-Spring Festival visit and condolences activity to the disadvantaged masses in the local area, sending them New Year greetings and blessings, and gaining a detailed understanding of their family living conditions and actual difficulties. This visit has brought Holly Futures closer to the local people, especially allowing disadvantaged groups to feel the warmth and care brought by the Company's party organization in the cold winter.

在新春佳節即將來臨之際，為了讓當地困難群眾過一個溫暖幸福的春節。儲開榮及王集鎮領導一行在當地開展春節前走訪慰問困難群眾活動，為他們送去了新春的問候和祝福，詳細了解他們的家庭生活狀況和實際困難。此次走訪慰問拉近了弘業期貨與當地群眾之間的距離，特別是讓困難群眾在寒冬裡感受到了公司黨組織帶來的溫暖和關愛。



Conduct research on the development of agriculture and promote multiple integrated developments. Chu Kairong and his delegation also visited and researched Chengguang Furniture Co., Ltd. and Xinmiao Operation Parent Child Farm in Siyang County, to gain a deeper understanding of the development of industries and leisure agriculture in Wangji Town. Wangji Town, Siyang County, focuses on the requirements of “industrial integration chain, innovative factor industrialization, and digital industrial operation”, and deeply promotes the creation of demonstration family farms, farmer professional cooperative demonstration societies, and agricultural industrialization demonstration bases. It strives to build a three-dimensional composite modern agricultural management system based on farmer family management, cooperation and alliance as the link, and socialized services as the support, igniting the “new engine” of rural revitalization.

調研農業發展情況，推進多項融合發展。儲開榮一行還赴泗陽縣晨光傢俱有限公司和新苗運營親子農場參觀調研，深入了解王集鎮產業和休閒農業發展情況。泗陽縣王集鎮圍繞『產業融合鏈條化、創新要素產業化、產業運營數位化』要求，深入推進示範家庭農場、農民專業合作社示範社、農業產業化示範基地創建工作，著力構建以農戶家庭經營為基礎、合作與聯合為紐帶、社會化服務為支撐的立體式複合型現代農業經營體系，點燃鄉村振興『新引擎』。



## The first rapeseed “insurance+futures” project in Jiangsu Province has been launched 江蘇省首單油菜『保險 + 期貨』項目落地

On May 9, 2024, Holly Futures and Insurance Company successfully launched the rapeseed “insurance+futures” project, which was also the first rapeseed “insurance+futures” project in Jiangsu Province. This project underwrites rapeseed in Nanjing and Taizhou areas, with a planting area of approximately 533 acres, corresponding to 47.97 tons of rapeseed, providing risk protection of over 410000 yuan for local rapeseed growers. By combining insurance and futures tools, price risk management protection is provided for local rapeseed growers, which not only guarantees farmers' income but also promotes the sustainable development of the rapeseed industry.

2024 年 5 月 9 日，弘業期貨聯合保險公司開展的油菜『保險 + 期貨』項目成功落地，這也是江蘇省首單油菜『保險 + 期貨』項目。此次項目承保南京和泰州地區的油菜，種植面積約 533 畝，對應油菜 47.97 噸，為當地油菜種植戶提供風險保障超 41 萬元。通過結合保險和期貨工具，為當地油菜種植戶提供了價格風險管理保障，既保障了農民收入，又促進油菜產業的可持續發展。

The first rapeseed “insurance+futures” project in the province has important demonstration significance. Holly Futures works closely with local governments, insurance companies, and farmers to provide farmers with a highly operational hedging tool, greatly improving their enthusiasm for planting rapeseed and helping to promote local food security and rural revitalization work in an orderly manner.

本次全省首單的油菜『保險 + 期貨』項目有著重要的示範意義，弘業期貨與地方政府、保險公司及農戶緊密合作，為農戶提供了一種操作性較強的避險工具，大大提高農戶種植油菜的積極性，助力當地糧食安全工作及鄉村振興工作的有序推進。

# APPENDIX

## 報告附錄

### (I) List of major applicable laws and regulations

#### (一) 適用的主要法律法規清單

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

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

Category 分類	Laws and Regulations 法律與規則名稱
Laws and regulations related to environmental protection 環境保護類	Environmental Protection Law of the People's Republic of China 《中華人民共和國環境保護法》
	Environmental Protection Tax Law of the People's Republic of China 《中華人民共和國環境保護稅法》
	Water Law of the People's Republic of China 《中華人民共和國水法》
	1Water Pollution Prevention and Control Law of the People's Republic of China 《中華人民共和國水污染防治法》
	Law of the People's Republic of China on the Prevention and Control of Pollution from Environmental Noise 《中華人民共和國環境噪聲污染防治法》
	Law on the Prevention and Control of Environmental Pollution Caused by Solid Waste 《中華人民共和國固體廢物污染環境防治法》
	Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution 《中華人民共和國大氣污染防治法》
	Law of the People's Republic of China on Appraising of Environment Impacts 《中華人民共和國環境影響評價法》
	Cleaner Production Promotion Law of the People's Republic of China 《中華人民共和國清潔生產促進法》
	Circular Economy Promotion Law of the People's Republic of China 《中華人民共和國循環經濟促進法》
	Integrated Emission Standard of Air Pollutants 《大氣污染綜合排放標準》
	Labor Law of the People's Republic of China 《中華人民共和國勞動法》
	Labor Contract Law of the People's Republic of China 《中華人民共和國勞動合同法》

Category 分類	Laws and Regulations 法律與規則名稱
Laws and regulations related to labour 勞工類	Production Safety Law of the People's Republic of China 《中華人民共和國安全生產法》
	Special Equipment Safety Law of the People's Republic of China 《中華人民共和國特種設備安全法》
	Law of the People's Republic of China on the Protection of Women's Rights and Interests 《中華人民共和國婦女權益保障法》
	Law of the People's Republic of China on the Prevention and Control of Occupational Diseases 《中華人民共和國職業病防治法》
	Social Insurance Law of the People's Republic of China 《中華人民共和國社會保險法》
	Trade Union Law of the People's Republic of China 《中華人民共和國工會法》
	Regulation on Work-Related Injury Insurances 《工傷保險條例》
	Regulation on Emergency Responses to Work Safety Accidents 《生產安全事故應急條例》
Laws and regulations related to product responsibility 產品責任類	Provision on the Prohibition of Using Child Labor 《禁止使用童工規定》
	Securities Law of the People's Republic of China 《中華人民共和國證券法》
	Futures Trading Management Regulations 《期貨交易管理條例》
	Trademark Law of the People's Republic of China 《中華人民共和國商標法》
	Patent Law of the People's Republic of China 《中華人民共和國專利法》
	Rules on Management of Client Accounts Opening in Futures Market 《期貨市場客戶開戶管理規定》
	Administrative Measures for the Closed Management of Customer Margins for Futures Companies 《期貨公司保證金封閉管理辦法》
	Guideline for Contracts of Futures Brokerages 《期貨經紀合同》指引
	Measures for the Management of Integrity Information of Futures Business Institutions 《期貨經營機構誠信信息管理辦法》
	Detailed Rules for the Implementation of the Standard Warrant of Futures Company Risk Management Companies to Offset Over-the-Counter Derivatives Trading Margin 《期貨公司風險管理公司標準倉單充抵場外衍生品交易保證金實施細則》
	Guidelines for Handling Complaints of Investors of Securities, Fund and Futures Operating Institutions 《證券基金期貨經營機構投資者投訴處理工作指引》



Category 分類	Laws and Regulations 法律與規則名稱
	Measures for Reporting, Investigation and Handling of Cybersecurity Incidents in the Securities and Futures Industry 《證券期貨業網絡安全事件報告與調查處理辦法》
	Management Rules for Sharing of Credit Risk Information of Futures Investors 《期貨投資者信用風險信息共用管理規則》
	Regulations on the Management of Intermediaries of Futures Companies 《期貨公司居間人管理辦法》
	Measures for the Administration of Risk Control Indicators of Futures Risk Management Companies 《期貨風險管理公司風險控制指標管理辦法》
	Working Rules for Credit Reporting of Asset Management Business of Futures Business Institutions 《期貨經營機構資產管理業務信用報告工作規則》
	Administrative Rules for the Filing of Asset Management Business of Futures Business Institutions 《期貨經營機構資產管理業務備案管理規則》
	Measures for the Implementation of the Rules for the Undertakings Made by the Parties to Securities and Futures Administrative Law Enforcement 《證券期貨行政執法當事人承諾制度實施辦法》
Laws and regulations related to anti- corruption and corporate governance 反貪腐及公司治理類	Anti-Unfair Competition Law of the People's Republic of China 《中華人民共和國反不正當競爭法》
	Anti-Money Laundering Law of the People's Republic of China 《中華人民共和國反洗錢法》
	Anti-Monopoly Law of the People's Republic of China 《中華人民共和國反壟斷法》
	Company Law of the People's Republic of China 《中華人民共和國公司法》

