



HOLLY FUTURES

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

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

STOCK CODE/ 股份代號：03678.HK；001236.SZ



2023

ESG REPORT

環境、社會和管治報告



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About This Report

關於本報告

Information about the Report

報告說明

The purpose of this Environmental, Social and Governance Report (hereinafter referred to as the “Report”) is to provide readers with a systematic account of the environmental, social and governance (ESG) performance of Holly Futures Co., Ltd. (hereinafter referred to as “Holly Futures” or the “Company”) and its subsidiaries (the “Group”) for the fiscal year of 2023, as well as to respond to the ESG issues of particular concern to stakeholders.

本環境、社會及管治報告（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”或“公司”）連同其附屬公司（簡稱“本集團”）在 2023 年度環境、社會及管治（ESG）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

This 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”) and the Guidelines of Shenzhen Stock Exchange for Self-Regulatory Supervision by Listed Companies. This 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 this report can be found in the Index of Indicators in the Appendix of this 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”）上市規則附錄 C2《環境、社會及管治報告指引》（《ESG 報告指引》）及《深圳證券交易所上市公司自律監管指引》進行編制。本報告已遵守《ESG 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、一致性及平衡的彙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。

Reporting scope and boundary

報告範圍及邊界

Unless otherwise stated, this report covers the data within the period from January 1, 2023 to December 31, 2023 (“the year” or the “Reporting Period”). This report is published annually. In the sections of social and governance, the scope of this report is the same as that of the annual report: taking Holly Futures Co., Ltd. as the subject entity and covering its major subsidiaries, including Holly Capital Management Co., Ltd., Holly International Financial Holdings Limited, Holly International Asset Management Company Limited and Holly International Fund Series SPC. In the environmental sections, based on the importance of the environmental impact of the business, the scope of data covers the headquarters of Holly Futures, which accounted for 43.61% of total number of office staff.

除特殊說明外，本報告所載數據時間範圍在 2023 年 1 月 1 日至 2023 年 12 月 31 日（以下簡稱“本年內”或“報告期內”），本報告每年發布一次。在社會與管治部分，本報告範圍與年報一致：以弘業期貨股份有限公司為主體，涵蓋旗下重要附屬公司，包括：弘業資本管理有限公司、弘業國際金融控股有限公司、弘業國際資產管理有限公司、弘業國際基金系列 SPC。在環境部分，基於經營業務對環境影響的重要程度，涵蓋數據範圍為弘業期貨總部，占整體辦公人數的 43.61%。

Source of data and assurance

數據源及可靠性保證

All the data in this report are from the Group’s internal data, survey and interview record and relevant documents. The type and amount of the currency used in this report is in RMB, unless otherwise stated. The board of directors of the Group (the “Board”) undertakes that this report does not contain any false information or misleading information, and is responsible for the truthfulness, accuracy and completeness of its contents.

本報告中的所有數據均來自本集團內部數據、調查訪談記錄及相關文件。本報告中有關數據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。

Access and feedback

獲取及回應本報告

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

本報告以 PDF 電子文件形式登載于：
香港交易及結算所有限公司披露易網站
(<http://www.hkexnews.hk>)
深圳證券交易所網站 (<http://www.szse.cn>)
弘業期貨公司網站 (<http://www.ftol.com.cn>)

Contact

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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 43 branches in Beijing, Shanghai, Guangzhou, Shenzhen 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.

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).

As a council unit of China Futures Association and President unit of Jiangsu Province Futures Association, Holly Futures actively promoted the spirit of corporate culture of "unity, progress, thanksgiving, and happiness", continuously adhering to the "honest, excellent, innovative and win-win" corporate philosophy, strictly guarding against risks, expanding the market, continuously enhancing its core competitiveness, and growing its business scale together with the vast majority of investors.

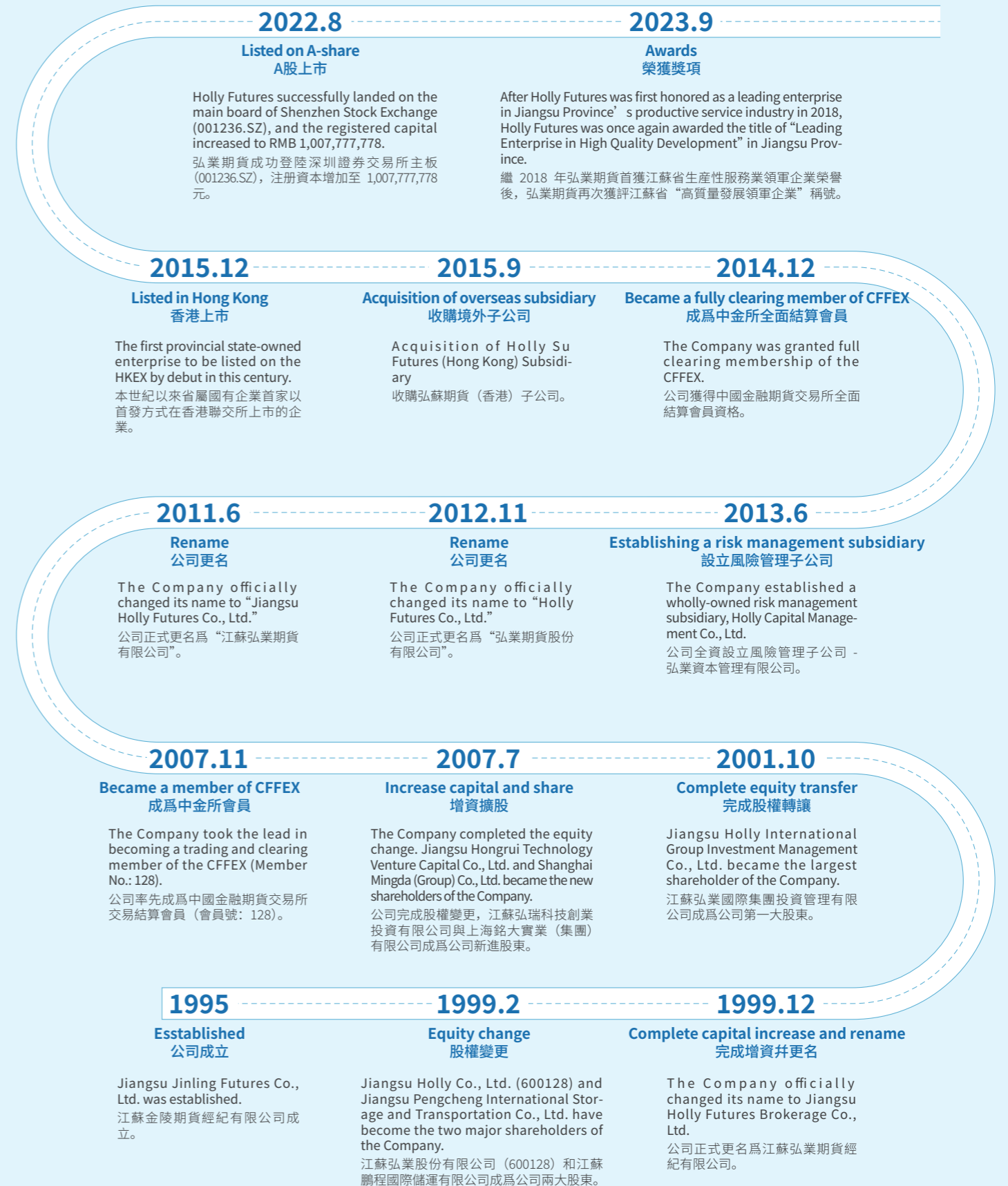
弘業期貨股份有限公司（簡稱弘業期貨）成立於1995年，註冊資本1,007,777,778元人民幣，隸屬於江蘇省國資委全資擁有的國有企業江蘇省蘇豪控股集團有限公司。公司經營範圍涵蓋商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理、基金銷售業務。在北、上、廣、深等國內主要金融中心和重點城市設立43家分支機構，數量位居全國前列，並在行業內率先建立國家級博士後工作站；全資子公司弘業國際金融主要從事境外證券及期貨交易、資產管理、投資諮詢等服務，覆蓋全球大型證券期貨交易所；全資風險管理子公司弘業資本主要從事大宗商品交易及風險管理業務，是多個期貨品種的做市商。公司先後榮獲“全國文明單位”“中國最佳期貨公司”以及各期貨交易所“優秀會員”等榮譽稱號。

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

作為中國期貨業協會理事單位、江蘇省期貨業協會會長單位，弘業期貨積極弘揚“團結、卓越、感恩、快樂”的企業文化精神，持續秉承“誠信、卓越、創新、共贏”的企業理念，嚴格防範風險，銳意開拓市場，不斷提升核心競爭力，與廣大投資者共創恢弘大業。

Development milestones

發展歷程



1

Deepening Responsibility and Strengthening ESG Management

深化責任 夯實 ESG 管理

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



Holly Futures upholds the social responsibility philosophy of “social responsibility and corporate growth are unified”, strengthens ESG governance and continuously improves ESG working mechanism, fully integrating ESG concepts into the Company’s development strategy and business activities, and working together with various stakeholders to promote sustainable development in an orderly manner.

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，携手各利益相關方有序共創可持續發展價值。

(I) Board statement

(一) 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.

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、社會及管治（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。董事會及全體董事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。

ESG governance structure ESG管治架構

Main responsibilities 主要職責



Board of Directors 董事會

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.

公司 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。



Managerial level 管理層

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.

對公司 ESG 事項進行審議及監督，包括戰略規劃、目標設定、政策制定、執行管理、風險評估績效表現、信息披露等事宜，并向董事會彙報。



Executive level 執行層

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.

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。在董事會及管理層的領導下，根據 ESG 年度工作計劃組織開展 ESG 具體工作，定期向管理層彙報 ESG 工作進展。

(II) Stakeholders' engagement

(二) 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 in a timely manner and respond correspondingly in an effort to promote the Company's development and ensure that the Company is in line with the expectations and interests of various stakeholders.

