



國泰君安國際
GUOTAI JUNAN INTERNATIONAL

Stock Code 股份代號 : 1788.HK

Environmental, Social and Governance Report

2020 環境、社會及管治報告

EX
PAND
拓展ING
突破 our
HORIZONS

我們追求長期可持續發展，
承擔更廣泛的社會責任，
保持高水平企業管治。

**We pursue long-term sustainable
development, take broader social
responsibility and maintain high
standard of corporate
governance.**

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Our Business

Guotai Junan International Holdings Limited (Stock Code: 1788.HK) (the "Company", together with its subsidiaries, the "Group") is the market leader and first mover for internationalisation of Chinese securities company. The Group was established in Hong Kong in 1995. In 2010, it became the first Chinese securities company approved by the China Securities Regulatory Commission to list its shares on the Main Board of the Stock Exchange of Hong Kong Limited (the "Stock Exchange") through an initial public offering ("IPO"). The Company is based in Hong Kong and promotes the development of Southeast Asia through Singapore and Vietnam, becoming a bridge connecting quality Chinese and global enterprises with the capital market.

An integrated financial service provider with diversified businesses

In recent years, as the Company's diversified development strategy has been fully implemented, it has successfully transformed from a "brokerage oriented" securities company to a large "integrated financial service provider" with diversified businesses. The Company's core business now includes seven categories of brokerage, corporate finance, asset management, loans and financing, financial products, market making and investments, which covers three dimensions including individual finance (wealth management), institutional finance (institutional investor services and corporate finance service) and investment management.

Risk management being the edge

The Company firmly believes that risk management is the primary core competitive edge of securities companies. Through a comprehensive and effective risk management as well as its internal control system, the Company has penetrated its risk management culture and rules into various business lines, thereby striving for ideal risk-adjusted investment returns to shareholders and investors. As of the end of 2020, the Company has been rated "Baa2/Prime-2" and "BBB+/A-2" by Moody's and Standard & Poor's respectively with "stable" outlook, holding a leading position among the Chinese peers in Hong Kong.

Strong controlling shareholder

The Company's controlling shareholder, Guotai Junan Securities Co., Ltd. (Stock Code: 601211.SS; 2611.HK), is a long-term, consistent and across-the-board leader in the PRC securities industry, providing integrated financial services. Since its establishment, the Company's controlling shareholder has always maintained strong comprehensive competitiveness, ranking top in the industry in terms of capital scale, profitability, business strength and risk management capability. Backed by strong support, the Company will be able to further explore the Hong Kong and the Asia-pacific market.

A snapshot of the Company for the year 2020



Board Statement

The year 2020 was more challenging than any of us could have anticipated. The COVID-19 pandemic (the "Pandemic") has brought devastating impacts on societies, especially vulnerable communities, all around the world. Our day-to-day lives have been greatly affected and our ways of living are also changing. The board of directors of the Company (the "Board") believes that, under this period of uncertainty, one thing we are certain of is the transition to a zero carbon economy.

Compared to the Pandemic, the adverse impacts of climate change caused to people's lives, environment and society may be much larger and longer and the consequences may be more evident. Climate risk may affect the Company's core operations, which in turn affecting our financial stability. For this reason, it is crucial for the Company to consider climate risk in its operations and investment decisions in order to manage risks and capture opportunities brought along by climate change.

The Board understands that governance is the foundation to our sustainability approach. Therefore, during the year, the Board has established an Environmental, Social and Governance ("ESG") Committee to guide the Company in going forward as becoming more sustainable. Our ESG policy is currently being updated by including more topics and providing more guidelines related to sustainability.

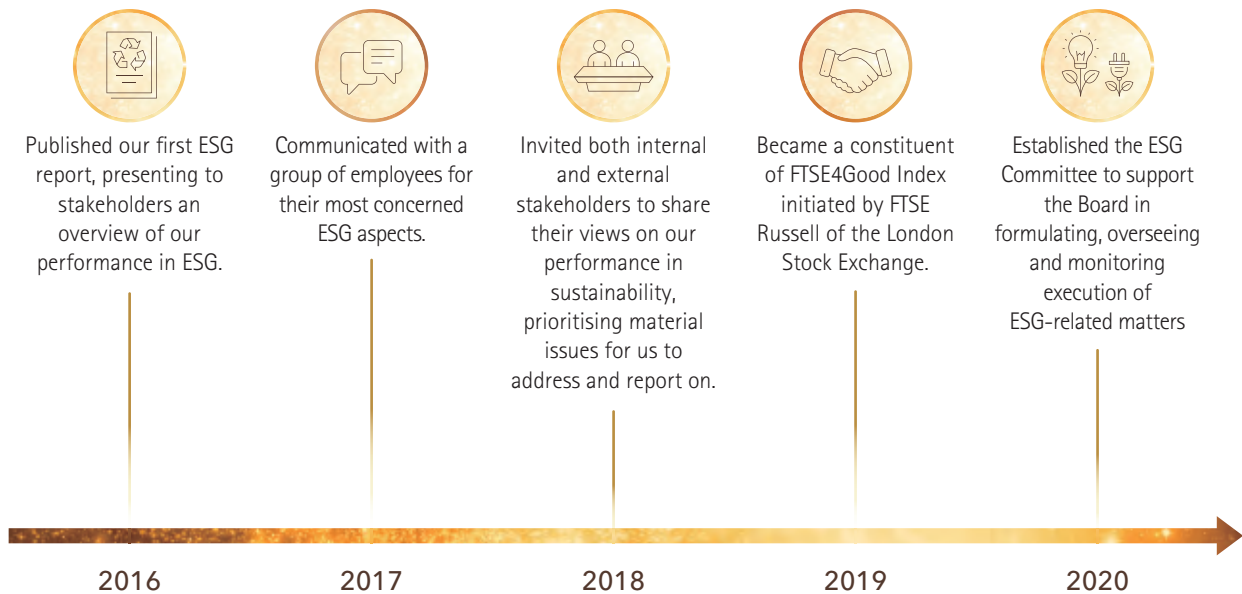
Our achievements would not have been made possible without the contribution, support and recognition of our employees, customers, business partners and communities. In the coming year, we will continue to work together with all walks of life to address important issues impacting us, explore different ways to optimise our sustainability approach and become more resilient. Moreover, we will continue to strive for improvement across sustainability practices and further embed sustainability within our core business strategies.

Signs of recovery from the Pandemic are emerging. People are adapting to the new way of living. In the midst of this global health crisis, sustainability is more important than ever. Through the transition to a zero carbon economy, we can be benefited in the long run. The Board is confident about the better prospects that we will have in the coming year.

Our Sustainability Journey

Mainland China and Hong Kong have pledged to reach carbon neutrality by 2060 and 2050 respectively. As part of the capital market, we believe that we can support the transition to a zero carbon economy by contributing to sustainable development. We understand we have the resources to mobilise global movement to a more sustainable future.

Key highlights of our sustainability journey:



Looking forward, the Company will develop a long-term sustainability strategy with environmental targets to guide our ESG direction and improve our ESG performance.

Our Approach to Sustainability

We are convinced that the capital market can be a force for sustainable development. As a financial institution, we are committed to enhancing our sustainability governance and board accountability through the integration of ESG issues into corporate governance and risk management. To further strengthen our ESG approach, we analyse results from stakeholder questionnaire and identify material issues that are important to our stakeholders and business.

Key highlights

Sustainability Governance	Sustainability Risk Management	Stakeholder Engagement
<ul style="list-style-type: none"> Established the ESG Committee Updating the ESG policy Formulating a sustainability strategy 	<ul style="list-style-type: none"> Incorporated ESG risks into enterprise risk management ("ERM") inventory 	<ul style="list-style-type: none"> Engaged 200+ stakeholders for feedback through online survey Conducted a focus group and three management interviews

Sustainability Governance

Sound governance structure lays the foundation in setting the sustainability direction and strategies for our business operations. The Board is ultimately responsible for the oversight of the Company's sustainability strategy and performance.