Category 分類	Laws and Regulations 法律與規則名稱
	Securities Law of the People's Republic of China 《中華人民共和國證券法》
	Provisions on Anti-money Laundering through Financial Institutions 《金融機構反洗錢規定》
	Measures for Supervision and Management of Futures Companies 《期貨公司監督管理辦法》
	Measures for the Implementation of Anti-money Laundering in the Securities and Futures Industry 《證券期貨業反洗錢工作實施辦法》
	Measures for the Administration of the Appointment of Directors, Supervisors and Senior Managers of Futures Companies 《期貨公司董事、監事和高級管理人員任職管理辦法》
	Measures for Administrative Penalties for Securities and Futures Illegal Acts 《證券期貨違法行為行政處罰辦法》
	Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited 《香港聯合交易所有限公司證券上市規則》
	Code of Corporate Governance for Listed Companies in China 《上市公司治理準則》
	Basic Norms for Enterprise Internal Controls 《企業內部控制基本規範》
	Labor Union Law of the People's Republic of China 《中華人民共和國工會法》
	Companies Ordinance (Chapter 622 of the Laws of Hong Kong) 香港法例第 622 章《公司條例》

(II) KPI table  
(二) 關鍵績效表

Name of Indicator 指標名稱	Unit 單位	2024	2023	2022
Environmental performance 環境績效				
Emissions/ 排放物				
Exhaust/ 廢氣				
Nitrogen oxides emissions 氮氧化物排放量	Kg 千克	13.16	15.71	11.52
Per capita emissions of nitrogen oxides 氮氧化物人均排放量	kg/person 千克 / 人	0.05	0.05	0.04
Sulfur oxides emissions 硫氧化物排放量	Kg 千克	0.21	0.25	0.27
Per capita emissions of sulfur oxides 硫氧化物人均排放量	kg/person 千克 / 人	0.001	0.001	0.001
Greenhouse gas/ 溫室氣體				
Direct greenhouse gas emissions (Scope 1) 直接溫室氣體排放量（範圍一）	CO2e tons 噸二氧化碳當量	32.27	44.77	36.30
Indirect greenhouse gas emissions (Scope 2) 間接溫室氣體排放量（範圍二）	CO2e tons 噸二氧化碳當量	475.09	540.60	551.20
Total greenhouse gas emissions 溫室氣體排放總量	CO2e tons 噸二氧化碳當量	507.36	585.36	587.50
Per capita emissions of greenhouse gases 溫室氣體人均排放量	CO2e tons/person 噸二氧化碳當量 / 人	1.74	1.97	2.01
Non-hazardous waste/ 有害廢棄物				
Total amount of toner cartridge 硒鼓總量	item 個	86	174	166
Per capita amount of toner cartridge 硒鼓人均量	item/person 個 / 人	0.30	0.59	0.57
Lamp 燈管	piece 支	0	0	178
Per capita amount of lamp 燈管人均量	piece/person 支 / 人	0	0	0.61
Non-hazardous waste/ 無害廢棄物				
Electronic equipment 電子設備	set 台	0	0	0
Per capita amount of electronic equipment 電子設備人均量	set/person 台 / 人	0	0	0
Use of resources/ 資源、能源消耗				
Consumption of purchased electricity 外購電力消耗量	kWh 千瓦時	885,364	947,916	966,531

Name of Indicator 指標名稱	Unit 單位	2024	2023	2022
Per capita electricity consumption 人均耗電量	kWh/person 千瓦時 / 人	3,042	3,192	3,310
Consumption of gasoline 汽油消耗量	kL 千升	14.41	16.80	18.50
Total amount of gasoline per capita 人均汽油消耗量	kL/person 千升 / 人	0.05	0.06	0.06
Direct energy consumption 直接能源消耗	ton standard coal 噸標準煤	15.49	18.08	20.36
Indirect energy consumption 間接能源消耗	ton standard coal 噸標準煤	108.81	116.50	118.39
Total energy consumption 能源消耗總量	ton standard coal 噸標準煤	124.30	134.58	136.65
Energy consumption intensity 能耗密度	ton standard coal/ person 噸標準煤 / 人	0.43	0.45	0.47
Water consumption in the office 辦公室耗水量	ton 噸	3,572	11,460	14,890
Per capita water consumption in the office 人均耗水量	ton/person 噸 / 人	12.27	38.59	50.99
Social performance 社會績效				
Employment/ 雇傭				
Total number of employees 員工總數	person 人	636	681	661
Number of new staff recruited in the year 年度新招聘員工數	person 人	62	109	59
Employee-by employment type/ 員工 - 按用工形式劃分				
Contract employees 合同制員工	person 人	636	681	661
Others 其他	person 人	0	0	0
Employee-by gender/ 員工 - 按性別劃分				
Number of males 男性員工人數	person 人	342	367	357
Number of females 女性員工人數	person 人	294	314	304



Name of Indicator 指標名稱	Unit 單位	2024	2023	2022
Employee-by age/ 員工 - 按年齡劃				
Below 30 years old 30 歲以下員工人數	person 人	153	174	168
31 years old - 40 years old 31-40 歲員工人數	person 人	327	358	360
41 years old - 50 years old 41-50 歲員工人數	person 人	124	113	102
Above 50 years old 50 歲以上員工人數	person 人	32	36	31
Employeeby rank/ 員工 - 按職能劃分				
Senior management 高級管理人員	person 人	9 <sup>10</sup>	8	9
Middle management 中層管理人員	person 人	71	117	111
General and technical staff 一般及技術員工	person 人	556	556	541
Employee-by region/ 員工 - 按地區劃分				
Number of staff within Jiangsu 江蘇省內員工人數	person 人	323	493	467
Other regions of the Mainland China excluding the Jiangsu 中國大陸除江蘇省外其他地區員工人數	person 人	292	160	172
Overseas (including areas outside the Chinese Mainland) 境外（包括中國大陸境外地區）員工人數	person 人	21	28	22
Employee-by education/ 員工 - 按學歷劃分				
College and below 大專及大專以下員工人數	person 人	58	74	-
Undergraduate 本科員工人數	person 人	422	462	-
Master 碩士員工人數	person 人	151	140	-
PhD and above 博士及以上員工人數	person 人	5	5	-
Employee-by specialty/ 員工 - 按專業劃分				
Technical 技術人員	person 人	37	58	-
Management and administration 管理與行政人員	person 人	280	87	-
Financial 財務人員	person 人	51	47	-
Sales 銷售人員	person 人	268 <sup>11</sup>	487	-

<sup>10</sup>During the Reporting Period, the data of senior management personnel is based on the statistical caliber of the Human Resources Department, which is distinguished from the caliber of the annual report.  
高級管理人員資料以人力資源部統計口徑為準，區別於 2024 年年度報告口徑。

<sup>11</sup>During the Reporting Period, there was a change in the statistical caliber of sales.  
報告期內，銷售人員統計口徑發生變化。