本公司高度重視利益相關方溝通，識別出政府、股東、員工、客戶、供應商、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反饋機制。依據期貨行業業務特點，及時瞭解其期望與訴求，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 followings are the major stakeholders we identified and our means of response:

本公司識別出的重要利益相關方與回應方式如下：

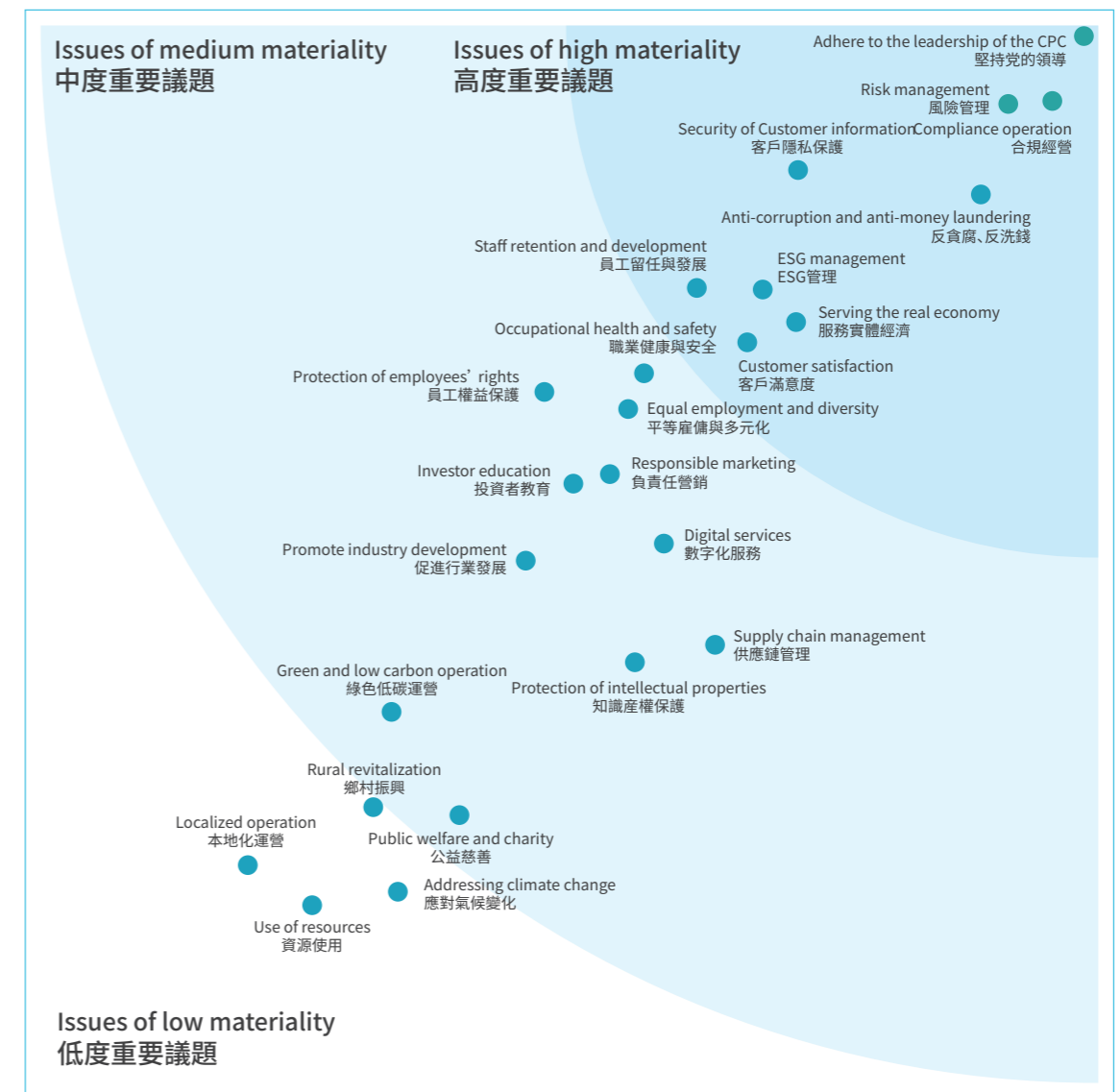
Stakeholders 利益相關方	Concerns 關注議題	Communication channels 溝通渠道
Government and regulatory bodies 政府與監管機構	Compliance operation Addressing climate change Serving the real economy Anti-corruption and anti-money laundering Adhere to the leadership of the CPC 合規經營 應對氣候變化 服務實體經濟 反貪污、反洗錢 堅持黨的領導	Meetings with and 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
Shareholders 股東	ESG management Risk management Compliance operation Anti-corruption and anti-money laundering Protection of shareholders' rights and interests ESG 管理 風險管理 合規運營 反貪腐、反洗錢 保護股東權益	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

Stakeholders 利益相關方	Concerns 關注議題	Communication channels 溝通渠道
Customers 客戶	Investor education Responsible marketing Enhancing customer experience Security of customer information 投資者教育 負責任營銷 提升客戶體驗 客戶信息安全	Customer service hotline Customer satisfaction survey Resolving customers' complaints Investor education Holly Easy (弘運通) and Holly Futures APP Social media 客戶服務熱綫 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
Employees 員工	Diverse and equal employment Occupational health and safety Protection of employees' rights and interests Staff retention and development 多元化與平等僱傭 職業健康安全 保障員工權益 員工留任與發展	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
Partners 合作夥伴	Coordinate suppliers' development Promote industry development Business ethnic 協調供貨商發展 促進行業發展 商業道德	Supplier rating Industrial communication conference 供貨商評分 行業溝通會議
Environment 環境	Use of resources Emission management Supporting dual carbon goals Green financial products 資源使用 排放物管理 支持雙碳目標 綠色金融產品	Proactive disclosure of environmental data Implementing green office 主動披露環境數據 落實綠色辦公
Community 社區	Public welfare and charity Rural revitalization Localized operation 公益慈善 鄉村振興 本地化運營	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

(III) Materiality assessment (三) 重要性議題評估

Combining the development trend of the industry and its own development strategy, according to laws, regulation and standards, industry analysis, expert interviews and internal and external questionnaires, the Company identifies and summarizes 24 substantive social responsibility issues of importance to the Company and its stakeholders based on the process and method of defining substantive issues in GRI's Sustainable Development Reporting Standards and Environmental, Social and Governance Reporting Guide of HKEX, 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》中對實質性議題的界定流程和方式，通過法律法規與標準梳理、行業分析、專家訪談、內外部問卷調查等，識別、總結出對於公司和利益相關方具有重要性的 24 項社會責任實質性議題，對議題重要性進行排序，並對高實質性議題的管理與績效進行重點披露。



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

Materiality assessment matrix related to the sustainable development of Holly Futures
弘業期貨可持續發展重要性評估矩陣

2

Insisting on the Bottom Line of Compliance for Long-term Stability

行穩致遠 堅守合規底綫

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



Holly Futures focuses on the objectives and methods of governance, continues to promote the modernization of the governance system, continuously improves the governance structure of the Board, the supervisory committee, the general meeting and the management, enhances the level of compliance, reduces the risks of business operations, effectively protects the relevant rights and interests of shareholders, and promotes the Company's high-quality and sustainable development.

弘業期貨聚焦治理目標與方式，持續推進治理體系現代化，不斷完善三會一層治理架構，提升合規經營水平，降低業務運營風險，切實保障股東相關權益，促進公司高質量可持續發展。

(I) Sound governance structure (一) 完善治理結構

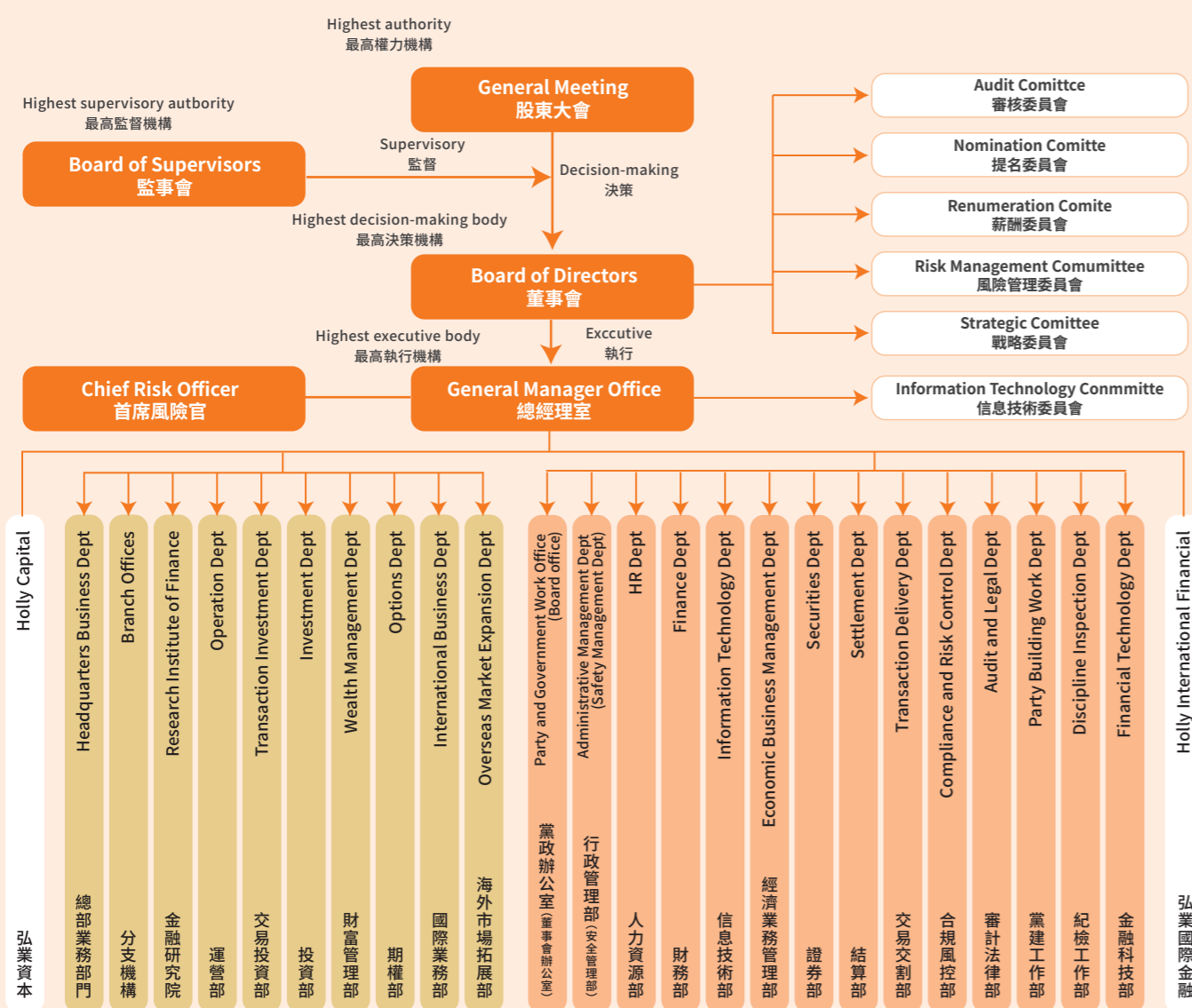
In strict accordance with the Company Law of the People's Republic of China, the Code of Governance for Listed Companies, the Rules for the Supervision and Administration of Futures Companies and other relevant laws and regulations, Holly Futures takes the Articles of Association as the core institutional system, and continuously improves its governance structure.

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，不斷完善治理架構。

1 The structure of the Board, the supervisory committee, the general meeting and the management 三會一層架構

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。



Structure of the Board, the supervisory committee, the general meeting and the management
三會一層架構

As at the end of the reporting period, the Board of Directors comprised a total of 6 directors, including 1 executive director, 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, 2 and 2 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 6 名董事組成，其中執行董事 1 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、2、2 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	2	2
Percentage of female members 女性比例	0%	66.7%	33.3%

During the reporting period, Holly Futures strictly fulfilled the decision-making procedures, organizing 8 meetings of the Board of Directors, 4 meetings of the Supervisory Committee, 3 meetings of the General Meeting of Shareholders, 4 meetings of the Audit Committee, 1 meeting of the Nomination Committee, 1 meeting of the Risk Management Committee, 2 meetings of the Remuneration Committee and 1 meeting of the Strategy Committee throughout the year. A total of 40 motions of the Board of Directors, 18 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 8 次，監事會 4 次，股東大會 3 次，審核委員會會議 4 次，提名委員會 1 次、風險管理委員會會議 1 次，薪酬委員會會議 2 次，戰略委員會 1 次。共通過董事會議案 40 個，監事會議案 18 個，股東大會議案 16 個。

During the reporting period, 7 directors, supervisors and senior management participated in the training on the responsibilities of listed companies on the Main Board of HKEX conducted by Deheng Law Offices (Hong Kong) LLP to understand and learn about the recent law enforcement cases, the update of the Listing Rules and other data, with a training duration of 2 hours. All directors participated in the training on the Company's continuous supervision for the year 2023 conducted by China Securities to learn and study the data on the regulation of listed companies, information disclosure, etc. The training lasted for 2 hours.