During the year, the Board has established the ESG Committee for overseeing and managing ESG matters specifically. Chaired by an independent non-executive director of the Company, the ESG Committee members comprised of an executive director, senior management and heads of relevant functions of the Company. Under the delegation of the Board, the ESG Committee formulates sustainability strategy and management approach, sets short-term and long-term goals, approves ESG development plans and budget, etc. The ESG Committee reports to the Board and evaluates the Company's sustainability strategy, targets and performance regularly.

Under the ESG Committee, an ESG Working Group is established, which is comprised of representatives from various functional departments. The role of the ESG Working Group is to formulate and implement specific work plans based on the goals and strategies set by the ESG Committee.



Our Approach to Sustainability

Formulating the Sustainability Strategy

During the year, we have been developing our sustainability strategy, in order to provide a framework for deploying resources and creating positive impacts. The sustainability strategy will guide our long-term action planning and performance tracking. Through the formulation of this sustainability strategy, we have the opportunity to review our ESG progress and drive our ESG performance. Each relevant business will target to roll out its own sustainability strategy and procedure tailored to its business in the coming year.

Starting from next year, in order to enhance our sustainability governance and board accountability, we will demonstrate in the ESG report the Board's overall responsibility in overseeing ESG topics, management approach and strategy, and its involvement in the process of ESG goal and target setting.

Sustainability Risk Management

We have risk management and internal control systems in place to monitor Company's risks. To reduce the Company's exposure to the identified risks, the Board is responsible for maintaining sound and effective risk management and internal control systems. The Board also evaluates and determines the risk appetite and risk tolerance that the Company is willing to take in achieving its strategic objectives. Under the Board, the Risk Committee has approved the risk framework, which sets out the risk culture and governance, defining the risk appetite and limits, key risk types and overall risk management process. The risk framework serves as an outline of the Company's overall risk management system and process, which facilitates the Board to identify and assess the nature and extent of significant risks, the Company's ability to respond to changes in its business and the external environment, as well as the scope and quality of management's ongoing risk monitoring and related internal control measures.

ESG Impact on Operational Risk

During the year, the Company integrated ESG risks into its existing ERM inventory, enabling the Company to incorporate ESG risks management into its core operations. We also had an ESG risk assessment through the identification of sustainability megatrends and key ESG risks to the financial service industry. Megatrend analysis provides an overarching view of the long-term status of affairs. It allows us to create a proactive long-term strategy and to anticipate risks and opportunities that could have direct or indirect influence on our operations.

ESG Impact on Market and Credit Risks

With the Chinese government's commitment to strive for carbon peak by 2030 and carbon neutrality by 2060, the expectation on the transformation of the real economy will have a mid-to long-term impact on the asset value of issuers from energy-intensive and carbon-emission industries, facing market revaluation risk to some extent. Financial service industry will also face medium and long-term market risk and credit risk arising from borrowers and issuers that suffer losses related to a range of environmental concerns, including operational disruption, loss of market access, liabilities, and asset impairment.

During the year, the Company has identify certain potential market and credit risks arising from environmental risk, as well as taken comprehensive measures to manage these risks (details in the table below). As at 31 December 2020, the Company has limited number of counterparties/issuers in industries which are potentially exposed to significant ESG risks, such as oil and gas, mining, refinery, etc. However, continuous efforts and measures will be expected to ensure solid risk management level of the Company.

Our Approach to Sustainability

During the year, the Company identified and managed the below sustainability risks that are important to its operations and business.

Megatrend	Risk	What is the Risk and Impact?	How Do We Manage It?
Responsible Operation	Money laundering	Financial transactions that are exposed to the risk of money laundering can damage reputation and confront the functioning of the economy.	According to the existing internal anti-money laundering rules, policies and procedures, all new employees must complete anti-money laundering training within 30 days of joining the Company, and all employees must complete anti-money laundering refresher training annually.
	Cybersecurity	Failure of information technology ("IT") system due to malicious attack may result in data leakage or business disruption.	Different systems have been applied to protect and monitor many aspects. We also engage external professionals to conduct network inspections and security tests annually to identify loopholes for improvement.
	Supply chain management	Inadequacy of supplier's maintenance of IT system may result in data leakage and financial loss to our customers.	We require outsourcing vendors who provide trading platform to do security tests or submit related test reports for our records regularly.
Climate Change	Natural disaster events	Natural disasters, such as typhoon, may damage our properties and back-up systems, which may result in business interruption.	We have established a disaster recovery center, which initiates disaster recovery emergency response measures within one to two hours and maintains business operations to a limited extent.
	Market risk	Holdings exposed to ESG risks related to climate change/policy change/technological advancement may result in change in prices, thus leading to financial loss.	The Company requires its business lines to evaluate ESG risks as part of the assessment criteria when launching new products.
	Credit risk	Potential credit loss may result from the deterioration in borrowers and issuers' credit status, who incurred losses from environmental change, including operational disruption, loss of market access, liabilities, and asset impairment.	Factor credit risk in its fundamental analysis of such counterparty/issuer by assessing the potential ESG impacts on the Company's operation, market position and financial metrics. The Company reviews external rating agencies' ESG assessment of the rated issuers.

Our Approach to Sustainability

Compliance Management

Effective compliance management reduces regulatory risks of the Group. We are aware that violation of laws and regulations will significantly impact the operations, performance, financial position and reputation of the Group. Therefore, in order to ensure we uphold the highest standards of business integrity, policies and monitoring measures are implemented to ensure compliance with relevant laws and regulations. We also stay abreast of the latest regulatory development and provide relevant trainings for relevant staff.

Aspects	Relevant Laws and Regulations with Significant Impacts	Our Responses
Anti-corruption	Prevention of Bribery Ordinance	Compliance manual sets out the internal control measures and procedures applicable to the Group, covering the requirement of relevant laws. In addition, anti-corruption training is arranged to new joiners.
Employment and Labour Practices	Employment Ordinance and Employees' Compensation Ordinance	We have human resources policy and procedure and staff handbooks as guideline to ensure the compliance with relevant ordinances.
Health and Safety	Occupational Safety and Health Ordinance	We provide safe working environment such as installing air purifiers. The Group also maintains close relationship with building management to ensure the safety of the working environment.
Product Responsibility	Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the "SFC"), FAQ and circular issued by the SFC from time to time, Securities and Futures Ordinance and its subsidiary legislation	In accordance with our suitability policy, we conduct suitability and risk profile assessment to better match customers' expectations based on their risk attitude.

Throughout the year of 2020, as far as the Board and management are aware, there was no material breach of, or non-compliance with, the applicable laws and regulations by the Group that has a significant impact on its businesses and operations.

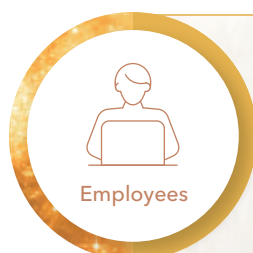
Stakeholder Engagement

Stakeholders' opinions are key to the continuous improvement of our sustainability performance. We maintain an on-going dialogue with stakeholders through regularly scheduled meetings, workshops and communicative activities and encourage their participation. These engagements ensure and promote the implementation of sustainability measures and practices remain effective across our operations.

Key Stakeholders

Why Engage

Forms of Engagement



Recognising employees' concerns allows us to promote a respectful culture and provide a healthy working environment.

- Orientation and training sessions
- Volunteering activities
- Performance appraisal
- Office automation system and email



Meeting the demands and expectations of customers are key to our operations.

- Customer service hotline
- Email and mobile application
- Social media and company website



Working closely with business partners allows us to monitor their quality and performance, ensuring high quality products and services are delivered.