Name of Indicator 指標名稱	Unit 單位	2024	2023	2022
Overall staff turnover rate/ 員工流失率				
Staff turnover rate 員工整體流失率	%	17.76	10.57	8.17
Staff turnover rate-by gender 員工流失率 - 按性別劃分				
Percentage of male staff turnover 男性員工流失比例	%	8.85	6.17	8.68
Percentage of female staff turnover 女性員工流失比例	%	6.90	4.41	7.57
Staff turnover rate-by age 員工流失率 - 按年齡劃分				
Staff turnover rate of staff under 30 years old 30 歲以下員工流失比例	%	4.96	4.26	26.07
Staff turnover rate of staff aged 31 years old- 40 years old 31-40 歲員工流失比例	%	7.43	4.70	5.28
Staff turnover rate of staff aged 41 years old - 50 years old 41-50 歲員工流失比例	%	2.65	1.03	5.88
Staff turnover rate of staff aged 51 years old - 60 years old 51-60 歲員工流失比例	%	0.71	0.44	6.90
Staff turnover rate of staff aged over 60 years old 60 歲以上員工流失比例	%	0	0.15	0
Staff turnover rate-by region 員工流失率 - 按地區劃分				
Staff turnover rate within Jiangsu 江蘇省內員工流失比例	%	9.73	6.02	5.14
Staff turnover rate in other regions of the Mainland China excluding the Jiangsu 中國大陸除江蘇省外其他地區員工流失比例	%	6.02	4.55	12.21
Staff turnover rate in overseas (including areas outside the Mainland China) 境外（包括中國大陸境外地區）員工流失比例	%	24.14	0	40.91
Health and safety/ 健康與安全				
Number of death due to work injury 因工亡故人數	person 人	0	0	0
Proportion of death due to work injury 因工亡故比例	%	0	0	0
Number of work injury 因工受傷人數	person 人	1	0	0
Proportion of work injury 因工受傷比例	%	0.16	0	0

Name of Indicator 指標名稱	Unit 單位	2024	2023	2022
Development and training/ 發展及培訓				
Total training performance/ 培訓總績效				
Total training participant(s) 培訓總人數	person 人	636	681	661
Total training hour(s) 培訓總學時	hour 小時	21,550	14,367	76,807
Total training input 培訓總投入	RMB 元	24,814.44	167,848.96	123,805.77
Training performanceby gender/ 培訓績效 - 按性別劃分				
Number of male employees trained 男性員工受訓人數	person 人	342	367	357
Number of female employees trained 女性員工受訓人數	person 人	294	314	304
Average hours of training for male staff 男性員工平均受訓小時數	hour 小時	34.14	21.10	116
Average hours of training for female staff 女性員工平均受訓小時數	hour 小時	34.14	21.10	116
Training performance-by rank/ 培訓績效 - 按職級劃分				
Number of senior managements trained 高級管理人員受訓人數	person 人	9	8	9
Number of middle managements trained 中層管理人員受訓人數	person 人	71	117	111
Number of general and technical staff trained 一般及技術員工受訓人數	person 人	556	556	541
Number of training sessions for senior management 高級管理人員受訓人次數	person/time 人次	47	78	194
Number of training sessions for middle management 中層管理人員受訓人次數	person/time 人次	585	1,082	2,143
Number of training sessions for general and technical staff 一般及技術員工受訓人次數	person/time 人次	2,291	5,134	10,448
Average hours of training for senior management 高級管理人員平均受訓小時數	hour 小時	49.33	35	151
Average hours of training for middle management 中層管理人員平均受訓小時數	hour 小時	54.44	21.10	116
Average hours of training for general and technical staff 一般及技術員工受訓小時數	hour 小時	35.74	21.10	116
Supply chain management/ 供應鏈管理				
Total number of suppliers 供應商總數	unit 家	69	110	70

Name of Indicator 指標名稱	Unit 單位	2024	2023	2022
Number of suppliers-by region/ 供應商數 - 按地區分類				
Yangtze River Delta 長江三角洲地區	unit 家	49	61	56
Pearl River Delta 珠江三角洲地區	unit 家	6	7	3
Pan Bohai Rim 環渤海地區	unit 家	4	11	1
Central 中部地區	unit 家	6	9	5
Northeast 東北地區	unit 家	4	6	5
West 西部地區	unit 家	0	12	0
Other 其他地區	unit 家	0	4	0
Product responsibility/ 產品責任				
Customer services/ 客戶服務				
Number of complaints on business operations 營業業務投訴宗數	case 宗	8	11	11
Complaint handling rate 投訴處理率	%	100	100	100
Protection of intellectual property rights/ 知識產權保護				
Number of cases of IPR infringement or infringed IPR 侵犯知識產權或被侵犯知識產權案件數	Case 件	0	0	0
Governance performance 公司治理績效				
Number of female director(s) of the Company 公司董事女性人數	person 人	0	0	1
Number of female supervisor(s) of the Company 公司監事女性人數	person 人	1	2	2
Number of female senior management of the Company 公司高級管理人員女性人數	person 人	1	2	2
Percentage of female director(s) of the Company 公司董事女性人數比例	%	0	0	12.5
Percentage of female supervisor (s) of the Company 公司監事女性人數比	%	33.3	66.7	66.7
Percentage of female senior management(s) of the Company 公司高級管理人員女性人數比例	%	16.7	33.3	33.3



(III) Report index

(三) 報告索引表

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

1、香港聯交所《環境、社會及管治報告指引》內容索引

Aspects 層面	Description 描述	Section 所在章節
A Environmental A 環境		
Aspect A1: Emissions/ 層面 A1：排放物環境績效		
General Disclosure 一般披露	Information on the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to exhaust and greenhouse gas emissions, discharges into water and land, and generation 有關廢氣、向水及土地的排污、有害及無害廢棄物的產生等的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	Emissions management 排放物管理
A1.1	The types of emissions and respective emissions data. 排放物種類及相關排放資料。	Climate change Emissions management 應對氣候變化 排放物管理
A1.3	Total hazardous waste produced (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生有害廢棄物總量（以噸計算）及（如適用）密度（如以每產量為單位、每項設施計算）。	Emissions management 排放物管理
A1.4	Total non-hazardous waste produced (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生無害廢棄物總量（以噸計算）及（如適用）密度（如以每產量為單位、每項設施計算）。	Emissions management 排放物管理
A1.5	Description of emissions target(s) set and steps taken to achieve them. 描述所訂立的排放量目標及為達到這些目標所採取的步驟。	Climate change 應對氣候變化
A1.6	Description of how hazardous and non-hazardous wastes are handled, and a description of reduction target(s) set and steps taken to achieve them. 描述處理有害及無害廢棄物的方法及描述所訂立的減廢目標及為達到這些目標所採取的步驟。	Emissions management 排放物管理
Aspect A2: Use of Resources/ 層面 A2：資源使用		
General Disclosure 一般披露	Policies on the efficient use of resources, including energy, water and other raw materials. 有效使用資源（包括能源、水及其他原材料）的政策。	Resources and energy consumption 能源資源使用
A2.1	Direct and/or indirect energy consumption by type (e.g. electricity, gas or oil) in total (kWh in'000s) and intensity (e.g. per unit of production volume, per facility). 按類型劃分的直接及 / 或間接能源（如電、氣或油）總耗量（以千個千瓦時計算）及密度（如以每產量單位、每項設施計算）。	Resources and energy consumption 能源資源使用
A2.2	Water consumption in total and intensity (e.g. per unit of production volume, per facility). 總耗水量及密度（如以每產量單位、每項設施計算）。	Resources and energy consumption 能源資源使用
A2.3	Description of energy use efficiency target(s) set and steps taken to achieve them. 描述所訂立的能源使用效益目標及為達到這些目標所採取的步驟。	Resources and energy consumption 能源資源使用
A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency target(s) set and steps taken to achieve them. 描述求取適用水源上可有任何問題，以及所訂立的用水效益目標及為達到這些目標所採取的步驟。	Resources and energy consumption 能源資源使用

Aspects 層面	Description 描述	Section 所在章節
A2.5	Total packaging material used for finished products (in tons) and, if applicable, with reference to per unit produced. 製成品所用包裝材料的總量（以噸計算）及（如適用）每生產單位占量。	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
Aspect A3: Environment and Natural Resources/ 層面 A3：環境及天然資源		
General Disclosure 一般披露	Policies on minimising the issuer's significant impacts on the environment and natural resources. 減低發行人對環境及天然資源造成重大影響的政策。	Resources and energy consumption 能源資源管理
A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them. 描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	Green finance 綠色金融
B Social B 社會		
Aspect B1: Employment/ 層面 B1：僱傭		
General Disclosure 一般披露	Information on: the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare. 有關薪酬及解雇、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
B1.1	Total workforce by gender, employment type (for example, full- or part-time), age group and geographical region. 按性別、僱傭類型（如全職或兼職）、年齡組別及地區劃分的雇員總數。	Deep Empowerment to Build a Better Workplace-Metrics and targets 深度賦能，構建美好職場 - 指標與目標
B1.2	Employee turnover rate by gender, age group and geographical region. 按性別、年齡組別及地區劃分的雇員流失比率。	Deep Empowerment to Build a Better Workplace-Metrics and targets 深度賦能，構建美好職場 - 指標與目標
Aspect B2: Health and Safety/ 層面 B2：健康與安全		
General Disclosure 一般披露	Compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards. 有關提供安全工作環境及保障雇員避免職業性危害的：政策；及遵守對發行人有重大影響的相關法律及規例的資料。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year. 過去三年（包括匯報年度）每年因工亡故的人數及比率。	Deep Empowerment to Build a Better Workplace-Metrics and targets 深度賦能，構建美好職場 - 指標與目標
B2.2	Lost days due to work injury. 因工傷損失工作日數。	Deep Empowerment to Build a Better Workplace-Metrics and targets 深度賦能，構建美好職場 - 指標與目標
B2.3	Description of occupational health and safety measures adopted, and how they are implemented and monitored. 描述所採納的職業健康與安全措施，以及相關執行及監察方法。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略