報告期內，7 位董監高人員參與了德恒律師事務所（香港）有限法律責任合夥進行的香港聯交所主板上市公司之責任的培訓，瞭解學習了近期執法案例、《上市規則》更新等數據，培訓時長 2 小時。所有董事參與了中信建投證券進行的公司 2023 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。

2 Investor Relations Management 投資者關係管理

The Company strictly follows the regulatory requirements of Unified Exchange and HKEX in its disclosure work, publishing 115 annual reports and announcements of meeting resolutions for A-shares and 224 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.

公司嚴格遵循聯交所、港交所的監管要求開展披露工作，A 股方面發布年度報告、會議決議公告等 115 份，H 股方面發布業績報告、證券變動月報表等 224 份，持續提高信息披露質量，不斷加強與投資者的交流互動，加深投資者對公司的瞭解與信任，切實保障投資者權益。

The Company strictly complies with the Model Code for Securities Transactions by Directors of Listed Issuers (the Model Code) as set out in Appendix 10 of the Listing Rules, and all Directors and Supervisors have confirmed that they have fully complied with the standards set out in the Model Code during the period under review. At the same time, the Company manages unpublished price-sensitive data about the Company or its securities that may be available to its employees. During the reporting period, the Company has not been informed of any incidents of violation of the Model Code by the relevant catalysts. The Board will from time to time review the governance and operation of the Company to comply with the relevant provisions of the Listing Rules and to safeguard the interests of shareholders.

公司嚴格遵守《上市規則》附錄十所載的《上市發行人董事進行證券交易的標準守則》（《標準守則》），所有董事和監事均確認於本報告期內完全遵守《標準守則》所載的標準。同時，公司對員工有可能掌握公司或其證券的未公布的股價敏感數據進行管理。本報告期內，公司并未獲悉任何相關僱員違反《標準守則》的事件。董事會會不時檢查公司的治理狀況和運作情況，以符合《上市規則》有關規定，並保障股東利益。

(II) Optimization of compliance risk control (二) 優化合規風險

The Company has formulated the Measures for Compliance Management of Holly Futures, Provisions on Punishment for Employee Violations of Holly Futures Co., Ltd., Implementation Measures for Accountability for Violations of Business Operations and Investment of Holly Futures Co., Ltd. and other systems and documents to ensure risk prevention and compliant operation.

公司制定《弘業期貨股份有限公司合規管理辦法》《弘業期貨股份有限公司員工違規處分規定》《弘業期貨股份有限公司違規經營投資責任追究實施辦法》等制度文件，保障風險防範、合規運營。

1 Management system 管理體系

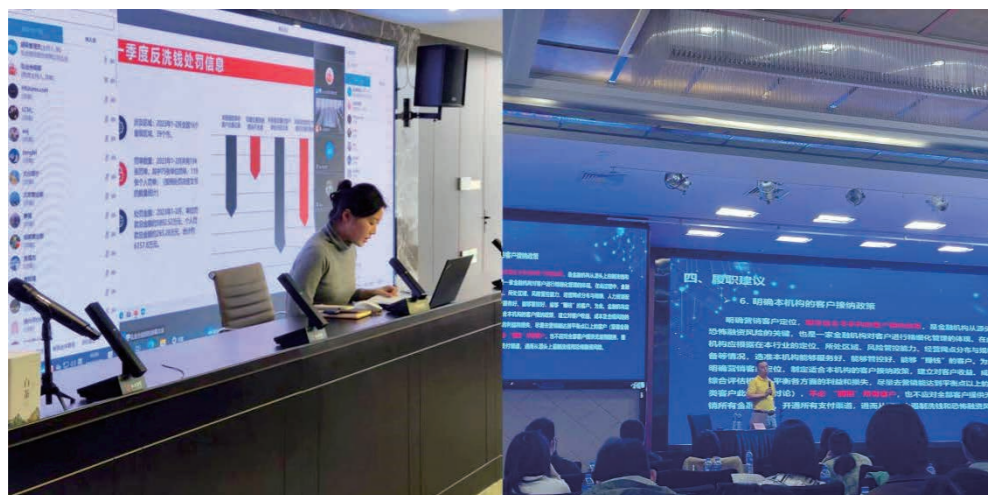
Based on the positioning of its own business, Holly Futures comprehensively analyzes the internal and external situation and business development risks faced by the Company, and implements a four-tier risk management structure, namely “The Board - Risk Management Committee - Chief Risk Officer - Risk Control Officers in each business department” to carry out risk prevention in an all-round way.

弘業期貨立足自身業務定位，全面剖析公司面臨的內外部形勢和經營發展風險，實施“董事會 - 風險管理委員會 - 首席風險官 - 各業務部門的風險控制崗人員”四層風險管理構架，全方位開展風險防範工作。

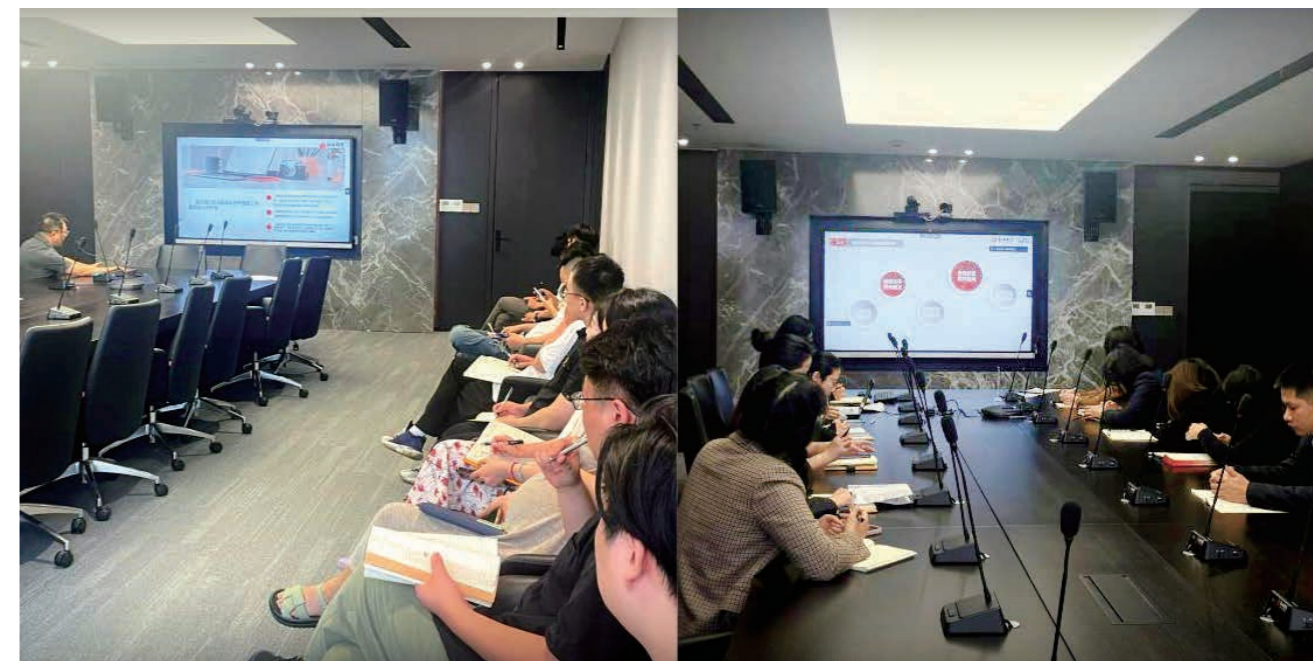
2 Enhancing compliance 強化合規

Holly Futures carries out compliance training to guide employees to adhere to the bottom line of compliance and build a solid risk defense. In 2023, the Company independently carried out compliance training for a total of 5 times, covering various aspects such as internet marketing management, internal information management, interpretation of frequently asked questions on compliance inspection, and display of classic cases, etc. The training participants included people in charge of the Company’s headquarter and branches, financial compliance posts, market development posts, and new hires, etc., and the number of participants in the training for the whole year was more than 700, which effectively enhanced the compliance awareness of the Company’s employees through the series of trainings.

弘業期貨開展合規培訓，引導員工堅守合規底線，築牢風險防線。公司 2023 年度自主開展合規培訓共計 5 次，內容涵蓋互聯網營銷管理、內部信息管理、合規檢查常見問題解讀、經典案例展示等多個方面，培訓受眾包括公司總部及分支機構負責人、財務合規崗、市場開發崗及新員工等，全年參與培訓數超 700 人次，通過系列培訓有效提升了公司員工的合規意識。



Site of the 2023 Annual Compliance Training
2023 年度合規培訓現場



Site of the 2023 Annual Compliance Training
2023 年度合規培訓現場

3 Strengthening internal audit 加強內部審計

The Company has set up the Audit and Legal Department, equipped with internal auditors and established sound rules and regulations for internal audit work. Under the leadership of the Audit Committee of the Company, the Audit and Legal Department carries out its work independently and exercises internal supervision in accordance with the laws and regulations of the State and local governments as well as the rules and regulations of the Company. The Audit Committee regularly considers reports on internal audit work. The Company formulated the internal audit work plan and carried out the internal audit work and strengthened the audit supervision after consideration in accordance with the requirements of the relevant system of the Company. In 2023, the Company carried out a total of 32 internal audits, including 16 economic responsibility audits, 15 special audits and 1 performance audit. The audit team put forward timely audit opinions and suggestions on the problems and deficiencies found in the audits, and ensured the effective implementation of the audit results through the establishment of rectification accounts and the tracking of the progress of rectification.

公司設立了審計法律部，配備內部審計人員，建立健全內部審計工作規章制度。審計法律部在公司審核委員會的領導下，依照國家和地方政府法律、法規和公司的規章制度，獨立開展工作，行使內部監督權。審核委員會定期審議內審工作情況彙報。公司制定內部審計工作計劃，按照公司相關制度要求進行審議後，開展內審工作，強化審計監督。2023 年，公司開展內部審計工作共計 32 項，包括經濟責任審計 16 項、專項審計 15 項、績效審計 1 項。審計小組對審計中發現的問題和缺陷及時提出審計意見和建議，並通過建立整改台賬、跟踪整改進度等確保審計結果的有效落實。

(III) Anti-corruption and anti-money laundering (三) 反貪腐、反洗錢

As a financial institution, Holly Futures strengthens its internal supervision, complies with relevant laws and regulations, improves its anti-corruption and anti-money laundering system, strengthens staff training and testing, and effectively fulfills its anti-corruption and anti-money laundering legal obligations and social responsibilities. During the reporting period, there were no non-compliance incidents and litigation involving bribery, extortion, fraud and money laundering.