- Meetings
- Tendering and procurement processes



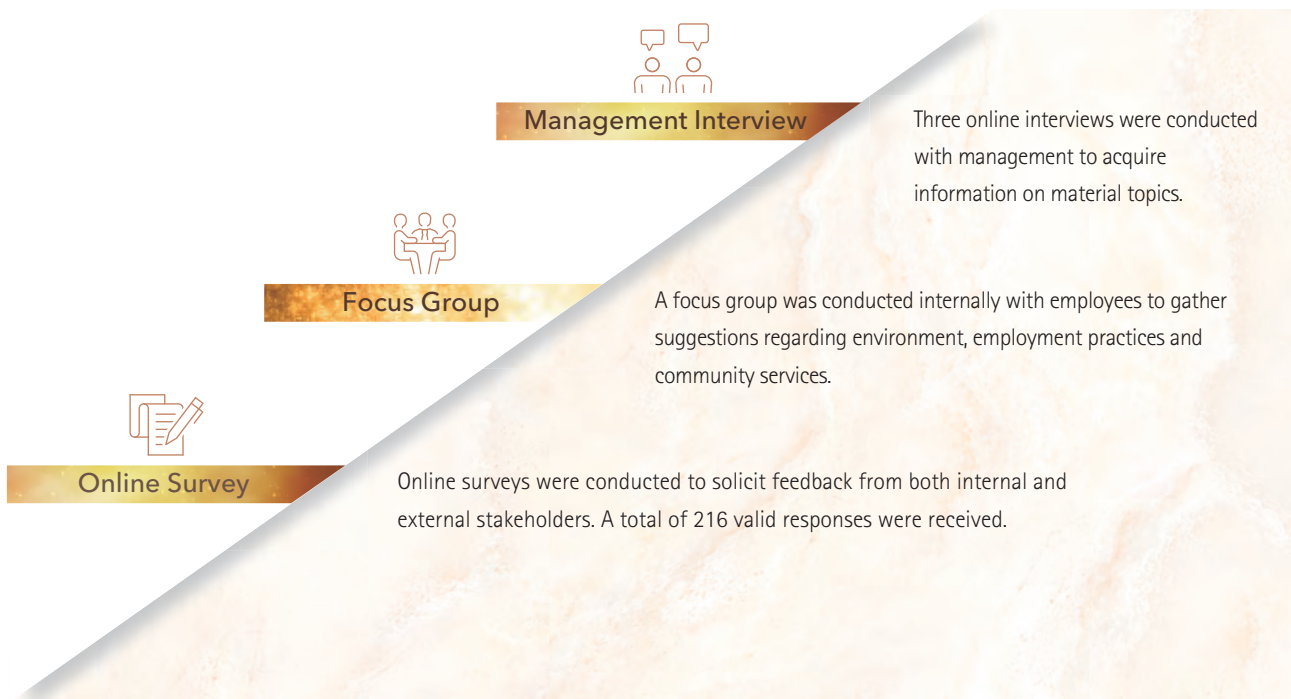
Understanding the needs of communities enables us to create lasting benefits for the society.

- Community events
- Volunteering activities
- Donations and sponsorships

Our Approach to Sustainability

We have been inviting stakeholders to participate in annual online survey of the Company to obtain their feedbacks on the Group's key ESG aspects. During the year, in order to expand the scope of stakeholder engagement, focus group and management interviews were conducted to further solicit feedback from our internal stakeholders. These two stakeholder engagement methods are effective due to the increase in interactions which lead to more insightful results.

The steps listed below were undertaken in identifying relevant material topics:



Response to Stakeholders

Aspects	Stakeholders' Key Feedback	Our Responses
Governance	<ul style="list-style-type: none"> Leadership from the Board and senior management regarding ESG matters 	The ESG Committee, comprised of Board members, senior management and heads of relevant functional departments, has been established during the year to support the Board in ESG-related matters.
	<ul style="list-style-type: none"> Prioritise ESG risks and incorporate into business strategy 	During the year, we have integrated ESG risks into internal risk management system to better address ESG risks in our daily operations.
Sustainable Finance	<ul style="list-style-type: none"> Development of sustainable finance to leverage our expertise in having customers to follow best ESG practices 	Looking ahead, we will continue to explore different options and establish ESG investment framework in order to incorporate sustainable finance in our daily operations.
Environment	<ul style="list-style-type: none"> Promote a paperless environment 	During the year, we have launched a paper reduction programme, where we switched to thinner paper. For more information, please refer to the section headed "Environmental Responsibilities".
	<ul style="list-style-type: none"> Encourage effective recycling and better waste management 	We collect used printing papers for recycling and encourage employees to utilise the unused side of paper for drafting or internal purposes.
Employment Practices	<ul style="list-style-type: none"> Arrange more employee activities to enhance employees' sense of belonging 	We will hold more activities for employees once the Pandemic is under control.
Community Services	<ul style="list-style-type: none"> Adopt a systematic approach to community investment by recognising the demand of local communities 	The community mapping activity was postponed due to the Pandemic. In the near future, we will continue with the activity to understand the needs of local communities.
	<ul style="list-style-type: none"> Organise more charity and volunteering activities 	Looking forward, we will host more volunteering activities to help the communities in need once the Pandemic is under control.

Our Approach to Sustainability

Materiality Assessment

To identify and prioritise the sustainability issues and to gain insights from a wide range of stakeholders, the Company has invited stakeholders to participate in an online survey and engaged a third party to conduct a four-phase materiality assessment.



The materiality matrix and the table of relevant sustainability issues are presented as the following, illustrating the material topics based on their importance to our stakeholders and the potential impact we have on the economy, environment and society. During the year, material issues identified are similar to those of the previous year, with "training and development" emerging as a new material issue.



Sustainability Issues in Descending Order of Importance		Material Issues
17	Anti-corruption	•
15	Protecting customer privacy	•
6	Employment management	•
8	Occupational health and safety	•
16	Protecting intellectual property rights	•
9	Training and development	•
7	Diversity, equal opportunity and anti-discrimination	•
10	Labour standards	•
13	Fair and responsible marketing	•
14	After sales management	•
12	Product responsibility	
18	Caring the society	
3	Resource use efficiency	
11	Supply chain management	
2	Waste management	
5	Respond to climate change	
4	The environment and natural resource management	
1	Greenhouse gas and air pollutant management	

While we focus our reporting efforts on the material issues, we will continue to manage all issues affecting the Company and our stakeholders and integrate ESG considerations in various dimensions of our operations.

Business Conducts and Ethics

Sustainable Finance

We deeply believe that by leveraging our expertise in the capital market, we will be able to create long-term value for our customers and stakeholders. Furthermore, there are also opportunities for our clients to apply sustainable finance to make a global impact. To assist clients with this goal, the Company's ESG policy sets out the recommendations of ESG criteria and screening for investment and financing projects, for example, companies from certain sectors, such as weapons and pornography, are avoided. On the other hand, we prioritise green investment and financing, such as investment in renewable energy, organic farming and recycling, in which we are able to harness markets, deepen capabilities and drive innovation to support the transition to an inclusive, low-carbon economy.

In 2020, the Company has been conducting its sustainable finance through its financing and investment related business. The total related funds raised from financing business such as debt/equity capital markets and structured products amounted to HK\$23.8 billion, in which green bond fundraising amount has been increased 38% year-on-year to HK\$18.88 billion. Meanwhile, the funds deployed in the investment related business such as asset management and market making amounted to HK\$1.64 billion. The highlight projects for the year include:

Debt Capital Market

In support of environmental protection projects, we acted as a joint global coordinator in issuing a two-year USD\$200 million green bond for a green property developer in Mainland China. The issuance of green bond aims to continuously respond to the state's policies in promoting green buildings and green finance.