Aspects 層面	Description 描述	Section 所在章節
Aspect B3: Development and Training/ 層面 B3：發展及培訓		
General Disclosure 一般披露	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. 有關提升雇員履行工作職責的知識及技能的政策。描述培訓活動。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
B3.1	The percentage of employees trained by gender and employee category (e.g. senior management, middle management.) 按性別及雇員類別（如高級管理層、中級管理層等）劃分的受訓雇員百分比。	Deep Empowerment to Build a Better Workplace-Metrics and targets 深度賦能，構建美好職場 - 指標與目標
B3.2	The average training hours completed per employee by gender and employee category. 按性別及雇員類別劃分，每名雇員完成受訓的平均時數。	Deep Empowerment to Build a Better Workplace-Metrics and targets 深度賦能，構建美好職場 - 指標與目標
Aspect B4: Labour Standards/ 層面 B4：勞動準則		
General Disclosure 一般披露	Information on: the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour. 有關防止童工或強制勞工的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	This indicator is not applicable as the Company has not experienced such a situation 公司未發生此類情況，此指標不適用
Aspect B5: Supply Chain Management/ 層面 B5：供應鏈管理		
General Disclosure 一般披露	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	Industry collaboration 行業協同發展
B5.1	Number of suppliers by geographical region. 按地區劃分的供應商數目。	Industry collaboration 行業協同發展
B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, and how they are implemented and monitored. 描述有關聘用供應商的慣例，向其執行有關慣例的供應商數目，以及有關慣例的執行及監察方法	Industry collaboration 行業協同發展
B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemental and monitored. 描述有關識別供應鏈每個環節的環境及社會風險的慣例，以及相關執行及監察方法。	Industry collaboration 行業協同發展
B5.4	Description of practices used to promote environmentally preferable products and services when selecting suppliers, and how they are implemented and monitored. 描述在揀選供應商時促使多用環保產品及服務的慣例，以及相關執行及監察方法。	Industry collaboration 行業協同發展
Aspect B6: Product Responsibility/ 層面 B6：產品責任		
General Disclosure 一般披露	Information on: the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress. 有關所提供產品和服務的健康與安全、廣告、標籤及私隱事宜以及補救方法的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	Quality of products and services 產品和服務品質

Aspects 層面	Description 描述	Section 所在章節
B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons. 已售或已運送產品總數中因安全與健康理由而須回收的百分比。	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
B6.2	Number of products and service related complaints received and how they are dealt with. 接獲關於產品及服務的投訴數目以及應對方法。	Quality of products and services 產品和服務品質
B6.3	Description of practices relating to observing and protecting intellectual property rights. 描述與維護及保障知識產權有關的慣例。	Quality of products and services 產品和服務品質
B6.4	Description of quality assurance process and recall procedures. 描述品質檢定過程及產品回收程序。	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
B6.5	Description of consumer data protection and privacy policies, and how they are implemented and monitored. 描述消費者資料保障及私隱政策，以及相關執行及監察方法。	Data security and customer privacy protection 數據安全與客戶隱私保護
Aspect B7: Anti-corruption/ 層面 B7：反貪污		
General Disclosure 一般披露	Information on: the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering. 有關防止賄賂、勒索、欺詐及洗黑錢的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	Regulating Corporate Governance Anti-commercial bribery and anti-corruption 規範公司治理 反商業賄賂及反貪污
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. 于匯報期內對發行人或其雇員提出並已審結的貪污訴訟案件的數目及訴訟結果。	Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污
B7.2	Description of preventive measures and whistle-blowing procedures, and how they are implemented and monitored. 描述防範措施及舉報程序，以及相關執行及檢查方法。	Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污
B7.3	Description of anti-corruption training provided to directors and staff. 描述向董事及員工提供的反貪污培訓。	Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污
Aspect B8: Community Investment/ 層面 B8：社區投資		
General Disclosure 一般披露	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests. 有關以社區參與來了解營運所在社區需要和確保其業務活動會考慮社區利益的政策。	Contribute the power of Holly 貢獻弘業力量
B8.1	Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport). 專注貢獻範疇（如教育、環境事宜、勞工需求、健康、文化、體育）。	Contribute the power of Holly 貢獻弘業力量
B8.2	Resources contributed (e.g. money or time) to the focus area. 在專注範疇所動用資源（如金錢或時間）。	Contribute the power of Holly 貢獻弘業力量



Index for the Self-regulatory Guideline No.17 for Companies Listed on the Shenzhen Stock Exchange - Sustainability Report (Trial)

2.《深圳证券交易所上市公司自律监管指引第 17 号——可持续发展报告（试行）》内容索引

Dimension 维度	Disclosure requirements 披露要求	Reference chapter 对应的本报告章节
Environmental 环境	Climate change 应对气候变化	Climate change 应对气候变化
	Pollution 污染物排放	Emissions management 排放物管理
	Waste disposal 废弃物处理	Emissions management 排放物管理
	Ecosystem and biodiversity conservation 生态系统和生物多样性保护	Not Applicable 不适用
	Environmental compliance management 环境合规管理	Not Applicable 不适用
	Energy utilization 能源利用	Resources and energy consumption 能源资源利用
	Water utilization 水资源利用	Resources and energy consumption 能源资源利用
Social 社会	Circular economy 循环经济	Not Applicable 不适用
	Rural revitalization 乡村振兴	Contribute the power of Holly 贡献弘业力量
	Social contribution 社会贡献	Contribute the power of Holly 贡献弘业力量
	Innovation driven 创新驱动	Quality of products and services 产品和服务品质
	Technology ethics 科技伦理	Not Applicable 不适用
	Supply chain security 供应链安全	Industry collaboration 行业协同发展
	Equal treatment of SMEs 平等对待中小企业	Not Applicable 不适用
	Product and service safety and quality 产品和服务安全与品质	Quality of products and services 产品和服务品质
	Data security and customer privacy protection 数据安全与客户隐私保护	Data security and customer privacy protection 数据安全与客户隐私保护
	Employees 员工	Deep Empowerment to Build a Better Workplace 深度赋能，构建美好职场
Governance related to sustainable development 可持续发展相关治理	Due diligence 尽职调查	Stakeholders' engagement 利益相关方沟通
	Stakeholder communication 利益相关方沟通	Stakeholders' engagement 利益相关方沟通
	Anti-commercial bribery and anti-corruption 反商业贿赂及反贪污	Anti-commercial bribery and anti-corruption 反商业贿赂及反贪污
	Anti-unfair competition 反不正当竞争	Responsible marketing 负责任营销