作為金融機構，弘業期貨加強內部監管，完善反貪腐、反洗錢制度，遵守相關法律法規，加強員工培訓、測試，切實履行反貪腐、反洗錢法定義務和社會責任。報告期內，公司未發生涉及賄賂、勒索、欺詐及洗黑錢的不合規事件及訴訟事件。

1 Anti-corruption 反貪腐

Building the Anti-Corruption System 反貪腐制度完善

Combined with the actual changes in departmental settings and functional adjustments, Holly Futures dynamically updated the Catalogue of Integrity Risk Identification, Prevention and Control, and focused on publicity and training around the revised content. The Company revised and improved the Management Measures for Complaints and Reporting Boxes of Discipline Inspection Commission of Holly Futures to standardize the establishment, management and use of the report box, and to better play the role of mass supervision in the construction of honest and clean party politics.

結合部門設置及職能調整等實際變化，弘業期貨動態更新《廉潔風險排查防控目錄表》，并重點圍繞修訂內容做宣傳培訓。修訂完善《弘業期貨紀委信訪舉報箱管理辦法》，規範信訪舉報箱的設立、管理和使用，更好地發揮群眾監督在黨風廉政建設中的作用。

Precise and efficient supervision 精準高效監督

In order to further improve the mechanism of party integrity construction and anti-corruption work, Holly Futures adjusted the members of the Party Integrity Construction and Anti-Corruption Work Coordination Group according to the actual situation of the adjustment of the Company's departmental structure to enhance the effectiveness of synergistic supervision. The company simultaneously carries out daily supervision and special inspection, strengthens the supervision function of the discipline inspection department, improves the inspection and supervision of discipline, and wins the tough and protracted battle against corruption.

為進一步完善黨風廉政建設和反腐敗工作機制，弘業期貨根據公司部門架構調整的實際情況，對黨風廉政建設和反腐敗工作協調小組成員進行調整，增強協同監督實效。公司同步開展日常監督與專項監督工作，強化紀檢部門監督職能，織密織牢紀檢監督網絡，堅決打贏反腐敗鬥爭攻堅戰、持久戰。

Integrity education campaign 廉潔教育活動

Holly Futures has carried out a variety of anti-corruption activities 4 times, including theme party lessons, group lectures, visits and study tours, with a total of 371 participants.

弘業期貨開展形式多樣的反貪腐活動 4 次，包括主題黨課、集體講座、參觀學習等，參與人數共計 371 人次。

CASE 案例

Red tourism of visit to Lixiang to enhance clean governance - Visiting Lixiang anti-corruption education base

尋訪紅色李巷 增強廉潔力量——參觀紅色李巷廉政教育基地

Holly Futures organized the Company's leading cadres, discipline inspection staff of a total of 38 people to visit Nanjing red tourism in Lixiang anti-corruption education base, to "renew the pledge to join CPC, walk a section of the New Fourth Army Road, listen to a special class on anti-corruption", and attend "Three Ones" activities of CPC to strengthen education for everyone.

弘業期貨組織公司領導幹部、紀檢工作人員共 38 人赴南京市紅色李巷廉政教育基地，以“重溫一次入黨誓詞、走一段新四軍戰鬥路、聽一堂廉政教育專題課”“三個一”活動為大家強基鑄魂。



Visit to Lixiang anti-corruption education base
參觀紅色李巷廉政教育基地

CASE 案例

Holly Futures organized "Discipline and Law Lecture" warning education

弘業期貨組織開展“紀法講堂”警示教育

Holly Futures organized the "Discipline and Law Lecture" warning education, which was attended by nearly 100 members of the Company's leadership team, middle-level cadres, key positions and employee representatives. DAI Juan, President of the Criminal Trial Division of Nanjing City Qinhuai District People's Court, was invited to give a special lecture. DAI Juan analyzed the reasons and ideological roots of the offenders' crimes from various aspects and angles with vivid typical cases, which made everyone realize the importance and necessity of building a firm ideological line of defense and guarding the bottom line of anti-corruption and honesty.

弘業期貨組織開展“紀法講堂”警示教育，公司領導班子成員、中層幹部、關鍵崗位及職工代表等近百人參加。活動邀請到南京市秦淮區人民法院刑事審判庭庭長戴娟作專題講座。戴娟以一個個鮮活的典型案例，多方面、多角度地剖析違法者的犯罪原因和思想根源，使大家清醒地認識到築牢思想防線、守住清廉底線的重要性和必要性。



Discipline and law lecture
紀法講堂

**2 Anti-money laundering
反洗錢**

**Anti-money laundering system
反洗錢制度體系**

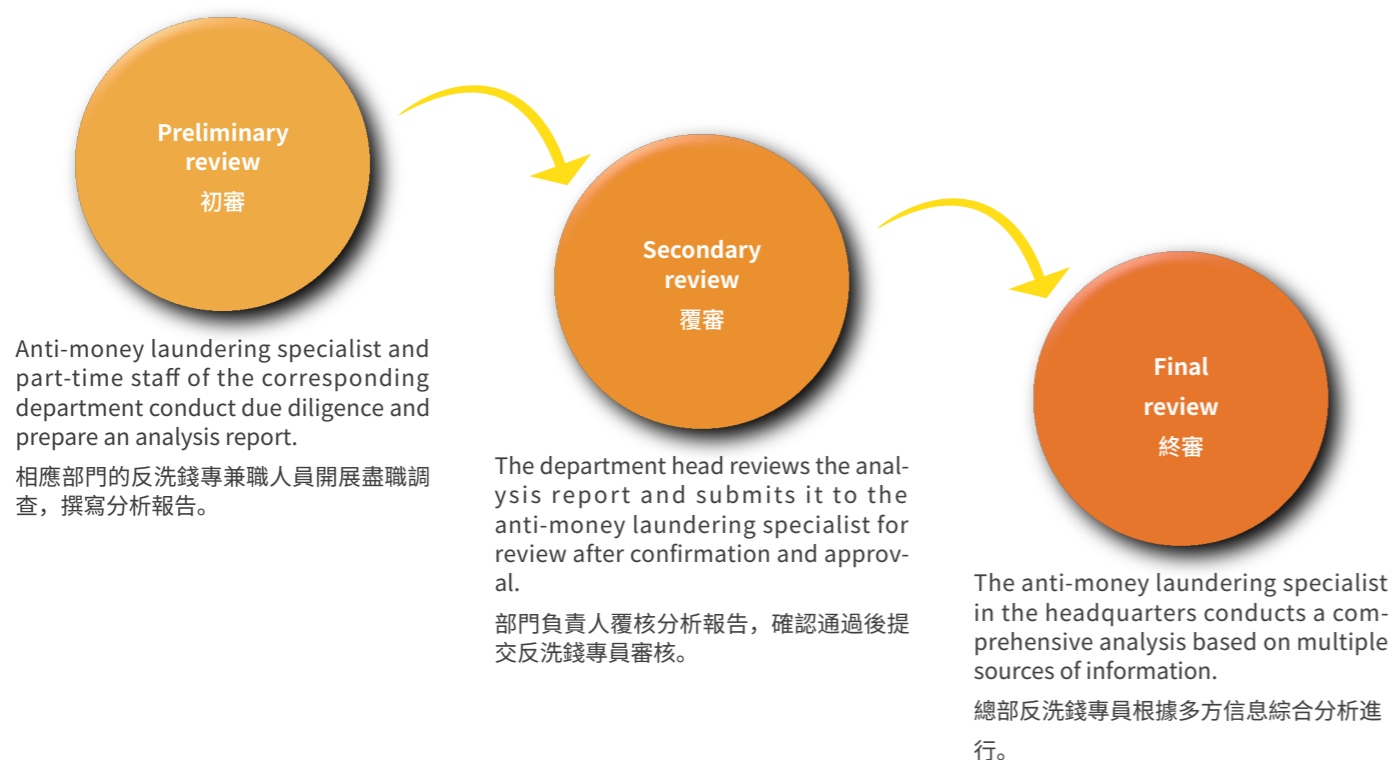
Holly Futures complies with the requirements of Anti-Money Laundering Law of the People's Republic of China, Provisions on Anti-money Laundering through Financial Institutions of the People's Bank of China, the Measures on Administrative Identification of Clients and Preservation of Client Identities Information and Trading Records of Financial Institutions, and the Measures for the Implementation of Anti-money Laundering in the Securities and Futures Industry and other related laws and regulations in relation to anti-money laundering to comply with anti-money laundering obligations.

弘業期貨遵守《中華人民共和國反洗錢法》、中國人民銀行《金融機構反洗錢規定》《金融機構客戶身份識別和客戶身份資料及交易記錄保存管理辦法》以及中國證監會《證券期貨業反洗錢工作實施辦法》等反洗錢相關法律法規要求，切實履行反洗錢義務。

In order to promote effective anti-money laundering work and ensure the effectiveness of regulation, the Company resolutely implements the Compilation of Internal Control Systems of Holly Futures Co., Ltd., the Measures for the Management of Self-Assessment of Money Laundering and Terrorist Financing Risks of Holly Futures Co., Ltd., the Anti-money Laundering Inspection and Audit Measures of Holly Futures Co., Ltd., and the Administrative Measures on Anti-Money Laundering and Confidentiality of Holly Futures Co., Ltd.

爲了持續推進反洗錢工作，公司堅決執行《弘業期貨股份有限公司反洗錢內部控制制度》《弘業期貨股份有限公司洗錢和恐怖融資風險自評估工作管理辦法》《弘業期貨股份有限公司反洗錢內部檢查與審計辦法》《弘業期貨股份有限公司反洗錢保密工作管理辦法》等一系列制度，保障監管的有效性。

**Workflow chart for anti-money laundering:
反洗錢工作流程：**



**Strengthening anti-money laundering inspections
加大反洗錢檢查力度**

The Company comprehensively strengthened the frequency of anti-money laundering inspections and conducted anti-money laundering on-site inspections and audits for a total of 18 branches under its jurisdiction in accordance with the plan, while the rest of the branches carried out internal self-inspections under the supervision of the Company's Compliance and Risk Control Department. The inspections provided detailed guidance for the branches to effectively prevent and avoid potential risks in conducting business.

公司全面加强反洗錢工作的檢查頻率，按照計劃共計對全轄 18 家分支機構進行了反洗錢現場檢查與審計，其餘分支機構均在公司合規風控部的督導下開展了內部自查。通過檢查，爲分支機構有效防範和規避在開展業務中的潛在風險提供了詳細指導。

**Strengthening anti-money laundering training
強化反洗錢培訓**

In terms of anti-money laundering training, the Company has independently and effectively carried out and participated in various anti-money laundering trainings for 10 times, and quarterly organized staff to participate in learning and training activities focusing on anti-money laundering laws and regulations, anti-money laundering regulatory developments and warning cases, and anti-money laundering practices. The audience of the training includes the heads of headquarters departments and branches, AML specialists, who participate in the form of on-site attendance and video conferencing; the content of the training covers the situation of anti-money laundering work and regulatory developments, answers to frequently asked questions on anti-money laundering work, training on anti-money laundering practices, and anti-money laundering work requirements, and an AML knowledge test was carried out after the meeting, which combines the training with the test so that the participants can grasp the content of the training in a more intuitive manner. Through the combination of training and testing, the participants are able to grasp the content of the training more intuitively. The number of participants in the AML test this year amounted to more than 1,200, with a pass rate of 92.98%.