IPO Sponsor

We acted as the sole sponsor, sole global coordinator, joint bookrunner and joint lead manager in an IPO deal for a finance leasing company raising HKD\$507 million. The fund raised had been utilised to offer its finance leasing solutions and services in eco-solutions, life sciences and healthcare and intelligent manufacturing industries, including energy conservation and renewable engines, pharmaceutical services and new materials and new energy automobiles.

Equity Capital Market

We acted as a joint bookrunner and joint lead manager for an IPO of HKD\$621 million. The company is an integrated waste management solution provider in Mainland China, focusing on providing environmental hygiene services and hazardous waste treatment services. We also brought in a cornerstone investor to this project.

Private Equity

We participated in an electric vehicle replaceable battery project with an aggregate amount of RMB200 million. This project is a battery rental service, the Battery as a Service (BaaS) business, which promotes the development of the separation of vehicle and battery business model.

Private Equity

We participated in and completed the private equity investment in the world's largest second-hand mobile phone recycling and online trading platform, with a total amount of US\$25 million. The platform integrates the entire industrial chain from customers to retailers to enterprises, extends the service life of second-hand electronic products, and contributes to the long-term and healthy development of circular economy.

Private Equity

We participated in autonomous driving and driving assistance solution project, making truck driving more fuel-efficient and developing a large-scale commercial transportation truck fleet with an aggregate amount of USD\$20 million.

Asset Management

We acted as an investment manager of the funds with investment in solar and hydrogen-related industries amounted to approximately USD\$95.4 million.

In the future, we will develop an ESG investment framework which will set a more detailed guideline when making investment decisions.

We place great emphasis on conducting an ethical business. To earn the trust of our customers and stakeholders, it is essential that we maintain high operating standards, so as to provide high quality products and services.

Anti-corruption

We forbid any forms of bribery, corruption, fraud and money laundering activities in our operations and have implemented relevant policies, procedures and internal controls accordingly to comply with local laws and regulations in the jurisdictions where we operate. Policies and manuals, including but not limited to, anti-money laundering ("AML") manual, are in place to strengthen our process on AML and anti-corruption identification. Besides, our AML working group, under the authorisation of the Risk Management Committee, was established to oversee the development and implementation of a robust anti-money laundering and counter-financing of terrorism risk management framework and measures. The Company also maintains a gift policy in line with anti-corruption and bribery principles. Policies and manuals are being updated constantly to reflect the latest standard relating to corruption issues.

Internal complaint handling mechanism as well as the incident report procedures are in place for staff to report on suspected misconduct or malpractice within the Group. Reporter's identity will be kept confidential to avoid unfair dismissal or unwarranted disciplinary action.

To strengthen our efforts in combating corruption, we are currently formulating an anti-corruption policy. In the coming year, we will circulate within the Company to guide our employees to handle corruption and bribery issues.

During the year, anti-corruption training was provided to management, including executive directors of the Company. A total of six classroom trainings were also delivered by Independent Commission Against Corruption to new joiners.

There were no legal cases regarding corrupt practices brought against the Group or its employees during the year.

Cybersecurity and Customer Data

The risks of cyber-attacks, information security are rising due to the global trend of financial technology ("FinTech") development. As a financial institution, we store a huge amount of customer data. We understand that it is crucial for us to protect customer data and failing to do so will not only damage our reputation but also have significantly impacts on our customers.

Strengthening Cybersecurity System

Alongside with system development management, internal policies are in place to ensure compliance with related rules and regulations of the SFC and the Stock Exchange. It is our responsibility to safeguard customer data. Therefore, the Company is constantly improving and upgrading IT system as well as online trading platform to ensure our network is secure enough to withstand cyber-attacks.

Our IT system and online trading platform are on multiple layers of control on cybersecurity. A designated committee is responsible for overseeing effectiveness of IT system and online trading platform. We deploy industrial standard cybersecurity measures, such as network segmentation and segregation to protect against the loss or misuse of information.

Business Conducts and Ethics

We also have designated IT professionals to maintain and monitor the security of IT system and online trading platform. On a regular basis, they conduct network scanning, system penetration test and comprehensive security assessment to strengthen cybersecurity. We also meet regularly to ensure the protection from cyber-attacks of online trading platform.

In cases of cyber-attacks or threats, contingency and recovery plans are ready. This will enable us to safeguard our customers' interests and information, fulfilling our contractual duties to manage such risks. Each year, we conduct drill on system failure caused by cyber-attacks so as to familiarise the management with such case handlings.

Raising the awareness of employees and customers on cybersecurity is crucial. Hence, security tips are sent to remind them regularly while cybersecurity training is provided to all employees annually.

Safeguarding Customer Privacy

We pay greatest attention to safeguard customer data and only necessary information from customers are collected strictly in accordance with internal guidelines and procedures. A designated committee is responsible for the oversight of customer data protection. The Company has utilised a series of control to protect customer data in different areas, such as security framework, network protection, end point protection, data control policy, data encryption as well as off-line and off-site data backup.

In order to prevent data leakage, all laptops and external drives are encrypted and well-controlled. Data storage devices, including storage area networks, servers and computer hard disks, should be degaussed to ensure all data have been completely deleted prior to disposal. Disposal of data storage devices requires management's approval and the disposal date together with the relevant information should be recorded.

Delivering High Quality Services

We are committed to deliver high quality services to customers. Customer satisfaction is one of the key factors in determining success of the Group. By offering high quality services, we will be able to attract and retain customers.

Customer Feedback

Upon the receipt of a complaint, the compliance department will investigate through the collection of information, documents and evidence in connection with the complaint to identify any potential breaches of policies, rules and regulations and laws, and it will determine the most appropriate action to be taken based on the investigation results. Depending on the nature and seriousness of the complaint, the compliance department may consider resolving the matters in concern with the complainant, escalate the case to senior management or refer to regulatory bodies within reasonable timeframe.

During the year, there were 29 complaints regarding pricing, trade execution, system or account activities and information provided to our clients. Relevant departments were asked to explain the issues concerned to clients, and for some of the cases, compensation was provided to clients. All complaints were duly resolved with satisfactory results.

Protecting Intellectual Property Rights

The Group recognises the importance of intellectual property rights ("IPR") and makes effort to protect IPR and the confidentiality of proprietary information provided to or owned by us during business activities. The Group has also formulated relevant measures for its own IPR protection. We would consider to take legal actions for infringement of IPR cases after assessing the materiality and impact, competition and reputation issues.

Product Quality

In order to propose the most suitable investment products to customers, we have policy which sets out the conduct of suitability and risk profile assessment, allowing us to match the customers' expectations based on their risk attitude.

Promoting Responsible Advertising and Marketing

We prohibit any forms of dishonesty and deceptive statements. We should ensure the accuracy and compliance with relevant codes and guidelines issued by the SFC in making advertisements, marketing materials and public announcements. All marketing materials must be based on the facts and should present an unbiased view to avoid misleading customers when purchasing our products and services. In the coming year, we plan to publish guidelines regarding the accuracy of marketing materials.