The Content Index of Global Reporting Initiative Standards

3.《全球报告倡议组织可持续发展报告标准》（GRI Standards）内容索引

Dimension 维度	Disclosure requirements 披露要求	Reference chapter 对应的本报告章节
GRI 1 General Disclosures 2021 GRI 2 一般披露		
Organizational Overview and Reporting Practices/ 组织概况及其报告做法		
GRI 2-1	Organizational details 组织详情情况	Corporation profile 公司简介
GRI 2-2	Entities included in the organization's sustainability reporting 纳入组织可持续发展报告的实体	Reporting scope and boundary 报告范围及边界
GRI 2-3	Reporting period, frequency and contact point 报告期、报告频率和联络人	Access and feedback 获取及回应本报告
GRI 2-4	Restatements of information 信息重述	No restatement of information is required for the Repor 本报告无需信息重述
GRI 2-5	External assurance 外部鉴证	The Report has not conducted any external assurance 本报告未进行外部鉴证
Activities and Workers/ 活动和工作者		
GRI 2-6	Activities, value chain and other business relationships 活动、价值链和其他业务关系	Corporation profile 公司简介
GRI 2-7	Employees 员工	Deep Empowerment to Build a Better Workplace 深度赋能，构建美好职场
GRI 2-8	Workers who are not employees 员工之外的工作者	The Company does not involve non employed staff 公司不涉及非雇佣员工
Governance/ 管治		
GRI 2-9	Governance structure and composition 管治架构和组成	Sound governance structure 完善治理架构
GRI 2-10	Nomination and selection of the highest governance body 最高管治机构的提名和遴选	Sound governance structure 完善治理架构
GRI 2-11	Chair of the highest governance body 最高管治机构的主席	Sound governance structure 完善治理架构
GRI 2-12	Highest governance body's supervision role in management 在管理影响方面，最高管治机构的监督作用	Sound governance structure
GRI 2-13	Delegation of responsibility for managing impacts 为管理影响的授权	Board statement 完善治理架构 董事会声明
GRI 2-14	Highest governance body's role in sustainability reporting 最高管治机构在可持续发展报告中的作用	Sound governance structure 完善治理架构
GRI 2-15	Conflicts of interest 利益冲突	Board statement 董事会声明
GRI 2-16	Communication of critical concerns 重要关切问题的沟通	Stakeholders' engagement 利益相关方沟通

Dimension 維度	Disclosure requirements 披露要求	Reference chapter 對應的本報告章節
GRI 2-17	Collective knowledge of the highest governance body 最高管治機構的共同知識	Board statement 董事會聲明
GRI 2-18	Evaluation of the performance of the highest governance body 對最高管治機構的績效評估	Sound governance structure 完善治理架構
GRI 2-19	Remuneration policies 薪酬政策	Deep Empowerment to Build a Better Workplace 深度賦能，構建美好職場
GRI 2-20	Process to determine remuneration 確定薪酬的程序	Not disclosed 未披露
GRI 2-21	Annual total compensation ratio 年度總薪酬比率	Not disclosed 未披露
Strategy, Policy and Practice/ 戰略、政策和實踐		
GRI 2-22	Statement on sustainable development strategy 關於可持續發展戰略的聲明	Board statement 董事會聲明
GRI 2-23	Policy commitments 政策承諾	Regulating Corporate Governance 規範公司治理
GRI 2-24	Embedding policy commitments 融合政策承諾	Industry collaboration 協同行業發展
GRI 2-25	Processes to remediate negative impacts 補救負面影響的程序	Regulating Corporate Governance 規範公司治理
GRI 2-26	Mechanisms for seeking advice and raising concerns 尋求建議和提出關切的機制	Stakeholders' engagement 利益相關方溝通
GRI 2-27	Compliance with laws and regulations 遵守法律法規	Appendix-(I) List of major applicable laws and regulations 報告附錄（一）適用的主要法律法規清單
GRI 2-28	Membership associations 協會的成員資格	Appendix-(IV) Memberships and honors and awards 報告附錄（四）會員資格與榮譽獎項
Stakeholder engagement/ 利益相關方參與		
GRI 2-29	Approach to stakeholder engagement 利益相關方參與的方法	Stakeholders' engagement 利益相關方溝通
GRI 2-30	Collective bargaining agreements 集體談判協定	Deep Empowerment to Build a Better Workplace 深度賦能，構建美好職場
GRI 3 Disclosures of substantive social responsibility issues/GRI 3 重要性議題的披露項		
GRI 3-1	Process to determine material topics 確定重要性議題的過程	Materiality assessment 重要性議題評估
GRI 3-2	List of material topics 重要性議題清單	
GRI 3-3	Management of material topics 重要性議題的管理	
GRI 201 Economic Presence/GRI 201 經濟績效		
GRI 201-1	Direct economic value generated and distributed 直接產生和分配的經濟價值	The Company's 2024 Annual Report 公司 2024 年年度報告
GRI 201-2	Financial implications and other risks and opportunities due to climate change 氣候變化帶來的財務影響以及其他風險和機遇	Climate change 應對氣候變化
GRI 201-3	Defined benefit plan obligations and other retirement plans 固定福利計畫和其他退休計畫	Deep Empowerment to Build a Better Workplace 深度賦能，構建美好職場

Dimension 維度	Disclosure requirements 披露要求	Reference chapter 對應的本報告章節
GRI 201-4	Financial assistance received from government 政府給予的財政補貼	The Company's 2024 Annual Report 公司 2024 年年度報告
GRI 202 Market Presence/ GRI 202 市場表現		
GRI 202-1	Ratios of standard entry level wage by gender compared to local minimum wage 按性別的標準起薪水平工資與當地最低工資之比	Undisclosed 未披露
GRI 202-2	Proportion of senior management hired from the local community 從當地社區僱傭高管的比例	
GRI 203 Indirect Economic Impacts/ GRI 203 間接經濟影響		
GRI 203-1	Infrastructure investments and services supported 基礎設施投資和支持性服務	Contribute the power of Holly 貢獻弘業力量
GRI 203-2	Significant economic impacts 重大間接經濟影響	The Company's 2024 Annual Report 公司 2024 年年度報告
GRI 204 Procurement Practices/GRI 204 採購實施		
GRI 204-1	Proportion of spending on local suppliers 向當地供應商採購支出的比例	Industry collaboration 協同行業發展
GRI 205 Anti-corruption/GRI 205 反腐敗		
GRI 205-1	Operations assessed for risks related to corruption 已進行腐敗風險評估的運營點	Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污
GRI 205-2	Communication and training about anti-corruption policies and procedures 反腐敗政策和程序的傳達及培訓	
GRI 205-3	Mechanisms for seeking advice and raising concerns 尋求建議和提出關切的機制	
GRI 206 Anti-competitive/GRI 206 反競爭行為		
GRI 206-1	Legal actions for anti-competitive behavior, anti-trust, and monopoly practice 針對反競爭行為、反托拉斯和反壟斷實踐的法律訴訟	Anti-commercial bribery and anti-corruption Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污 負責任營銷
GRI 207 Tax/ GRI 207 稅務		
GRI 207-1	Approach to tax 稅務方針	Anti-commercial bribery and anti-corruption 反商業賄賂及反貪污
GRI 207-2	Tax governance, control, and risk management 稅務治理、控制及風險控制	
GRI 207-3	Stakeholder engagement and management of concerns related to tax 與稅務相關的利益相關方參與及管理	
GRI 301 Material/GRI 301 物料		
GRI 2-26	Mechanisms for seeking advice and raising concerns 尋求建議和提出關切的機制	Stakeholders' engagement Contribute the power of Holly 利益相關方溝通 貢獻弘業力量
GRI 2-27	Compliance with laws and regulations 遵守法律法規	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，指標不適用



Dimension 維度	Disclosure requirements 披露要求	Reference chapter 對應的本報告章節
GRI 2-26	Mechanisms for seeking advice and raising concerns 尋求建議和提出關切的機制	Stakeholders' engagement Contribute the power of Holly 利益相關方溝通 貢獻弘業力量
GRI 2-27	Compliance with laws and regulations 遵守法律法規	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，指 標不適用
GRI 302 Energy/GRI 302 能源		
GRI 302-1	Energy consumption within the organization 組織內部的能源消耗量	Resources and energy consumption 能源資源使用
GRI 302-2	Energy consumption outside of the organization 組織外部的能源消耗量	
GRI 302-3	Energy intensity 能源強度	
GRI 302-4	Reduction of energy consumption 減少能源消耗	
GRI 302-5	Reductions in energy requirements of products and services 產品和服務的能源需求下降	
GRI 303 Water and Effluents/ GRI 303 水資源和污水		
GRI 303-1	Management approach disclosures Interactions with water as a shared resource 組織與水作為共有資源的相互影響	Resources and energy consumption 能源資源使用
GRI 303-2	Management of water discharge-related impacts 管理與排水相關的影響	
GRI 303-3	Water withdrawal 取水	
GRI 303-4	Water discharge 排水	
GRI 303-5	Water consumption 耗水	
GRI 304 Biodiversity/ GRI 304 生物多樣性		
GRI 304-1	Operational sites owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas 組織在位於或臨近保護區和保護區外的生物多樣性豐富區域擁有、租賃 管理的運營點	Not applicable 不適用
GRI 304-2	Significant impacts of activities, products and services on biodiversity 活動、產品和服務對生物多樣性的重大影響	
GRI 304-3	Habitats protected or restored 受保護或經修復的棲息地	
GRI 304-4	IUCN Red List species and national conservation list species with habitats in areas affected by operations 受運營影響的棲息地中已被列入世界自然保護聯盟（IUCN）紅色名錄及 國家保護名冊的物種	