在反洗錢培訓方面，公司自主有效地開展、參與各類反洗錢培訓 10 次，每季度組織員工參加以反洗錢法律法規、反洗錢監管動態與警示案例、反洗錢實務等爲主要內容的學習培訓活動，培訓受衆包括總部部門及各分支機構負責人、反洗錢專崗專員，以現場參會和視頻會議的形式參與，培訓內容涵蓋反洗錢工作形勢與監管動態、反洗錢工作中常見問題答疑、反洗錢實務培訓、反洗錢工作要求，并于會後開展了反洗錢知識測試，通過培訓與測試相結合方式，讓參訓人員更直觀地掌握培訓內容。本年度參與反洗錢測試的人數達 1200 餘人次，合格率達 92.98%。

3

Low Carbon Transformation and Adhering to Green Development

低碳轉型 堅持綠色發展

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



Since the 20th Party Congress, General Secretary XI Jinping has repeatedly emphasized the goal of carbon peaking and the vision of carbon neutrality, and the construction of China's ecological civilization has entered a critical period in which carbon reduction has become the key strategic direction, and synergy has been promoted between pollution reduction and carbon reduction, responding to climate change and comprehensively advancing green transformation. Holly Futures has always insisted on implementing the important initiatives of the Party, State and provincial governments to address climate change and environmental protection, deeply practicing the concept of pollution reduction and carbon reduction, continuously paying attention to climate risks, fulfilling the green commitments with practical actions, and helping to realize the "carbon peaking and carbon neutrality" goal.

黨的二十大以來，習近平總書記多次強調碳達峰目標和碳中和願景，我國生態文明建設已經進入了以降碳為重點戰略方向、推動減污降碳協同增效、應對氣候變化與全面推進綠色轉型的關鍵時期。弘業期貨始終堅持貫徹落實黨和國家、省委省政府對於應對氣候變化和環境保護的重要舉措，深入踐行減污降碳理念，持續關注氣候風險，以實際行動踐行綠色承諾，助力實現“雙碳”目標。

(I) Pursuing environmental protection practices

(一) 踐行綠色環保

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。

1 Use of resources 資源使用情況

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 main energy consumption of the Company is electricity and automobile fuel; the main sources of pollution include exhaust emissions from office vehicles and hydrofluorocarbon emissions from air conditioning; other resource consumption includes daily office water and office supplies. 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.

作為金融類企業，公司所涉業務對環境與資源無破壞、污染或濫用行爲，亦不屬高耗能、高排放行業企業。公司主要能源消耗爲用電、汽車燃料；主要污染源包括辦公車輛尾氣排放、以及空調使用導致的氫氟烴排放；其他資源消耗包含日常辦公用水、辦公用品消耗等。公司產生的廢水主要爲辦公過程中產生的生活廢水，產生的無害廢棄物主要爲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。

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

報告期內，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發揮而收到處罰的情況，未發生水源取用問題。

The resource use and pollutant emissions of Holly Futures in the past three years are shown in the table below. In 2023, the Company's total and per capita consumption of major energy and water resources decreased compared to the previous year.

近三年弘業期貨資源使用與污染物排放情況如下表所示，2023年，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。

Type 類別	Unit 單位	2023	2022	2021
Pollutant emissions 污染物排放				
Nitrogen oxides 氮氧化物	kg 千克	15.71	11.52	12.45
Per capita emissions of nitrogen oxides 氮氧化物人均排放量	kg/person 千克/人	0.05	0.04	0.04
Sulfur oxides 硫氧化物	kg 千克	0.25	0.27	0.30
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

Type 類別	Unit 單位	2023	2022	2021
Waste generated 廢棄物產生量				
Hazardous waste / 有害廢棄物				
Total amount of ink cartridge / 墨盒總量	piece / 支	0	0	0
Per capita amount of ink cartridge / 墨盒人均量	piece/person / 支/人	0	0	0
Total amount of toner cartridge / 硒鼓總量	item / 個	174	166	150
Per capita amount of toner cartridge / 硒鼓人均量	item/person / 個/人	0.59	0.57	0.45
Lamp / 燈管	piece / 支	0	178	183
Per capita amount of lamp / 燈管人均量	piece/person / 支/人	0	0.61	0.55
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
Energy consumption 能源消耗量				
Consumption of purchased electricity 外購電力消耗量	kWh 千瓦時	947916	966531	988531
Per capita electricity consumption 人均耗電量	kWh/person 千瓦時/人	3192	3310	2951
Consumption of gasoline 汽油消耗量	kL 千升	16.80	18.50	20.00
Total amount of gasoline per capita 人均汽油消耗量	kL/person 千升/人	0.06	0.06	0.06
Total energy consumption 能源消耗總量	ton standard coal 噸標準煤	134.58	136.65	143.85
Direct energy consumption 直接能源消耗	ton standard coal 噸標準煤	22.36	20.36	18.08
Indirect energy consumption 間接能源消耗	ton standard coal 噸標準煤	121.49	118.39	116.50
Energy consumption intensity 能耗密度	ton standard coal/person 噸標準煤/人	0.45	0.47	0.43
Water consumption 水資源消耗量				
Water consumption 耗水量	ton 噸	11460	14890	15824
Per capita water consumption 人均耗水量	ton/person 噸/人	38.59	50.99	47.24

Note 1: [Caliber of statistics] During the reporting period, the statistical caliber of the key environmental data indicators was the headquarters of Holly Futures, which accounted for 43.61% of the overall office headcount.

注 1: 【統計口徑】報告期內，關鍵環境數據指標的統計口徑爲弘業期貨總部，占整體辦公人數的 43.61%。

Note 2: [Calculation method] Pollutant emissions accounting includes nitrogen oxides and sulphur oxides generated from vehicle exhaust, and the calculation methodology refers to the HKEX's How to Prepare an Environmental, Social and Governance Report Appendix II: Guidelines for Reporting on Environmental Key Performance Indicators (March 2022); 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).

注 2: 【計算方式】污染物排放量核算包括汽車尾氣產生的氮氧化物與硫氧化物，計算方法參考香港聯交所《如何編備環境、社會及管治報告 附錄二：環境關鍵績效指標彙報指引》(2022年3月)，能源消耗量根據電力、汽油消耗量和中華人民共和國國家標準《綜合能耗計算通則》(GB/T2589-2020)中換算因子計算。

Note 3: The Company relocated to a new site in December 2022, therefore there was no lamp replacement during the reporting period. Waste paper and other office garbage were removed by the property, and the amount generated could not be counted, and based on the nature of the Company's business, which did not involve the use of packaging materials related to the production of physical manufactured goods, the disclosure of data on packaging materials was also not applicable.

注 3: 本公司於 2022 年 12 月搬遷新址，故報告期內未有燈管更換。廢紙等辦公垃圾由物業統一清運，無法統計產生量，且基於公司業務性質，未涉及實體製成品生產相關的包裝材料使用，包裝物數據的披露亦不適用。

2 Environmental protection objectives 環境保護目標

Holly Futures has always been actively concerned about the issue of environmental protection, adhering to the 3R principle of “Reducing, Recycling, Reusing”, and actively carrying out internal publicity on energy saving, pollutant reduction, waste disposal and utilization, etc., so as to cultivate employees’ awareness of green environmental protection and practice the concept of sustainable development with practical actions.

弘業期貨始終積極關注環境保護議題，堅持“減量化 (Reducing)、再回收 (Recycling)、再利用 (Reusing)”的 3R 原則，在公司內部積極開展節能降耗、污染物減排、廢棄物處置利用等多方面措施的宣貫，培養員工的綠色環保意識，用實際行動踐行可持續發展的理念。

Energy saving and consumption reduction measures 節能降耗措施

Power saving: all office space use energy-saving lamps, prohibit the use of high-power non-office equipment; regular inspection and monitoring of lighting and air-conditioning facilities and equipment to avoid power loss due to equipment damage; posting of posters and slogans on power saving.

節電：辦公場所全部使用節能燈，禁止大功率非辦公設備使用；定期對照明及空調設施設備巡檢監控，避免因設備損壞造成電力損失；張貼節約用電宣傳畫、標語。

Water conservation: Regularly check the water supply device to avoid the waste of water caused by equipment failure; turn off the faucet when it is finished, and the property cleaning guarantees the recycling of wastewater to ensure a clean office environment while improving the utilization rate of water resources.

節水：定期檢查供水裝置，避免設備故障引起的水資源浪費情況；水龍頭隨用隨關，物業保潔保障廢水循環使用，保證清潔辦公環境的同時提高水資源利用率。

Consumption reduction: use office automation (OA) management system, implement electronic approval, printing, attendance, etc.; promote the digitalization of various businesses, advocate online meetings, and encourage e-mail communication; implement paperless office, double-sided paper as far as possible, and reasonable use of secondary paper; use 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。

Pollutant reduction 污染物減排

Formulate the Regulations on the Management of Official Vehicles to encourage the use of public transportation in daily operations, with official vehicles secured only in urban areas and in the province and neighboring provinces, reducing the frequency of official vehicles and reducing tailpipe emissions.

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。

Encourage employees to give priority to green and low-carbon travel modes such as public transportation, cycling and walking for daily commuting.

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。

Conduct procurement of environmentally friendly air-conditioners, strict regulations on the use of air-conditioning temperature standards, not less than 26 °C in summer and not more than 20 °C in winter, and regular cleaning and maintenance of air-conditioners to ensure the efficiency of refrigeration.

採購環保空調，嚴格規定空調溫度使用標準，夏季不低於 26 攝氏度，冬季不高于 20 攝氏度，定期對空調進行清理維護，保證製冷效率。

Waste disposal 廢棄物處置

Wastewater: Strictly comply with the relevant provisions of the Water Pollution Prevention and Control Law, and incorporate domestic wastewater into the municipal sewage pipe network and then send it to the urban 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污水處理廠處置。

Waste utilization: Adhering to the concepts of recycling and harmless disposal, different treatment methods are set up for different types of waste to ensure their proper disposal. For office garbage, garbage is classified and recycled, and property management units would remove and transport it; hazardous waste is entrusted to qualified units for recycling and disposal or reuse.

廢棄物利用：秉承循環利用和無害化處理理念，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，并由物業管理單位統一清運；有害廢棄物委托有資質的單位進行回收處置或再利用。

Waste reduction: Promote the “Clean Your Plate Campaign”, publicize garbage classification, and strengthen statistics on the amount of waste generated, reduce the amount of waste at source and keep the amount of non-hazardous and hazardous waste generated at a low level.

廢棄物減量：提倡“光盤行動”、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平。

Environmental performance goals 環境績效目標

Holly futures does not belong to a high pollution, high energy consumption or high emission enterprise, the Company has not yet formulated quantitative environmental performance targets. However, the Company always adheres to the concept of environmental protection, and actively sets qualitative environmental protection goals.

弘業期貨不屬於高能耗、高污染、高排放企業，因此公司并未制定量化的環境績效目標。但公司始終秉持環境保護理念，積極制定年度環境保護定性目標。

Reducing energy waste: implements water-saving, power-saving, and consumption reduction measures continuously, firmly establishes environmental awareness, and avoids energy and resource waste;

減少能源浪費：持續推行節水、節電、降耗措施，堅決樹立環保意識，避免能源資源浪費；

Reasonable disposal of waste: ensures the reasonable and compliant classification and disposal of waste, vigorously promote circular economy, and continuously reduce waste production;

廢棄物合理處置：保障廢棄物合理、合規分類與處置，大力推崇循環經濟，不斷減少廢棄物產量；

Environmental protection and compliance: ensures that wastewater, exhaust gas, noise and other emission sources are discharged in compliance with standards, and continuously maintains zero incidents of environmental pollution, non-compliance, and litigation.