Supply Chain Management

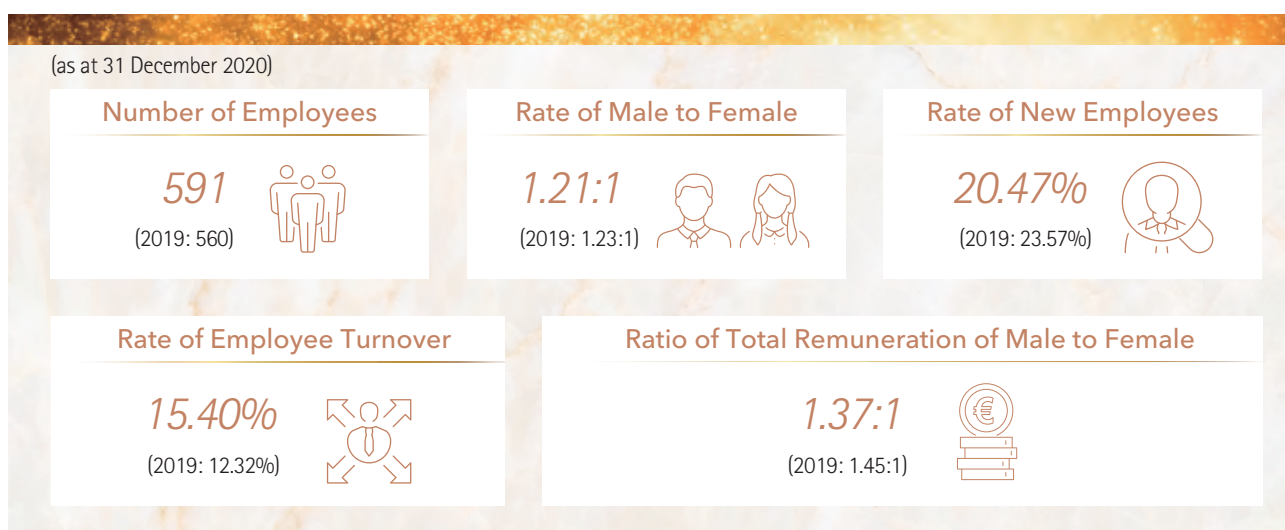
We are committed to managing risks along our supply chain. Hence, we further advance our strategy in building a more sustainable supply chain by implementing the supplier sustainable policy, where ESG principles are set out for all our suppliers when doing business with the Company. Key suppliers with an aggregate contract value exceeding a certain amount per annum should acknowledge this policy, confirming that all ESG principles set out in the policy will be followed. The ESG risk assessment on the suppliers should be carried out on an ongoing basis during the contract term. In case of any material negative news or behaviour of an engaged supplier, the relevant department should conduct an immediate assessment and determine the necessary follow-up actions.

In addition, relevant policies outline the assessment criteria and due diligence process for engaging suppliers to ensure their quality of service. External audit or expert assessment reports on the suppliers are also reviewed when necessary. All material outsourced arrangements are reviewed and monitored at least once a year so as to reduce and manage risks along our supply chain. Constant communication and assessment are performed to maintain high quality products and services.



Number of Suppliers by Location	For the year ended 31 December 2020
Hong Kong	158
Other Regions	13

Inclusive Workplace

The Company's success relies on the expertise, experience and performance of our people. We value each and every one of them. Through investing in our people and providing them with training and development opportunities, we empower them to reach their full potential.



Total Workforce (as at 31 December 2020)				
Gender				
Male		Female		
323 (2019: 309)		268 (2019: 251)		
Position Grade				
Management	Manager		General staff	
145 (2019: 141)	158 (2019: 130)		288 (2019: 289)	
Age Group				
18-25	26-35	36-45	46-55	Above 55
32 (2019: 40)	277 (2019: 263)	167 (2019: 150)	92 (2019: 85)	23 (2019: 22)
Geographical Location				
Hong Kong		Singapore		
573 (2019: 548)		18 (2019:12)		

New Employees Joined (for the year ended 31 December 2020)							
Gender	Age group					Number and rate of new employees by gender	
	18-25	26-35	36-45	46-55	Above 55	2020	2019
 Male	6	36	13	3	1	59 (18.27%)	75 (24.27%)
 Female	12	41	6	2	1	62 (23.13%)	57 (22.71%)
Number and rate of new employees by age group	18 (56.25%)	77 (27.80%)	19 (11.38%)	5 (5.43%)	2 (8.70%)	121 (20.47%)	132 (23.57%)
Number and rate of new employees by geographical location							
Hong Kong					Singapore		
116 (20.24%)					5 (27.78%)		

Employees Turnover (for the year ended 31 December 2020)							
Gender	Age group					Number and rate of employees turnover by gender	
	18-25	26-35	36-45	46-55	Above 55	2020	2019
 Male	2	29	8	6	0	45 (13.93%)	39 (12.62%)
 Female	4	29	9	1	3	46 (17.16%)	30 (11.95%)
Number and rate of employees turnover by age group	6 (18.75%)	58 (20.94%)	17 (10.18%)	7 (7.61%)	3 (13.04%)	91 (15.40%)	69 (12.32%)
Number and rate of employees turnover by geographical location							
Hong Kong					Singapore		
91 (15.88%)					0 (0.00%)		

Inclusive Workplace

Employees by Core Business Functions	2020	2019
Brokerage	61	69
Corporate finance	134	128
Asset management	28	29
Loans and financing	0*	7
Wealth management	49	33
Financial products, market making and investments	48	37
Middle and back office	271	257
Total	591	560

Other Employees		2020
Hong Kong	Self-employed sales consultant	83
	Contractors	2
	Intern	1
Singapore	Trainee	1

* Employees have been re-designated to respective business functions after business restructuring.

Talent Attraction and Retention

The provision of a fair and supportive working environment is the cornerstone of attracting and retaining talents. We have policies in place to provide guidelines relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, anti-discrimination, other benefits and welfare and labour standards.

Promoting Fair and Responsible Employment Practices

Competitive remuneration and benefit package is provided in order to attract and retain talents. To ensure that we follow the best-in-class standards, we regularly review the remuneration and benefit package and benchmark it against our industry peers. Besides entitled annual leave, banking holidays, study leave, marriage leave and other compassionate leaves, we also offer other fringe benefits and welfare.

Child and forced labour are intolerable in our operations. To prevent child and forced labour, potential candidates shall provide identity document for verification before employment and employees shall have reasonable freedom of movement.

To continuously improve employment practices, we conduct exit surveys to closely monitor the turnover rate and gather insights and information from the employees leaving the Company. This will allow us to address employees' concerns and enhance retention measures.

Advocating Diversity and Equal Opportunities

With the belief that a diverse workforce is essential to the operations of our business, we embrace the differences in our people. We believe that diversity stimulates creativity and perspectives. An inclusive working environment will lead to the creation of the Company's competitive advantage.



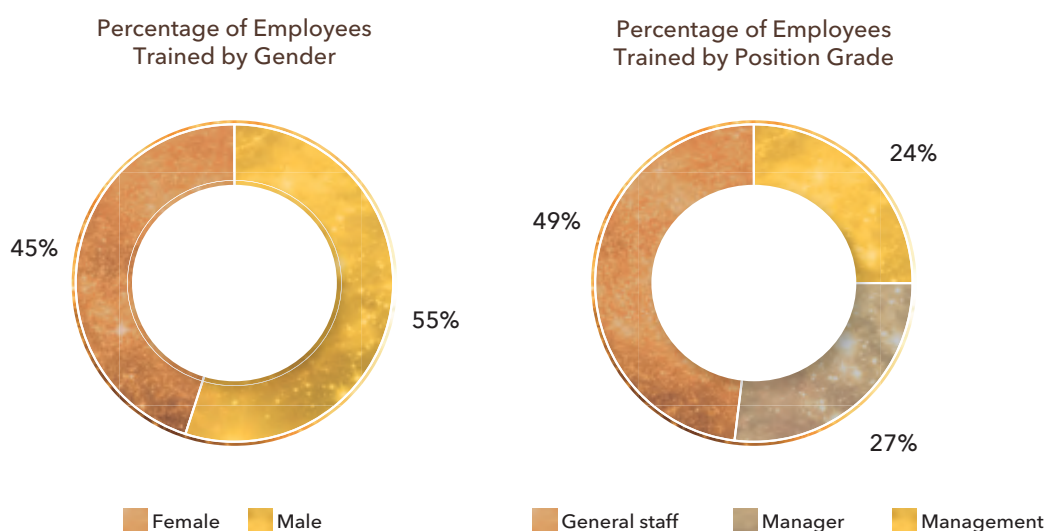
We endeavour to provide a harassment-free working environment to employees. Any types of discrimination is prohibited in the Company. We have diversity policy in place to foster equal opportunities among the workplace that ensures all employees treat others in dignity and respect and employees shall not be discriminated by sex, pregnancy, marital status, disability, family circumstances and race, while we follow the principle of meritocracy when recruiting, hiring, training and promoting employees regardless of their background. A candidate's life experience, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent are what we seek. Employees facing any forms of discrimination, inequality and harassment can lodge complaints following the complaint procedures.