Dimension 維度	Disclosure requirements 披露要求	Reference chapter 對應的本報告章節
GRI 305 Emissions/ GRI 305 排放		
GRI 305-1	Direct (Scope 1) GHG emissions 直接（範圍 1）溫室氣體排放	Climate change Emissions management 應對氣候變化 排放物管理
GRI 305-2	Indirect (Scope 2) GHG emissions 能源間接（範圍 2）溫室氣體排放	
GRI 305-3	Other indirect (Scope 3) GHG emissions 其他間接（範圍 3）溫室氣體排放	
GRI 305-4	GHG emissions intensity 溫室氣體排放強度	
GRI 305-5	Reduction of GHG emissions 溫室氣體減排量	
GRI 305-6	Emissions of ozone-depleting substances 臭氧消耗物質 (ODS) 的排放	
GRI 305-7	Nitrogen oxides (NOx), sulfur oxides (SOx), and other significant air emissions 氮氧化物（NOX）、硫氧化物（SOX）和其他重大氣體排放	
GRI 306 Waste/ GRI 306 廢棄物		
GRI 306-1	Waste generation and significant waste related impacts 廢棄物的產生及廢棄物相關重大影響	Emissions management 排放物管理
GRI 306-2	Management of significant waste-related impacts 廢棄物相關重大影響的管理	
GRI 306-3	Waste generated 產生的廢棄物	
GRI 306-4	Waste diverted from disposal 從處置中轉移的廢棄物	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，指標不適用
GRI 306-5	Waste directed to disposal 進入處置的廢棄物	
GRI 308 Supplier Environmental Assessment/ GRI 308 供應商環境評估		
GRI 308-1	New suppliers that were screened using environmental criteria 使用環境評價維度篩選的新供應商	Deep Empowerment to Build a Better Workplace-Strategy, Metrics and targets 深度賦能，構建美好職場 - 戰略、指標與目標
GRI 308-2	Negative environmental impacts in the supply chain and actions taken 供應鏈的負面環境影響以及採取的行動	
GRI 401 Employment/GRI 401 僱傭		
GRI 401-1	New employee hires and employee turnover 新進員工僱傭率和員工流動率	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
GRI 401-2	Benefits provided to full-time employees that are not provided to temporary or part-time employees 提供給全職員工（不包括臨時或兼職員工）的福利	
GRI 401-3	Parental leave 育兒假	

Dimension 維度	Disclosure requirements 披露要求	Reference chapter 對應的本報告章節
GRI 402 Labor Relations/ GRI 402 勞資關係		
GRI 402-1	Minimum notice periods regarding operational change 有關運營變更的最短通知期	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
GRI 403 Occupational Health and Safety/ GRI 403 職業健康與安全		
GRI 403-1	Occupational health and safety management system 職業健康安全管理體系	Deep Empowerment to Build a Better Workplace-Strategy,Metrics and targets 深度賦能，構建美好職場 - 戰略、指標與目標
GRI 403-2	Hazard identification, risk assessment, and incident investigation 危害識別、風險評估和事故調查	
GRI 403-3	Occupational health services 職業健康服務	
GRI 403-4	Occupational Health and Safety Matters: Worker participation, consultation, and communication on occupational health and safety 職業健康安全事務：工作者的參與、意見征詢和溝通	
GRI 403-5	Worker training on occupational health and safety 工作者職業健康安全培訓	
GRI 403-6	Promotion of worker health 促進工作者健康	
GRI 403-7	Prevention and mitigation of occupational health and safety impacts directly linked by business relationships 預防和減緩與業務關係直接相關的職業健康安全影響	
GRI 403-8	Workers covered by an occupational health and safety management system 職業健康安全管理體系覆蓋的工作者	
GRI 403-9	Work-related ill health 工傷	
GRI 404 Training and education/ GRI 404 培訓與教育		
GRI 404-1	Average hours of training per year per employee 每名員工每年接受培訓的平均小時數	Deep Empowerment to Build a Better Workplace-Strategy,Metrics and targets 深度賦能，構建美好職場 - 戰略、指標與目標
GRI 404-2	Programs for upgrading employee skills and transition assistance programs 員工技能提升方案和過渡協助方案	
GRI 404-3	Percentage of employees receiving regular performance and career development reviews 定期接受績效和職業發展考核的員工百分比	
GRI 405 Diversity and Equal Opportunity/ GRI 405 多元化與平等機會		
GRI 405-1	Diversity of governance bodies and employees 管治機構與員工多元化	Deep Empowerment to Build a Better Workplace-Strategy,Metrics and targets 深度賦能，構建美好職場 - 戰略、指標與目標
GRI 405-2	Ratio of basic salary and remuneration of women to men 男女基本工資和報酬比例	Undisclosed 未披露

Dimension 維度	Disclosure requirements 披露要求	Reference chapter 對應的本報告章節
GRI 406 Non-Discrimination/ GRI 406 反歧視		
GRI 406-1	Incidents of discrimination and corrective actions taken 歧視事件及採取的糾正行動	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
GRI 407 Freedom of Association and Collective Bargaining/ GRI 407 結社自由與集體談判		
GRI 407-1	Operations and suppliers at significant risk for incidents of child labor 具有重大童工時間風險的運營點和供應商	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
GRI 408 Child Labor/ GRI 408 童工		
GRI 408-1	Operations and suppliers at significant risk for incidents of child labor 具有重大童工時間風險的運營點和供應商	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
GRI 409 Forced or Compulsory Labor/ GRI 409 強迫會強制勞動		
GRI 409-1	Operations and suppliers at significant risk for incidents of forced or compulsory labor 具有強迫會強制勞動事件重大風險的運營點和供應商	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
GRI 413 Local Communities/ GRI 413 當地社區		
GRI 413-1	Operations with local community engagement, impact assessments, and development programmes 有當地社區參與、影響評估和發展計畫的運營點	Contribute the power of Holly 貢獻弘業力量
GRI 413-2	Operations with significant actual and potential negative impacts on local communities 對當地社區有實際或潛在重大負面影響的運營點	
GRI 414 Supplier social assessment/ GRI 414 供應商社會評估		
GRI 414-1	New suppliers that were screened using social criteria 使用社會評價維度篩選的新供應商	Industry collaboration 行業協同發展
GRI 414-2	Negative social impacts in the supply chain and actions taken 供應鏈的負面社會影響以及採取的行動	
GRI 417 Marketing and Labeling/ GRI 417 營銷與標識		
GRI 417-1	Requirements for product and service information and labeling 對產品和服務信息與標識的要求	Quality of products and services Responsible marketing 產品和服務品質 負責任營銷
GRI 417-2	Incidents of non-compliance concerning product and service information and labeling 涉及產品和服務信息與標識的違規事件	
GRI 417-3	Incidents of non-compliance concerning marketing communications 涉及營銷傳播的違規事件	
GRI 418 Customer privacy/ GRI 418 客戶隱私		
GRI 418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data 涉及侵犯客戶隱私和丟失客戶資料的經證實的投訴	Data security and customer privacy protection 數據安全與客戶隱私保護



UN Sustainable Development Goals (SDGs)