環境保護與合規：確保廢水、廢氣、噪音等排放源合規達標排放，持續保持環境污染、環境不合規、環境訴訟等事件為 0。

(II) Responding to carbon peaking and carbon neutrality goals (二) 響應雙碳目標

With the social and economic development of mankind, a large amount of carbon dioxide (CO₂) and other greenhouse gases produced by fossil energy have exacerbated global climate change, and mankind is facing the great challenges of climate change and energy consumption. Holly Futures actively responds to the national “carbon peaking and carbon neutrality” goal and vision, continues to carry out energy saving and emission reduction training and publicity within the Company, and practices low-carbon concepts in various aspects such as water saving, electricity saving, and office supplies saving, etc. At the same time, Holly Futures actively identifies the climate risks and strengthens risk management, so as to fully grasp the challenges and opportunities brought about by the response to climate change.

隨著人類社會經濟發展，化石能源產生的大量二氧化碳（CO₂）等溫室氣體加劇了全球氣候的變化，人類正面臨氣候變化和能源消費的巨大挑戰。弘業期貨積極響應國家“雙碳”目標與願景，在公司內持續開展節能減排培訓與宣傳，在節水、節電、節約辦公用品等多方面踐行低碳理念，同時積極識別氣候風險并強化風險管理，充分把握應對氣候變化帶來的挑戰與機遇。

1 Identifying climate risks 識別氣候風險

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

弘業期貨根據氣候相關財務信息披露工作組（Task Force on Climate-related Financial Disclosures, TCFD）框架，識別並披露應對氣候風險和把握氣候機遇方面的方針與行動。公司按照 TCFD 氣候風險披露框架，對氣候變化在短期（1-2年）、中期（3-5年）、中長期（6-9年）和長期（10年及以上）等不同時間尺度可能對自身業務板塊產生的影響進行了識別。

Climate risk identification matrix 氣候風險識別矩陣

Type of risk/opportunity 風險 / 機遇类型	Description of the risk/opportunity 風險 / 機遇描述	Time horizon 時間維度	Intensity of impact 影響強度	Business sectors involved 涉及業務板塊
Policy and legal risks 政策及法律風險	With the introduction of relevant policies such as carbon neutrality and green finance, the market demand for climate-friendly products or services may lead to market risks for the businesses of the Company and its customers if they fail to meet such expectations. 隨著碳中和、綠色金融等相關政策的出台引發市場對氣候友好型產品或服務的需求，導致公司及公司客戶業務因未滿足此期待而面臨市場風險。	Long 長期	High 高	The Company 全公司

Type of risk/opportunity 風險 / 機遇类型	Description of the risk/opportunity 風險 / 機遇描述	Time horizon 時間維度	Intensity of impact 影響強度	Business sectors involved 涉及業務板塊
Acute physical risks 急性物理風險	Extreme weather or natural disasters such as cyclones, heat waves, earthquakes, etc. caused by climate change may affect the normal operation of the Company's futures branches, which will in turn affect the Company's business. 氣候變化導致的颱風、熱浪、地震等極端天氣或自然災害可能影響公司營業部正常運營，進而影響公司業務。	Long 長期	Low 低	The Company 全公司
Chronic physical risks 慢性物理風險	The headquarters of the Company is located in Nanjing which is at a low altitude above sea level and may face the risk of floods caused by rising sea levels. The continuous increase in high temperature and precipitation may also lead to mosquito breeding, thereby increasing the risk of mosquito-borne diseases. 公司總部位於南京，海拔較低，可能面臨海平面上升導致的水災風險，持續高溫氣溫上升及降水增加亦導致蚊子繁殖，從而增加蚊傳疾病傳播的風險。	Long 長期	Low 低	The Company 全公司
Market and Technology Risks 市場及技術風險	Due to the more stringent emission reduction policies launched by the government, the Group will need green energy with less emissions to replace the existing high emission energy, which may add costs for energy transformation. 因政府出台更嚴謹的減排政策，本集團需較低排放的綠色能源替代現有高排放能源，從增加了能源轉型的成本。	Medium and long 中長期	Medium 中	The Company 全公司
Reputation Risks 聲譽風險	Regarding the regulatory mandated disclosure of climaterelated financial information, a lack of historical data and accurate calculating methods may affect the quality of disclosure. 監管強制披露氣候相關財務信息，缺乏歷史數據與精準核算方法，影響披露質量。	Short 短期	Low 低	The Company 全公司
Market opportunities 市場機遇低	Amid a low-carbon economy, the market expects the development of green futures products, which is positive to the expansion of future income and increase in the types of products and services. 低碳經濟背景下，市場期待開發綠色期貨產品，有利於擴展未來收入空間，豐富產品和服務類型。	Long 長期	High 高	The Company 全公司

2 Climate risk management
氣候風險管理

In response to the risk of climate change, the Company dynamically identifies domestic and foreign climate-related policies and regulations, provides early warning of extreme weather and climate events, and regularly conducts emergency drills and training for natural disasters. In construction projects, we give priority to climate resilient infrastructure, such as seismic design, wind protection design, lightning protection design, flood protection design, fire protection design, etc.

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

Our risk management process:
我們的風險管理流程：

為應對氣候變化風險，公司動態識別國內外氣候相關的政策法規，對極端天氣和氣候事件進行預警，定期開展自然災害事故應急演練和培訓。在建築工程上，我們優先選用氣候韌性基礎設施，如抗震設計、防風設計、防雷設計、防洪設計、防火設計等。

弘業期貨將氣候變化相關風險融入整體風險管理文化。



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

本公司在當前風險管理中與氣候變化相關的風險管理示例

Operation

Maintaining continuous operation and reliable services under frequent occurrence of extreme weather; carrying out online services in multi-channels and multi-models to ensure that customers can complete transactions and process business transactions without leaving home.

運營

在頻繁發生極端天氣的情況下持續運營，提供可靠服務；多渠道、多方式開展線上服務，保障客戶足不出戶完成交易和業務辦理。

Environmental health and safety

Conducting regular emergency drills to familiar with health and safety incidents due to climate change (e.g., flood and storm).

環境健康安全

定期開展應急演練，以熟練應對氣候變化（如洪水、風暴）引起的健康安全衛生事件。

Strategy

Adapting to gradually tightened emission policy.

戰略

適應逐漸收緊的排放政策。

Legal and compliance

Identifying of legal and policy changes related to climate change.

法律與合規

識別與氣候變化相關的法律政策變化。

Reputation

Meeting the expectations of customers and stakeholders for low greenhouse gas emissions, low triple waste emissions, etc.

聲譽

滿足客戶和持份者對低溫室氣體排放、低三廢排放等預期。

Financial

Identifying the potential financial impact of the climate risks on the Company, e.g., the impact of climate-related policy on energy prices.

財務

識別氣候風險對公司帶來的潛在財務影響，如氣候政策對能源價格的影響。

3 Indicators and targets 指標及目標

The Company's greenhouse gas emissions consist of both direct greenhouse gas emissions and indirect greenhouse gas emissions, with direct emissions being primarily carbon dioxide emissions from the combustion of fossil fuels in automobiles, and indirect greenhouse gas emissions being primarily carbon dioxide emissions from purchased electricity.

公司溫室氣體排放包括直接溫室氣體排放與間接溫室氣體排放兩部分，直接排放主要是汽車化石燃料燃燒產生的二氧化碳排放，間接溫室氣體則主要是外購電力產生的二氧化碳排放。

The greenhouse gas emissions of Holly Futures in the past three years are shown in the table below, with the total greenhouse gas emissions and per capita emissions decreasing year by year.

近三年弘業期貨溫室氣體排放情況如下表所示，溫室氣體排放總量與人均排放量逐年下降。

Greenhouse gas emission 溫室氣體排放	Unit 單位	2023	2022	2021
Direct greenhouse gas emissions (Scope 1) 直接溫室氣體排放 (範圍一)	CO ₂ e tons 噸二氧化碳當量	44.77	36.30	43.63
Indirect greenhouse gas emissions (Scope 2) 間接溫室氣體排放 (範圍二)	CO ₂ e tons 噸二氧化碳當量	540.60	551.20	695.43
Total greenhouse gas emissions 溫室氣體排放總量	CO ₂ e tons 噸二氧化碳當量	585.36	587.50	739.06
Per capita emissions of greenhouse gases 溫室氣體人均排放量	CO ₂ e tons/person 噸二氧化碳當量 / 人	1.97	2.01	2.21

Note 1: [Caliber of statistics] During the reporting period, the statistical caliber of the key environmental data indicators was the headquarters of Holly Futures, which accounted for 43.61% of the overall office headcount.

注 1: 【統計口徑】報告期內，關鍵環境數據指標的統計口徑為弘業期貨總部，占整體辦公人數的 43.61%。

Note 2: [Calculation method] The scope of GHG emissions accounting is the direct GHG emissions from gasoline consumption of owned vehicles and indirect GHG emissions from purchased electricity, calculated with reference to the HKEX's How to Prepare an Environmental, Social and Governance Report Appendix II: Guidelines for Reporting on Environmental Key Performance Indicators (March 2022), as well as the national grid emission factors of the Ministry of Ecology and Environment's Notice on the Management of Greenhouse Gas Emission Reporting by Enterprises of the Electricity Generation Sector in the Years 2023-2025.

注 2: 【計算方式】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，計算方法參考香港聯交所《如何編備環境、社會及管治報告 附錄二：環境關鍵績效指標彙報指引》(2022 年 3 月)、生態環境部《關於做好 2023—2025 年發電行業企業溫室氣體排放報告管理有關工作的通知》的全國電網排放因子。

The Company supports the dual carbon goals of China of achieving carbon peaking by 2030 and carbon neutrality by 2060. In the future, the Company will set more detailed GHG emission targets after checking the Group's overall GHG emissions.

公司支持國家雙碳目標，在 2030 年前實現碳達峰，2060 年前實現碳中和，未來在對公司整體溫室氣體排放情況進行盤查後，我們將制定更詳細的溫室氣體排放目標。

(III) Enhancing green finance (三) 強化綠色金融

Vigorously developing green finance is the call of the times and an inevitable choice to promote China's economic and social development with high quality and low carbon, and is also an important bridge to realize the transition of "green mountains and clear water are our invaluable assets". The company actively responds to the strategic deployment of the transformation and development of the real economy under the goal of "carbon peaking and carbon neutrality", and strives to explore the paths and methods of green financial empowerment of social governance.

大力發展綠色金融是推動中國經濟社會高質量低碳發展的時代召喚和必然選擇，也是實現從“綠水青山”到“金山銀山”的重要橋梁，公司積極響應“雙碳”目標下實體經濟轉型發展的戰略部署，努力探索綠色金融賦能社會治理的路徑和方法。

CASE 案例

Establish the nation's first carbon futures research center 成立全國首個碳期貨研究中心

Holly Futures and Sino Research Institute of Green Finance (SRIGF) jointly established the first carbon futures research center in China, giving full play to the resource advantages of Holly Futures in the futures field, as well as the professional, brand and market advantages of SRIGF in the carbon field, fully integrating and empowering each other to strengthen the development of domestic and international carbon futures, research on carbon futures product market, accelerating the research and development and layout of green and low-carbon derivatives, and jointly promoting the development of the financial derivatives business under the background of green finance.