Training and Development

In order to build a professional and ethical workforce, we foster a working environment for the employees with opportunities for learning and career development, allowing them to achieve both their personal and professional goals.

During the year, we provided anti-corruption, anti-money laundering, cybersecurity, risk management, compliance and professional development trainings and all employees had opportunities to receive the relevant trainings.

Employees Trained (for the year ended 31 December 2020)



Training Hours (for the year ended 31 December 2020)		
Gender		
 Male	 Female	
1,142.5 Hours (Average: 3.54 Hours)	943.5 Hours (Average: 3.52 Hours)	
Position Grade		
Management	Manager	General staff
519.5 Hours (Average: 3.58 Hours)	509 Hours (Average: 3.22 Hours)	1,057.5 Hours (Average: 3.67 Hours)

Professional Development Training

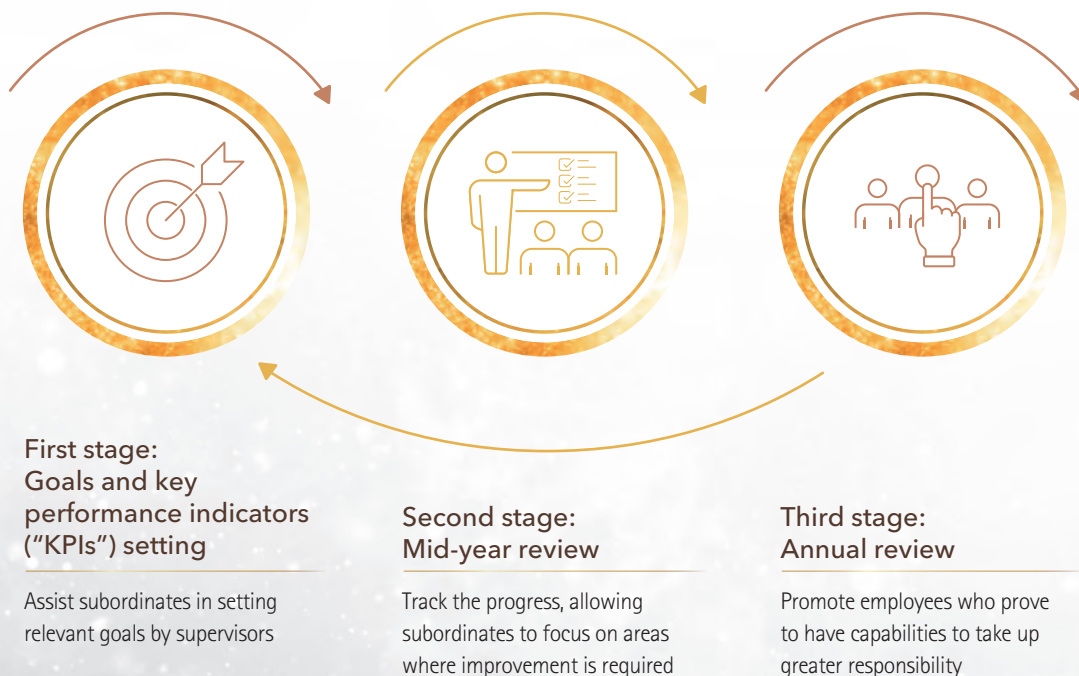
Under the rapid development of FinTech, we understand it is crucial to equip employees with skills and knowledge on FinTech in the delivery of financial services. In the coming year, we will offer different types of financial product training, such as cryptocurrencies, blockchain, robotic process automation, artificial intelligence, data analytics, to our staff in order to strengthen their knowledge and skills for different financial products and to keep with the latest industry trends.

To realise employees' needs for career development, we gather information through performance appraisal. Based on employees' positions and needs, we offer various kinds of training, such as financial knowledge, compliance and leadership management. This will help develop their capabilities and enhance their interpersonal skills. We invite all new employees to attend induction compliance training so as to let them understand and uphold the Group's compliance principles. Refresher programmes are also provided to ensure employees stay abreast of the latest information and news regarding the financial service industry.

In addition, to ensure that employees can take the course anywhere and at the time that suits them best, an online e-learning platform was established. Study leaves are also offered for employees who take job-related examinations. In the future, we will launch more courses on the online e-learning platform.

We conduct performance appraisal to allow employees to recognise their achievements and identify areas of improvement. This will facilitate employees in achieving their personal and career goals, unleashing their full potential. During the year, all employees completed performance appraisal.

Performance appraisal procedures are set out as follows:



Supporting Health and Wellbeing

The health and wellbeing of employees are of utmost importance to our operations. Therefore, it is essential to create a safe and healthy working environment to all employees. Policies are in place to provide employees with guidelines on safety and fire control measures.



Our Measures in Responding to the Pandemic

The outbreak of the Pandemic has brought upon unprecedented challenges since 2020. In order to protect employees' health and control the spread of the Pandemic, we implemented certain measures, including but not limited to, as follows:



Distribute masks to employees and provide hand sanitisers in office areas



Compulsory temperature screening at the entrance of offices



Offer flexible working arrangement, such as work from home and avoid peak hour traffic



Disinfect offices more frequently



Encourage employees to meet by way of video conference and telephone conference



Distribute approximately 7,000 soup coupons to employees aiming to boost their immunity



Remind employees to keep social distancing from time to time



Reimburse swab test expenses for employees on demand

The Group provides fringe benefits, such as medical insurance, annual physical check-up and dental benefits. Nursing rooms are also provided to accommodate breastfeeding mother employees. Additionally, in order to improve the air quality in our workplace, a total of over 100 air purifiers were installed at our offices. Adjustable design work chairs are provided to protect employees' neck and back.



Work is a major part of lives. It is crucial that we provide a supporting environment by addressing mental health at work. Our workshops on promoting calmness held last year were very welcomed by employees. However, due to the Pandemic, these wellbeing activities have to be postponed. Moving forward, we will hold more wellbeing activities and will consider moving these activities online.

There were no reported work-related fatalities in the past three years including 2020.

Community Wellness

By supporting our communities to thrive, we take care of the local communities and foster healthier relationship with them so as to deliver positive and long-term impacts to the local communities in where we operate. We participate in community involvement through corporate philanthropy, community partnerships and volunteering, caring for the interests of the communities. Our

efforts are also reflected through the recognitions, including but not limited to, as the "Caring Company" for the 6th consecutive year and the inclusion into the "FTSE4Good Index" by FTSE Russell of the London Stock Exchange.



Community Development

Supporting the Eradication of the Pandemic

The outbreak of the Pandemic has hit the world hard, especially to the vulnerable communities. We donated in aggregate HKD\$50,000 and 20,000 masks in order to support frontline staff who helped fighting the Pandemic. Besides, we also sourced and donated approximately 1,500 masks to the local families in need through the Harmony House, a non-profit organisation providing shelters for abused adults and children in Hong Kong.

Donations to Children Services

We understand that children are the future to our society. Therefore, we donated HKD\$20,000 to the Community Chest's 2020 Walk for Millions as a continuous contribution in supporting family and child welfare services. Additionally, we donated HKD\$10,000 to the Christian Action to help disadvantaged children, including those from low-income families in Hong Kong as well as orphans and children with disabilities in Qinghai.