4、聯合國可持續發展目標（SDGs）

Sustainable Development Goals 可持續發展目	Main content 內容	Reference chapter 報告章節
	End poverty in all its forms everywhere 在世界各地消除一切形式的貧困。	Contribute the power of Holly 貢獻弘業力量
	End hunger, achieve food security and improved nutrition and promote sustainable agriculture 消除饑餓，實現糧食安全、改善營養和促進可持續農業。	Contribute the power of Holly 貢獻弘業力量
	Ensure healthy lives and promote well-being for all at all ages 確保健康的生活方式，促進各年齡段人群的福祉。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
	Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all 確保包容、公平的優質教育，促進全民享有終身學習的機會。	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
	Achieve gender equality and empower all women and girls 實現性別平等，為所有婦女、女童賦權	Deep Empowerment to Build a Better Workplace-Strategy 深度賦能，構建美好職場 - 戰略
	Ensure availability and sustainable management of water and sanitation for all 人人享有清潔飲水及用水是我們所希望生活的世界的一個重要組成部分。	Resources and energy consumption 能源資源使用
	Ensure access to affordable, reliable, sustainable and modern energy for all 確保人人獲得可負擔、可靠和可持續的現代能源。	Resources and energy consumption 能源資源使用
	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all 促進持久、包容、可持續的經濟增長，實現充分和生產性就業，確保人人有體面工作。	Stakeholders' engagement Sound governance structure Deep Empowerment to Build a Better Workplace-Strategy Contribute the power of Holly 利益相關方溝通 完善治理架構 深度賦能，構建美好職場 - 戰略 貢獻弘業力量
	Build risk-resilient infrastructure, promote inclusive and sustainable industries and promote innovation 建設有風險抵禦能力的基礎設施、促進包容的可持續工業，並推動創新	Sound governance structure Quality of products and services Data security and customer privacy protection 規範公司治理 產品和服務品質 數據安全與客戶隱私保護

Sustainable Development Goals 可持續發展目	Main content 內容	Reference chapter 報告章節
	Reduce inequality within and between countries 減少國家內部和國家之間的不平等。	Sound governance structure Anti-commercial bribery and anti-corruption Contribute the power of Holly 規範公司治理 反商業賄賂及反貪污 貢獻弘業力量
	Building inclusive, safe, risk-resistant and sustainable cities and human settlements 建設包容、安全、有風險抵禦能力和可持續的城市及人類住區。	Contribute the power of Holly 貢獻弘業力量
	Ensure sustainable consumption and production patterns 確保可持續消費和生產模式。	Stakeholders' engagement Materiality assessment Quality of products and services Data security and customer privacy protection 利益相關方溝通 重要性議題評估 產品和服務品質 數據安全與客戶隱私保護
	Take urgent action to deal with climate change and its impact 採取緊急行動應對氣候變化及其影響。	Climate change 應對氣候變化
	Protection and sustainable utilization of oceans and marine resources to promote sustainable development 保護和可持續利用海洋及海洋資源以促進可持續發展。	Not Applicable 不適用
	Protect, restore and promote the sustainable use of terrestrial ecosystems, sustainable forest management, combat desertification, stop and reverse land degradation, and curb the loss of biodiversity 保護、恢復和促進可持續利用陸地生態系統、可持續森林管理、防治荒漠化、制止和扭轉土地退化現象、遏制生物多樣性的喪失。	Emissions management 排放物管理
	Promote a peaceful and inclusive society conducive to sustainable development, provide access to justice for all, and establish effective, accountable and inclusive institutions at all levels 促進有利於可持續發展的和平和包容社會、為所有人提供訴諸司法的機會，在各層級建立有效、負責和包容的機構。	Stakeholders' engagement Sound governance structure Deep Empowerment to Build a Better Workplace-Strategy Contribute the power of Holly 利益相關方溝通 規範公司治理 深度賦能，構建美好職場 - 戰略 貢獻弘業力量
	Strengthen the means of implementation and revitalize the global partnership for sustainable development 加強執行手段、重振可持續發展全球夥伴關係。	Stakeholders' engagement Quality of products and services Data security and customer privacy protection 利益相關方溝通 產品和服務品質 數據安全與客戶隱私保護

(IV) Memberships and honors and awards

（四）會員資格與榮譽獎項

1.Membership

1. 會員資格

Joining time 入會時間	Name of association 協會名稱	Nature of membership 會員性質
June 2001 2001 年 6 月	China Futures Association 中國期貨業協會	Governing unit 理事單位
October 2007 2007 年 10 月	Jiangsu Province Futures Association 江蘇省期貨業協會	President Company 會長單位
2011 2011 年	Jiangsu Chamber of International Commerce 江蘇省國際商會	Governing unit 理事單位
July 2012 2012 年 7 月	Jiangsu Capital Market Research Association 江蘇省資本市場研究會	Deputy President Company 副會長單位
2013 2013 年	Jiangsu Youth Chamber of Commerce 江蘇省青年商會	General member 一般會員
October 2013 2013 年 10 月	Nanjing Finance Promotion Council 南京金融發展促進會	Governing unit 理事單位
April 2013 2013 年 4 月	Jiangsu Overseas Development and Planning Association 江蘇省海外發展和規劃協會	Deputy President Company 副會長單位
June 2013 2013 年 6 月	Asset Management Association of China 中國證券投資基金業協會	Special member 特別會員
December 2014 2014 年 12 月	Jiangsu Financial Association 江蘇省金融業聯合會	Governing unit 理事單位
May 2014 2014 年 5 月	Jiangsu Province State-owned Enterprise Development and Reform Research Association 江蘇省國有企業發展改革研究會	General member 一般會員
2016 2016 年	Entrepreneurs Association of China Chemical Enterprise Management Association 中國化工企業管理協會企業家聯誼會	Executive Director, Deputy President Company 常務理事，副會長單位
November 2017 2017 年 11 月	Jiangsu Association of Science & Technology Innovation 江蘇省科技創新協會	Executive Director Company 常務理事單位
January 2019 2019 年 1 月	Zhangjiagang Free Trade Zone Petrochemical Industry Chamber of Commerce 張家港保稅區石化業商會	General member 一般會員
February 2019 2019 年 2 月	Jiangsu Entrepreneurs Federation 江蘇省企業家聯合會	Deputy President Company 副會長單位
February 2019 2019 年 2 月	National Association of Financial Market Institutional Investors 中國銀行間市場交易商協會	General member 一般會員
January 2019 2019 年 1 月	Research Association of Ideological and Political Work of China Financial Institutions 中國金融思想政治工作研究會	Governing unit 理事單位

Honors and Awards

2. 榮譽獎項

Time 時間	Winners 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
January 2024 2024 年 1 月	the Company 公司	Special Contribution Unit for Rural Revitalization 鄉村振興特別貢獻單位	Chinese Securities Journal 大眾證券報
February 2024 2024 年 2 月	the Company 公司	Demonstration Site of Learning from Lei Feng Activities in the Financial System in 2023 2023 年金融系統學雷鋒活動示範點	Committee for Inheriting Lei Feng Spirit of China Financial and Ideological Work Research Association, Volunteer Committee for Inheriting Lei Feng Spirit of China Volunteer Service Association 中國金融思想政治工作研究會傳 承雷鋒精神委員會、中華志願者 協會傳承雷鋒精神志願者委員會
March 2024 2024 年 3 月	the Company 公司	Advanced Unit for Digital Transformation in 2023 by Jiangsu Financial Technology Committee 江蘇金科委 2023 年度數位化轉型先進單位	Jiangsu Financial Association 江蘇省金融業聯合會
February 2024 2024 年 2 月	the Company 公司	Growth Breakthrough Award in 2023 2023 年度成長突破獎	China Financial Futures Exchange Inc. 中國金融期貨交易所
April 2024 2024 年 4 月	the Company 公司	Outstanding Member Award 優秀會員獎	Shanghai Futures Exchange 上海期貨交易所
April 2024 2024 年 4 月	the Company 公司	Contribution Award of “Strengthening Resources to Assist Enterprises” in the Previous Period of Shanghai Futures Exchange 上期『強源助企』貢獻獎	Shanghai Futures Exchange 上海期貨交易所
2024 2024 年	the Company 公司	Third Prize of “Improving the Operational Quality of the Options Market” in 2023 of “Strengthening Resources to Assist Enterprises” in the Previous Period of Shanghai Futures Exchange 上期『強源助企』—2023 年度『提升期權市場運 行品質』三等獎	Shanghai Futures Exchange 上海期貨交易所
March 2024 2024 年 3 月	the Company 公司	Benchmark Enterprise for High-quality Development in Jiangsu Province in 2023 2023 年度江蘇省高品質發展標杆企業	Jiangsu Business Elites Conference 蘇商精英大會
March 2024 2024 年 3 月	Chu Kairong 儲開榮	Outstanding Entrepreneur in Jiangsu in 2023 2023 年度江蘇優秀企業家	Jiangsu Business Elites Conference 蘇商精英大會
April 2024 2024 年 4 月	the Company 公司	Second Prize of the “Insurance + Futures” Project for Natural Rubber in 2023 2023 年天然橡膠『保險+期貨』項目二等獎	Shanghai Futures Exchange 上海期貨交易所