弘業期貨與中研綠色金融研究院聯合成立了全國首個碳期貨研究中心，充分發揮弘業期貨在期貨領域的資源優勢，以及中研綠金院在碳領域中的專業、品牌和市場優勢，充分整合、相互賦能，強化國內外碳期貨發展、碳期貨產品市場的研究，加快綠色低碳衍生品的研發和布局，共同推動綠色金融背景下的金融衍生品業務的發展。



Carbon futures research center launched
碳期貨研究中心挂牌

4

Trust and Win-win, Optimize Customer Services

信賴共贏 優化客戶服務

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



Holly Futures has always been adhering to the service concepts of compliance, integrity, professionalism and soundness, with the purpose of maximizing the interests of customers and providing high-quality services, constantly improving the level of corporate management and services, strengthening the integration of Internet financial services and investment and research, constantly optimizing the customer service process specifications, properly responding to customer complaints, and achieving a win-win situation in terms of trust.

弘業期貨始終秉持合規、誠信、專業、穩健的服務理念，以維護客戶利益最大化、提供高質量服務為宗旨，不斷提升企業管理與服務水平，加強互聯網金融服務與投研一體化建設，不斷優化客戶服務流程規範，妥善應對客戶投訴，實現信賴共贏。

(I) Protection of clients' rights and interests

(一) 保障客戶權益

Holly Futures follows the requirements of various national policies, strictly follows the Futures Trading Management Regulations, the Measures for Supervision and Management of Future Companies, Administrative Measures for the Closed Management of Customer Margins for Futures Companies and other administrative regulations, maintains the order of the financial market, always regulates the behavior of financial institutions, strengthens the protection of customers' rights and interests, and safeguards the safety of customers' funds.

1 Maintain customer information security 維護客戶信息安全

In strict accordance with the Network Security Law of the People's Republic of China, Personal Information Protection Law of the People's Republic of China and other relevant laws and regulations, the Company has formulated the Information Technology Management Regulation, the Information Security Management Regulation, the Network and Information Security Incidents Emergency Response Plan, and the Measures for Data Backup and Media Management and other internal management systems to protect the information security and legitimate rights of our customers.

The Company continuously improves the information protection awareness of its employees and reduces the risk of information leakage by actively carrying out information protection and network security training covering the entire staff of the Company. The Company strictly manages the access of staff to the server room and the operating system, and strictly manages the operational authority of staff to query and use data, with the Chief Risk Officer carrying out the authority approval process, thereby ensuring data security.

CASE 案例

Holly Futures carries out training on network security protection 弘業期貨網絡安全防護培訓工作

On March 13, Holly Futures organized and carried out a training on "Doing a good job in preventing network security risks to improve network security awareness". Taking into account the actual production of the Company, the invited experts gave a detailed explanation on common problems such as weak computer passwords and computer viruses, analyzed the causes and hazards of these problems in a vivid and detailed manner with actual cases, and conveyed the idea of "No trivial matter in network security" to the participants, and put forward the methods of coping with common problems. At the end of the training, the effect of the training was consolidated through on-site answers and interactions. Through this training, the staff's awareness and skills of network security prevention were enhanced, and the significance of network security was more deeply understood.

弘業期貨緊跟國家各項政策要求，嚴格依照《期貨交易管理條例》《期貨公司監督管理辦法》《期貨公司保證金封閉管理辦法》等管理條例，維護金融市場秩序，始終規範金融機構行爲，加強客戶權益保障，維護客戶資金安全。

公司嚴格依照《中華人民共和國網絡安全法》《中華人民共和國信息保護法》等相關法律法規，通過制定《信息技術管理制度》《信息安全管理制度》《網絡與信息安全事件應急預案》《數據管理制度》《數據備份與介質管理辦法》等內部管理制度，保護客戶的信息安全及其合法權益。

弘業期貨積極開展覆蓋公司全員的信息保護與網絡安全培訓等措施，不斷提高公司員工的信息保護意識，降低信息泄露風險。公司嚴格管理人員進入機房和操作系統，嚴格管理員工查詢和使用數據的操作權限，由首席風險官執行權限審批流程，保障數據安全。

3月13日，弘業期貨組織開展了“做好防範網絡安全風險，提高網絡安全意識”的培訓。受邀專家結合公司生產實際，就計算機弱口令、計算機病毒等常見問題展開了詳細的講解，以實際案例生動細緻地分析了這些問題產生的原因、造成的危害等，向參訓人員傳遞了“網絡安全無小事”的思想理念，並提出了常見問題的應對方法，最後通過現場解答互動的方式對培訓效果進行了鞏固。通過此次培訓，提升了員工們的網絡安全防範意識和技能，使大家對網絡安全的重要意義有了更深入的認識。



Network security training
網絡安全培訓

2 Responsible marketing 負責任營銷

The Company adheres to the customer-centered business development model, and strictly follows the Law of the People's Republic of China on the Protection of Consumers' Rights and Interests, Guiding Opinions of the Office of the State Council on Strengthening the Protection of Financial Consumers' Rights and Interests and other relevant legal requirements to ensure the authenticity of the contents of the marketing publicity. The Company strictly implements the Administrative Measures for the Closed Management of Customer Margins for Futures Companies and other relevant documents internally, and establishes risk assessment guidelines for various financial products in response to marketing and publicity. On the basis of fully evaluating the risk level of the products, the Company explicitly reveals the transaction risks to the clients, evaluates the clients' risk-bearing ability, and ensures that the risks of the products are matched with the risk-bearing registrations of the clients.

公司堅持以客戶爲中心的業務發展模式，嚴格按照《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》等相關法律要求，保障對營銷宣傳內容的真實性。公司內部嚴格執行《弘業期貨股份有限公司保證金管理制度》等相關文件，針對營銷宣傳，建立各類金融產品風險評估方針，在充分評估產品風險等級的基礎上，明確向客戶揭示交易風險，評估客戶風險承受能力，保證產品風險與客戶風險承受登記相匹配。

3 Protection of intellectual property rights 知識產權保護

The Company strictly complies with the Patent law of the People's Republic of China, Trademark Law of the People's Republic of China, Copyright Law of the People's Republic of China and other policies and regulations, and effectively strengthens the management of intellectual property rights, ensures that the product promotion complies with relevant regulations, and strictly uses authorized software within the scope of the contract, guarantees that it does not infringe on the intellectual property rights of other people's trademarks, domain names, patents, works and other intellectual property rights, and to guard against infringement risks. During the reporting period, the Company did not have any intellectual property infringement cases.

公司嚴格遵守《中華人民共和國專利法》《中華人民共和國商標法》《中華人民共和國著作權法》等政策法規，切實加強知識產權管理，保證產品推介與宣傳均符合相關規定，在合同約定範圍內嚴格使用經授權的軟件與產品，絕不侵犯他人商標、域名、專利、作品等知識產權，防範侵權風險。報告期內，公司未發生任何知識產權侵犯案件。

(II) Providing high quality services (二) 提供高質量服務

Holly Futures continuously strengthens the construction of an intelligent customer service system, always adheres to the strategy of “Holly Technology”, further meets the diversified, convenient and customized service needs of customers, opens up customer communication and feedback channels, and is committed to providing customers with high-quality services.

弘業期貨不斷加強智能化客戶服務體系建設，始終堅持推行“科技弘業”戰略，進一步滿足客戶多樣化、便捷化和定制化的服務需求，暢通客戶溝通反饋渠道，致力於為客戶提供高質量服務。

1 Enhancing digital intelligence services 提升數智化服務

Holly Futures continues to promote digital transformation and the construction of intelligent platforms. While continuously upgrading and optimizing the “Holly Easy” (弘運通) APP, Holly Futures has developed “Holly Futures Mini Program” and “Holly Futures APP”, and successively establish a cloud service system with the dual pivot of “APP+New Media”. By building a new media matrix online, the Company provides customers with various types of information such as morning and evening reviews, variety research reports, trading strategies, etc. It also releases various types of announcements such as margin rates and transaction delivery in a timely manner, so as to ensure that customers’ investment information keeps up with the current situation and provide reference for customers’ positions. Keeping up with the wave of new media and digital development, the Company has actively laid out a new media matrix and vigorously carried out online columns such as “Holly Finance”, “Digital Reading” and “Sound and Color”. In the future, the Company will follow the development trend of digital media, and try to provide clients with richer content and more diversified forms in new media publicity by means of external cooperation with AIGC.

弘業期貨不斷推進數字化轉型，推動智能平臺建設，在持續升級優化“弘運通”應用APP的同時，陸續開發了“弘業期貨小程序”和“弘業期貨APP”，建立“APP+新媒體”雙支點的雲服務體系。通過在線上打造新媒體矩陣，為客戶提供各類早晚評、品種研報、交易策略等各類資訊，及時發布保證金率、交易交割等各類公告，保障客戶投資資訊緊跟時態，為客戶持倉提供參考。緊跟新媒體與數字化發展浪潮，積極布局新媒體矩陣，大力開展《弘觀財經》《數讀黑金》《有聲有色》等線上欄目。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。



Holly Futures APP
弘業期貨 APP

2 Properly handle customer complaints 妥善應對客戶投訴

The Company has seriously done a good job in tracking customer demands and complaints, constructed an efficient and perfect complaint management mechanism, issued the Customer Complaint Handling Regulations, and formed a customer complaint handling mechanism linking the head office and various business departments by clarifying the responsible departments and persons and optimizing the process of complaint handling, so as to ensure that customer demands are responded to in a timely and effective manner, and to continually improve the efficiency of customer service and enhance the experience of customers.

公司認真做好客戶需求與投訴追蹤工作，構建了高效完善的投訴管理機制，出臺了《客戶投訴處理辦法》，通過明確責任部門與責任人、優化投訴處理流程，形成了總部與各業務部門聯動的客戶投訴處理機制，確保客戶的訴求得到及時、有效的回應，不斷提升客戶服務效率，提升客戶體驗。

During the reporting period, a total of 11 complaints were received from customers of business operations, with a 100% complaint handling rate, all of which were fed back to the regulators with the results.

報告期內，共受理營業業務客戶投訴 11 宗，投訴處理率 100%，均反饋結果至監管機構。

Customer complaint channels of Holly Futures

- Complaint telephone number: 4008281288-8
- Complaint email: 4008281288@ftol.com.cn
- Address: 17/F, Building A4, Financial City II, No. 399 Jiang Dong Zhong Road, Jianye District, Nanjing, Jiangsu Province
- Complaint telephone number of Jiangsu Securities Bureau: (025)84575515

弘業期貨客戶投訴渠道：

- 投訴電話：4008281288-8
- 投訴郵箱：4008281288@ftol.com.cn
- 信訪地址：江蘇省南京市建鄴區江東中路 399 號金融城二期 A4 幢 17 樓
- 江蘇證監局進行投訴電話：(025)84575515

(III) Investor education and protection

(三) 投資者教育與保護

Holly Futures has always adhered to the development path centered on “investor education and investor protection”, assumed the mission of financial services for the people, actively implemented investor education, guided investors to establish a correct investment philosophy, and promoted the stable development of the capital market. The Company adheres to a responsible attitude towards investors, focuses on the protection of investors’ rights and interests, and raises investors’ awareness of risk prevention and protects their information security through multiple channels, aspects and angles.