Due to the Pandemic, in order to protect the health of employees and communities, we postponed some of our volunteering activities to reduce the spread of the Pandemic.

Environmental Protection

Earth Hour 2020

Our planet is facing immense challenges and tackling climate change entails collective action. Therefore, by participating in the Earth Hour held on 28 March 2020, the largest global environmental movement, held by the WWF Nature Conservancy, we reminded employees to switch off all lights, computers and unnecessary electrical appliances before they left the office. This landmark action aims to signify the support for a zero-carbon lifestyle and raise employees' awareness on environmental issues, urging them to reduce energy consumption in their everyday lives.



Mooncake Donation

Every year, the gift-giving tradition of the mid-autumn festival brings about food waste issues. To avoid wasting food and deliver holiday greetings to families in need, we collected 30 boxes of mooncakes from employees and donated them to abused families through the Harmony House.



In order to make positive and lasting impacts on the society in where we operate, it is crucial to leverage our resources and expertise as well as to understand and respond to the needs of local communities. To achieve this, we wish to conduct a community mapping exercise in the near future, channel more resources to local communities to best suit their needs.

Environmental Responsibilities

We acknowledge that the economy relies on, among other things, the state of the natural environment. By constantly developing and implementing environmental management measures, it enables us to contribute to a low-carbon economy. We formulated the ESG policy and implemented various environmental management practices and measures to manage our emissions and use of resources and the reduction of our impacts on the environment and natural resources. Through the increase in environmental awareness of employees and the promotion of environmental protection along our value chain, we hope to minimise our environmental impacts across our operations.

Resource Use Efficiency and Waste Management

We aspire to use resources in a responsible manner and strive to reduce our environmental footprint by cutting total operation waste and promoting material recycling.

Paper Consumption Management

In order to minimise paper consumption in our operations, we encourage the use of the office automation system to digitalise our operations as well as the retention of documents in electronic format as much as practicable. We also purchase printer paper with Forest Stewardship Council (FSC) label and encourage the use of the unused side of paper for drafting or internal purposes. At the same time, printers are preset to print in black and white and double-sided format as default.



Paper Reduction Programme

Trees sequester carbon from the atmosphere and act as an important carbon sink. Therefore, it is essential for us to protect forests. In order to further reduce our paper consumption, we have launched the paper reduction programme in December 2020 by substituting existing paper (80gsm) with thinner paper (75gsm) across our Hong Kong offices to support the decarbonisation of our operations.



Water Management

The Group mainly sourced water from municipal supplies and has no issue in sourcing water fit for its operations. To promote water-use efficiency, water-saving signages are displayed around the office. In some offices, leakage sensors were installed at the basins to prevent water leakage. Since we do not have individual water meter installed in our offices by building management office, we are not able to disclose our water consumption.



Non-hazardous Waste

Most of the waste generated by our operations is non-hazardous waste, such as domestic waste and paper. In order to reduce the amount of non-hazardous waste, we provide reusable utensils in pantry rooms and encourage staff to bring their own food container for takeout as an effort to reduce the use of disposable plastic products. At the same time, we introduce separation at source and instruct employees to separate recyclable materials from other waste. During the year, the amount of non-hazardous waste generated reduced by 1.9% as compared to last year. The intensities of non-hazardous waste generation in tonnes/1,000 employees and tonnes/1,000 sq. ft. reduced by 6.9% and 45.0% respectively. The decrease was mainly due to the work from home arrangement caused by the Pandemic.



Hazardous Waste

Despite our operations do not generate a huge amount of hazardous waste, we contact charity organisations, recyclers and building management company to collect obsolete devices and malfunction light tubes respectively. Used cartridges are also returned to the supplier for proper handling. During the year, the amount of hazardous waste generated reduced by 3.7% as compared to last year. The intensities of hazardous waste generation in tonnes/1,000 employees and tonnes/1,000 sq. ft. reduced by 5.7% and 0.9% respectively.

Waste	2020	2019	Unit
 Total hazardous waste produced*	1.8	1.8	tonnes
Intensity of hazardous waste produced	3.1	3.3	tonnes/1,000 employees
Intensity of hazardous waste produced	0.028	0.028	tonnes/1,000 sq. ft.
 Total non-hazardous waste produced	17.8	18.2	tonnes
Intensity of non-hazardous waste produced	30.1	32.4	tonnes/1,000 employees
Intensity of non-hazardous waste produced	0.270	0.491	tonnes/1,000 sq. ft.

* Data is from the offices in Hong Kong.

Energy and Carbon Management

Electricity consumption is the primary source of greenhouse gas ("GHG") emissions (or "carbon emissions") from our business operations. To minimise the adverse impacts on our business and the environment, we manage and review our carbon footprint regularly.

We believe that every small action counts. Therefore, we have adopted several measures to reduce energy consumption. For instance, with regards to the office design, we have adopted semi-glazed panel design in offices to utilise natural light as much as possible. Moreover, we also made plans to replace light tubes with LED lights gradually. Apart from lighting, environmentally-friendly electrical appliances with high energy efficiency grade will first be considered during procurement. These appliances have been pre-set to energy-saving modes. At the same time, employees are constantly reminded to turn off unnecessary electric appliances during non-office hours.



During the year, due to low usage of commercial cars during the Pandemic, there was a large decrease of approximately 83.3% in direct energy consumption in relation to petrol usage as compared to last year, while indirect energy consumption (i.e. energy consumed on electricity and cooling) increased by 1.5% during the year. Overall, total energy consumption decreased by 1.6% as compared to last year.

Environmental Responsibilities

Energy Use	2020	2019	Unit
Petrol	12.5	74.8	MWh
Electricity	1,127.5	1,072.8	MWh
Cooling	875.0	899.8	MWh
Total energy consumption	2015.0	2,047.4	MWh
Intensity of energy consumption	3.4	3.6	MWh/employee
Intensity of energy consumption	0.031	0.031	MWh/sq. ft.

In order to monitor our carbon footprint, the Group has engaged an external professional consultancy firm to conduct carbon assessment. The quantification process of GHG emissions follows the "Guidelines to Account for and Report on Greenhouse Gas Emissions and Removals for Buildings in Hong Kong" published by the Electrical and Mechanical Services Department and the Environmental Protection Department, with reference to international standards such as the Greenhouse Gas Protocol and the ISO 14064-1 standard.

During the year, the amount of GHG emissions reduced by 23.7% as compared to last year. The intensities of GHG emissions in tonnes/employees and tonnes/sq. ft. reduced by 27.6% and 23.7% respectively. Scope 1 emissions during the year decreased by 51.9% as compared to last year due to lower usage of commercial cars. Scope 2 emissions during the year decreased by 8.8%, despite an increase in indirect energy consumption by 1.5%, as the grid electricity emission factors of both Hong Kong and Singapore decreased with increasing renewables in the energy mix. Moreover, the measures taken for the Pandemic, such as travel restrictions, social distancing, work-from-home arrangement and physical meetings substituted by online meetings, have caused air travelling decreased by 61.3%.

Greenhouse Gas Emissions	2020	2019	Unit
Scope 1 emissions ¹	37.2	77.3	tonnes CO ₂ -e
Scope 2 emissions ²	919.5	1,008.1	tonnes CO ₂ -e
Scope 3 emissions ³	207.6	441.1	tonnes CO ₂ -e
Total GHG emissions	1,164.4	1,526.5	tonnes CO ₂ -e
GHG intensity	2.0	2.7	tonnes CO ₂ -e/employee
GHG intensity	0.018	0.023	tonnes CO ₂ -e/sq. ft.