Time 時間	Winners 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
April 2024 2024 年 4 月	the Company 公司	Advanced Unit of Green Finance in Jiangsu Province in 2023 2023 年度江蘇省綠色金融先進單位	Jiangsu Financial Association 江蘇省金融業聯合會
August 2024 2024 年 8 月	the Company 公司	Enterprise Risk Management in 2023 - Golden Great Wall Service Provider Award 2023 企業風險管理–金長城服務商獎	Futures Daily 期貨日報
August 2024 2024 年 8 月	the Company 公司	2024 ESG Golden Jasmine Award - Social Responsibility Achievement Award 2024 ESG 金茉莉獎–社會責任成就獎	Futures Daily 期貨日報
September 2024 2024 年 9	the Company 公司	Holly Futures-Sinostar Cable Co., Ltd. (Copper),Excellent Project of the Activity of “Options Entering Enterprises” of “Strengthening Resources to Assist Enterprises” in the Previous Period of Shanghai Futures Exchange in 2023 弘業期貨 - 中辰電纜股份有限公司 ( 銅 ) 2023 年上期『強源助企』期權走進企業活動優秀項目	Shanghai Futures Exchange 上海期貨交易所
September 2024 2024 年 9 月	the Company 公司	Excellent Project of the Activity of “Options Entering Enterprises” of “Strengthening Resources to Assist Enterprises” in the Previous Period of Shanghai Futures Exchange in 2023 2023 年上期『強源助企』期權走進企業活動 - 優秀期貨公司	Shanghai Futures Exchange 上海期貨交易所
September 2024 2024 年 9 月	the Company 公司	Holly Futures- Zhongtian Technology Industrial Wire & Cable System Co., Ltd. (Copper),Excellent Project of the Activity of “Options Entering Enterprises” of “Strengthening Resources to Assist Enterprises” in the Previous Period of Shanghai Futures Exchange in 2023 弘業期貨 - 中天科技裝備電纜有限公司 ( 銅 ) 2023 年上期『強源助企』期權走進企業活動優秀項目	Shanghai Futures Exchange 上海期貨交易所
October 2024 2024 年 10 月	the Company 公司	“Advanced Unit” of Green Finance in Jiangsu Province in 2023 2023 年江蘇省綠色金融『先進單位』	Green Finance Professional Committee of Jiangsu Financial Association 江蘇省金融業聯合會 綠色金融專業委員會
November 2024 2024 年 11 月	the Company 公司	2024 Jun Ding Award for Outstanding Futures Company in Rural Revitalization in China 2024 中國優秀鄉村振興期貨公司君鼎獎	Securities Times - 2024 China Financial Institutions Annual Summit 證券時報–2024 中國金融機構年度峰會
November 2024 2024 年 11 月	Holly Capital 弘業資本	2024 Jun Ding Award for Outstanding Futures Risk Management Subsidiary in China 2024 中國優秀期貨風險管理子公司君鼎獎	Securities Times - 2024 China Financial Institutions Annual Summit 證券時報–2024 中國金融機構年度峰會
November 2024 2024 年 11 月	the Company 公司	Best Futures Company in China 中國最佳期貨公司	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Commodity Futures Industry Service Award in China 中國最佳商品期貨產業服務獎	Futures Daily, Securities Times 期貨日報社聯合證券時報

Time 時間	Winners 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
November 2024 2024 年 11 月	Chu Kairong 儲開榮	Annual Best Leader of Futures Company in China 中國期貨公司年度最佳掌舵人	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Financial Futures Service Award 最佳金融期貨服務獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Financial Futures Service Award 最佳金融期貨服務獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Rural Revitalization Service and Social Responsibility Public Welfare Award 最佳鄉村振興服務及社會責任公益獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Reputation Management and Enterprise Brand Building Award 最佳風興管理及企業品牌建設獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Capital Operation Development Award 最佳資本運營發展獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Rising Star Award in the Process of Internationalization 國際化進程新銳獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Best Derivatives Comprehensive Service Innovation Award 最佳衍生品綜合服務創新獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Contribution Award for the Best Futures Talent Training Institution 最佳期貨人才培養機構貢獻獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	the Company 公司	Award for the Best Futures Business Institution in Digital Transformation 最佳數位化轉型期貨經營機構獎項	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Holly Futures WeChat Official Account 『弘業期貨』微信公眾號	Most Popular Self-media of Futures Business Institution of the Year 年度最受歡迎的期貨經營機構自媒體	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Holly Futures APP 『弘業期貨』APP	Outstanding Performance Award of the Best Futures Company APP of the Year 年度最佳期貨公司 APP 突出表現獎	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Research Institute of Finance 金融研究院	Golden Medal Futures Research Institute in China 中國金牌期貨研究所	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Research Institute of Finance Team 金融研究院研究團隊	Best Macro Financial Futures Research Team 最佳宏觀金融期貨研究團隊	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Research Institute of Finance Team 金融研究院研究團隊	Best Metal Industry Futures Research Team 最佳金屬產業期貨研究團隊	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Research Institute of Finance Team 金融研究院研究團隊	Best Energy and Chemical Industry Futures Research Team 最佳能源化工產業期貨研究團隊	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Holly Capital 弘業資本	Best Service Innovation Award of Risk Management Subsidiary 最佳風險管理子公司服務創新獎	Futures Daily, Securities Times 期貨日報社聯合證券時報



Time 時間	Winners 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
November 2024 2024 年 11 月	Wang Xiaobei 王曉蓓	Best Chief Futures Analyst 最佳首席期貨分析師	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Zhang Yongge 張永鵬	Best Chief Futures Analyst 最佳首席期貨分析師	Futures Daily, Securities Times 期貨日報社聯合證券時報
November 2024 2024 年 11 月	Zhang Tianao 張天鵬	Best Industrial Products Futures Analyst 最佳工業品期貨分析師	Futures Daily, Securities Times 期貨日報社聯合證券時報
December 2024 2024 年 12 月	the Company 公司	Outstanding Industry Service Award 優秀產業服務獎	Award Ceremony of the 18th National Futures (Options) Real - time Trading Competition 第十八屆全國期貨（期權）實盤交易 大賽頒獎大會
December 2024 2024 年 12 月	Holly Capital 弘業資本	2024 Jun Ding Award for Outstanding Futures Risk Management Subsidiary in China 2024 中國優秀期貨風險管理子公司君鼎獎	Securities Times, Securities China 證券時報、券商中國
December 2024 2024 年 12 月	the Company 公司	2024 Jun Ding Award for Outstanding Futures Company in Rural Revitalization in China 2024 中國優秀鄉村振興期貨公司君鼎獎	Securities Times, Securities China 證券時報、券商中國
December 2024 2024 年 12 月	the Company 公司	Excellent Practice Example of High-quality Development of Listed Companies in 2024, Excellent Example of ESG Practice 2024 上市公司高品質發展優秀實踐範例 ESG 實 踐優秀範例	Chinese Securities Journal 大眾證券報

## (V) Feedback

### （五）讀者回饋表

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

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

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

Email address: zqd@ftol.com.cn

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

電郵地址：zqd@ftol.com.cn

Name 姓名		Employer 工作單位	
Telephone 聯繫電話		Email	

Comment/ 意見回饋

1. Your overall rating of the Report?

您對公司 ESG 報告的總體評價是

☐ Very good 好    ☐ Good 較好    ☐ Fair 一般

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

您認為本報告是否能反映公司 ESG 議題的重大影響

☐ Can 能    ☐ Fair 一般    ☐ Don't Know 不了解

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

您認為本報告所披露信息、資料、指標的清晰、準確、完整度如何

☐ Very high 高    ☐ High 較高    ☐ Fair 一般    ☐ Low 較低    ☐ Very low 低

4. Which aspect of the Report are you most satisfied with?

您最滿意本報告哪一方面？

5. What are your areas of concern?

您關注哪些方面的議題？

6. What further information would you like to know?

您希望進一步了解哪些信息？

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

您對弘業期貨 ESG 工作和本報告還有哪些建議？