Notes:

- 1 Scope 1 includes direct emissions from combustion of fuel (i.e., petrol) in mobile sources and fugitive releases from equipment and systems.
- 2 Scope 2 includes energy indirect emissions from purchased electricity from power companies and purchased cooling from facilities management.
- 3 Scope 3 includes other indirect emissions from business travels and methane gas generation at landfill in Hong Kong due to disposal of paper waste.

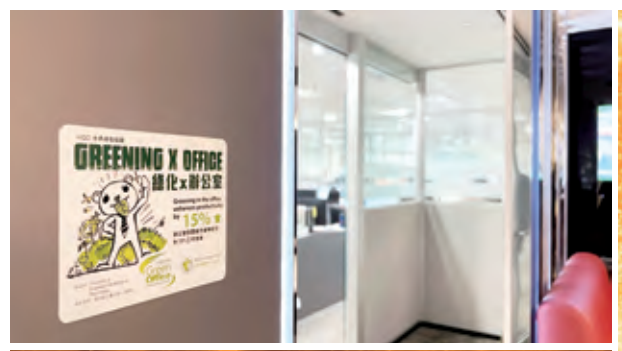
As set out in the table below, the air emissions of nitrogen oxides were emitted due to the combustion of fuels in passenger cars. To reduce air emissions, the purchase of most fuel-efficient vehicles or green vehicles should be first considered when necessary. During the year, the amount of nitrogen oxides, sulphur oxides and particulate matter decreased by 42.3%, 39.9% and 42.3% respectively as compared to the previous year.

Air Emissions*	2020	2019	Unit
Nitrogen oxides (NO _x)	2.12	3.68	kg
Sulphur oxides (SO _x)	0.07	0.12	kg
Particulate Matter (PM)	0.16	0.27	kg

* Refer to combustion of fuels by vehicles for commercial use.

Climate Change-related Risk Mitigation

Climate change may have a significant impact on the economy and organisations, such as increased severity and frequency of extreme weather events which can cause damage to lives and assets. This in turn may affect companies' financial performance. It is crucial for investors to consider climate risk in making investment decisions in order to manage the underlying risks caused by climate change. In the coming year, we will formulate procedures on identification and mitigation of significant climate-related issues which have impacted, and those which may impact the Group.



Environment and Natural Resource Management

Apart from the GHG emissions and non-hazardous waste, the business operations of the Company do not have a significant impact on the environment and natural resources. Nonetheless, we keep exploring opportunities in our daily operations to conserve resources. Recently, the copiers that we changed in Hong Kong offices were made of 100% recycled plastic or bio-plastic. This reflects our support in maintaining and protecting environment and resources.

Approach to Reporting

With the aim to provide stakeholders a better understanding in the Group's ESG performance, this report presents its sustainability approach and practices for the year ended 31 December 2020. This report is prepared in both English and Chinese and has been uploaded to the websites of the Company (www.gtjai.com) and the Stock Exchange.

Reporting Scope

This report covers the Group's operations in Hong Kong and Singapore, which accounted for approximately 99.62% of the total revenue of the Group.

Reporting Standards and Principles

This report is prepared in accordance with the "comply or explain" provisions and certain "recommended disclosures" of the Environmental, Social and Governance Reporting Guide (the "ESG Guide") contained in Appendix 27 to the Rules Governing the Listing of Securities on the Stock Exchange.

The Company adheres to the four fundamental reporting principles set out in the ESG Guide for the preparation of this report:

Reporting Principles	Applications
Materiality	The Company focuses on the material issues that have significant impacts on its business and are important to its stakeholders. These material issues were identified through engagement with internal and external stakeholders.
Quantitative	The Company records and discloses KPIs in quantitative terms whenever possible for the evaluation of the effectiveness of ESG policies and management system.
Balance	This report provides stakeholders with an unbiased picture of the Group's sustainability achievement and challenges.
Consistency	Unless as stated otherwise, the Group applies consistent measurement methodology to allow for meaningful comparison of ESG performance over time. Any changes in methods or KPIs are disclosed.

Confirmation and Approval

Both the ESG Committee and the Board have reviewed and approved this report.

As at 27 May 2021, the Board comprises four executive directors, being Dr. YIM Fung (Chairman), Mr. WONG Tung Ching, Ms. QI Haiying, Mr. LI Guangjie, two non-executive directors, being Dr. XIE Lebin, Mr. LIU Yiyong, and four independent non-executive directors, being Dr. FU Tingmei, Dr. SONG Ming, Mr. TSANG Yiu Keung and Professor CHAN Ka Keung, Ceajer.

Feedback Mechanism

The Group values the feedback and suggestion from its stakeholders. Stakeholders are welcome to share their views through email at esg@gtjas.com.hk to help strengthen the Group's future ESG performance and define future sustainability strategy.

ESG Reporting Guide Content Index

Material Aspect	Content	Page Index/Remarks
A. Environmental		
A1 Emissions		
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste.	8, 26
A1.1	The types of emissions and respective emissions data.	29
A1.2	Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions (in tonnes) and, where appropriate, intensity.	28
A1.3	Total hazardous waste produced (in tonnes) and, where appropriate, intensity.	27
A1.4	Total non-hazardous waste produced (in tonnes) and, where appropriate, intensity.	27
A1.5	Description of emissions target(s) set and steps taken to achieve them.	4
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.	4, 26-27
A2 Use of Resources		
General Disclosure	Policies on the efficient use of resources, including energy, water and other raw materials.	26
A2.1	Direct and/or indirect energy consumption by type in total (in MWh) and intensity.	28
A2.2	Water consumption in total and intensity.	Not applicable
A2.3	Description of energy use efficiency target(s) set and steps taken to achieve them.	4
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.	26
A2.5	Total packaging material used for finished products (in tonnes) and, if applicable, with reference to per unit produced.	Not applicable
A3 The Environment and Natural Resources		
General Disclosure	Policies on minimising the issuer's significant impact on the environment and natural resources.	26
A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them.	29
A4 Climate Change		
General Disclosure	Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer.	29
A4.1	Description of the significant climate-related issues which have impacted, and those which may impact, the issuer, and the actions taken to manage them.	29
B. Social		
B1 Employment		
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare.	8, 20
B1.1	Total workforce by gender, employment type, age group and geographical region.	18
B1.2	Employee turnover rate by gender, age group and geographical region.	18-19
B2 Health and Safety		
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards.	8, 23
B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year.	23
B2.3	Description of occupational health and safety measures adopted, and how they are implemented and monitored.	23

ESG Reporting Guide Content Index

Material Aspect	Content	Page Index/Remarks
B3 Development and Training		
General Disclosure	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities.	21-22
B3.1	The percentage of employees trained by gender and employee category.	21
B3.2	The average training hours completed per employee by gender and employee category.	21
B4 Labour Standards		
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour.	8, 20
B4.1	Description of measures to review employment practices to avoid child and forced labour.	20
B5 Supply Chain Management		
General Disclosure	Policies on managing environmental and social risks of the supply chain.	17
B5.1	Number of suppliers by geographical region.	17
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.	17
B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored.	17
B6 Product Responsibility		
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress.	8, 15-17
B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons.	Not applicable
B6.2	Number of products and service related complaints received and how they are dealt with.	16
B6.3	Description of practices relating to observing and protecting intellectual property rights.	17
B6.4	Description of quality assurance process and recall procedures.	Not applicable
B6.5	Description of consumer data protection and privacy policies, and how they are implemented and monitored.	15-16
B7 Anti-corruption		
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering.	8, 15
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.	15
B7.2	Description of preventive measures and whistle-blowing procedures, and how they are implemented and monitored.	15
B7.3	Description of anti-corruption training provided to directors and staff.	15
B8 Community Investment		
General Disclosure	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests.	24
B8.1	Focus areas of contribution.	24-25
B8.2	Resources contributed to the focus area.	24-25



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