弘業期貨始終堅持以“投資者教育和投資者保護”為核心的發展之路，勇擔金融為民使命，積極落實投資者教育，引導投資者樹立正確投資理念，促進資本市場穩定發展。公司秉持對投資者負責任的態度，以投資者權益保障為中心，多渠道、多方面、多角度提高投資者的風險防範意識，保護投資者信息安全。

1 Investor education 投資者教育

During the reporting period, the Company carried out a series of investment education and market cultivation activities under the theme of “Commodities - Industry Tour”. Starting from September, the Company continued to carry out various specialized trainings and visits and research activities, including “one-on-one” industrial training by the Dalian Commodity Exchange. In fully utilizing the market cultivation resources of the trinity of “Exchange Policy + Industry Association + Leading Enterprises”, and taking the implementation plan of the “Market Cultivation Special Work” issued by the Exchange as a handhold, the Company effectively did a good job in developing and maintaining industrial customers. The Company gives full play to the role of Holly - Hohai Investor Education Base and does a good job in the operation and maintenance of the base. The Company carries out large-scale special investor education activities at important time nodes such as 3.15, 5.15, World Investor Week and the end of the year.

報告期內，公司開展了以“大宗商品·產業行”為主題的系列投教和市場培育活動。從9月份起，持續開展了包括大商所“一對一”產業培訓在內的各種專項培訓和走訪調研活動。在充分運用“交易所政策+行業協會+龍頭企業”三位一體的市場培育資源，以交易所發布的“市場培育專項工作”實施方案為抓手，切實做好產業客戶的開發維護。公司充分發揮弘業-河海投教基地的作用，做好基地的運維工作。在3.15、5.15、世界投資者周、歲末年終等各重要時間節點，開展大型專項投教活動。

CASE 案例

Holly Futures - Hohai University Business School Investor Education Base launching ceremony successfully held in Changzhou

弘業期貨-河海大學商學院投資者教育基地啓動儀式在常州成功舉辦

On June 6, 2023, Holly Futures and the Business School of Hohai University successfully held the launch ceremony for the joint construction of “Holly Futures - Hohai University Business School Investor Education Base” in Changzhou, as well as high-level “vision and win-win” - macro-economic situation and crude oil special seminar. Representatives of both parties signed a memorandum of cooperation to jointly build the “Holly Futures - Hohai University Business School Investor Education Base”, striving to make the base a new platform for investor education based on universities and radiating to the society.

2023年6月6日，弘業期貨與河海大學商學院在常州成功舉辦“弘業期貨—河海大學商學院投資者教育基地”共建啓動儀式暨高瞻“源”矚·共進共贏—宏觀經濟形勢暨原油專題研討會。雙方代表簽署共建“弘業期貨-河海大學商學院投資者教育基地”合作備忘錄，力爭將基地打造成一個立足高校、輻射社會的投教新平臺。



Holly Futures - Hohai University Business School Investor Education Base
弘業期貨-河海大學商學院投資者教育基地

2 Investor protection 投資者保護

In accordance with 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, actively improved the assessment of the risk classification of products and refined the classification of investors, and strengthened its social responsibility for the protection of small and medium-sized investors’ interests.

弘業期貨依照《國務院辦公廳關於進一步加強資本市場中小投資者合法權益保護工作的意見》等相關要求，公司制定并堅持落實《證券期貨投資者適當性管理辦法》，嚴格規範投資者開戶業務流程，積極完善產品風險分類評估、細化投資者分類，強化對中小投資者利益保護的社會責任。

Key measures / 主要措施

- 1 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;
- 2 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;
- 3 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.

在各類線上平臺發布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，通過正規渠道瞭解期貨，遠離非法期貨；

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；

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。

5

Empowering Talents, Helping Staff Development

賦能于人 助力員工成長

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



As the driving force of corporate development, the growth and progress of employees is one of the most important concerns of Holly Futures. We have always adhered to the people-oriented development concept, and constantly provide our employees with opportunities for learning, communication and growth, safeguard their rights and interests, and escort their career development.

作為企業發展的源動力，員工的成長與進步是弘業期貨最為關注的事項之一。我們始終堅持以人為本的發展理念，不斷為員工提供學習、交流與成長的機會，維護員工權益，為員工的職業發展保駕護航。

(I) Diverse and equal employment (一) 多元化與平等僱傭

Holly Futures always adheres to the belief of diverse and equal employment, strictly abides by national laws and regulations, revises and issues the Recruitment Management Measures of Holly Futures Co., Ltd. (Trial), recruits talents from the society, and provides equal employment opportunities to the majority of workers.

弘業期貨始終秉持多元化與平等僱傭的信念，嚴格遵守國家法律法規，重新修訂并印發《弘業期貨股份有限公司招聘錄用管理辦法（試行）》，面向社會廣納賢才，向廣大勞動者提供平等的就業機會。

1 Equal employment 平等招聘

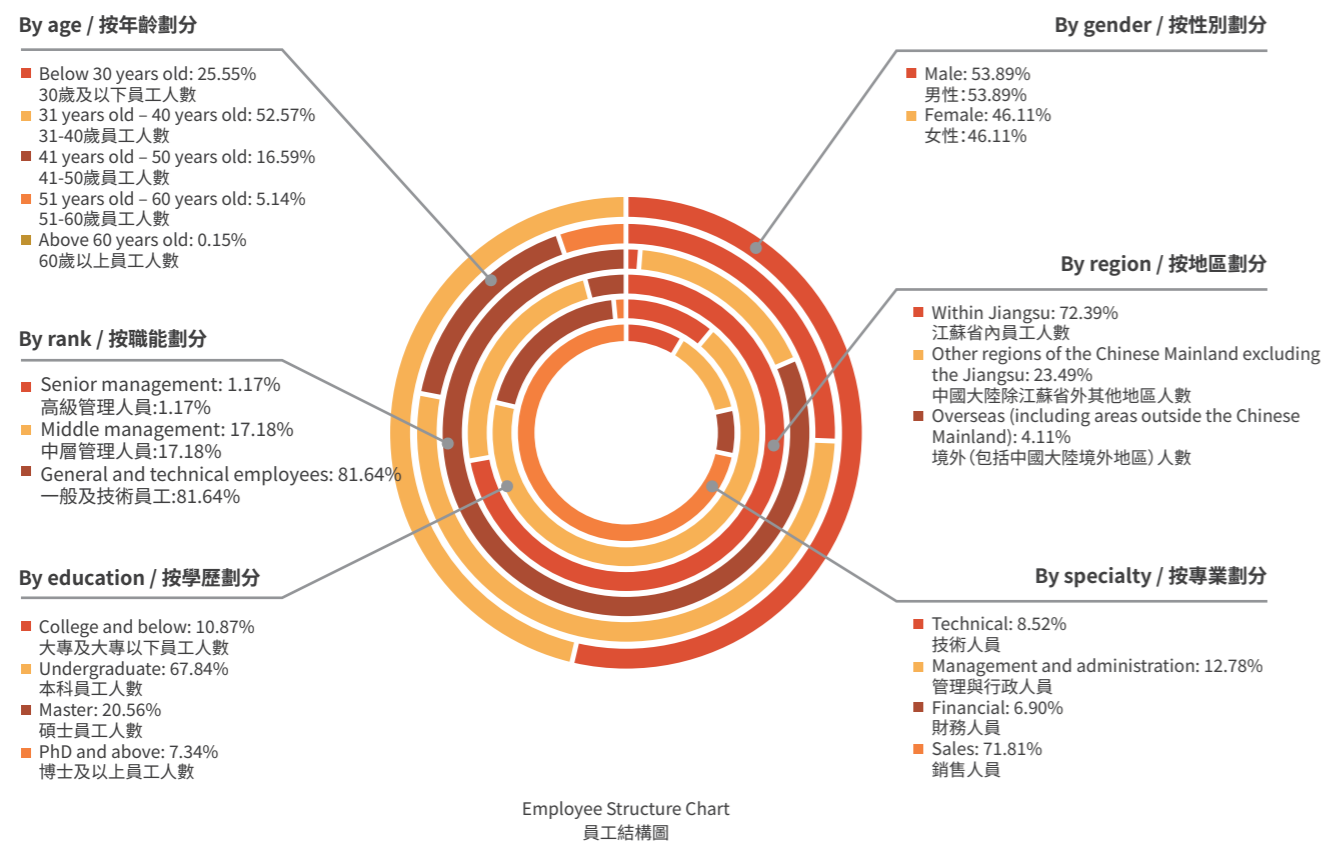
The Company adheres to the employment criteria of both integrity and talent, continues to broaden the channels for talent introduction, optimizes the recruitment process, follows the principle of “openness, fairness, equality, and merit”, and fully discloses the recruitment conditions to ensure that the recruitment process is fair and transparent.

公司堅持德才兼備的用人標準，持續拓寬人才引進渠道，優化招聘流程，遵循“公開、公正、平等、擇優”的原則，全面公開招錄條件，保障招聘過程公平、透明。

2 Diversified development 多元發展

As of December 31, 2023, the total number of employees of the Company was 681, all of them are contract employees, of which 314 were female employees, accounting for 46%, and 367 were male employees.

截至 2023 年 12 月 31 日，本公司在職員工總數為 681 人，均為合同制員工。其中女性員工為 314 人，占比 46%，男性員工為 367 人。



Total workforce are as follows:

員工結構數據表如下所示:

Type 類別	Details 具體內容	Unit 單位	2023
Employees 員工	Total number of employees 員工總數	Person 人	681
	Number of new employees recruited in the year 年度新招聘員工數	Person 人	109
Employees - by form of employment 員工 - 按用工形式劃分	Contract employees 合同制員工	Person 人	681
	Other 其他	Person 人	0
Employees - by gender 員工 - 按性別劃分	Male 男性員工人數	Person 人	367
	Female 女性員工人數	Person 人	314
Employees - by age 員工 - 按年齡劃分	Below 30 years old 30歲及以下員工人數	Person 人	174
	31 years old - 40 years old 31-40歲員工人數	Person 人	358
	41 years old - 50 years old 41-50歲員工人數	Person 人	113
	51 years old - 60 years old 51-60歲員工人數	Person 人	35
	Above 60 years old 60歲以上員工人數	Person 人	1
Employees - by rank 員工 - 按職能劃分	Senior management 高級管理人員	Person 人	8
	Middle management 中層管理人員	Person 人	117
	General and technical employees 一般及技術員工	Person 人	556
Employees - by region 員工 - 按地區劃分	Within Jiangsu 江蘇省內員工人數	Person 人	493
	Other regions of the Chinese Mainland excluding the Jiangsu 中國大陸除江蘇省外其他地區人數	Person 人	160
	Overseas (including areas outside the Chinese Mainland) 境外(包括中國大陸境外地區) 人數	Person 人	28
Employees - 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	74
	Undergraduate 本科員工人數	Person 人	462
	Master 碩士員工人數	Person 人	140
	PhD and above 博士及以上員工人數	Person 人	5
Employees - by ethnicity 員工 - 按民族劃分	National minority 少數民族員工人數	Person 人	8
Employees - by specialty 員工 - 按專業劃分	Technical 技術人員	Person 人	58
	Management and administration 管理與行政人員	Person 人	87
	Financial 財務人員	Person 人	47
	Sales 銷售人員	Person 人	489

Note 1: [Caliber of statistics] 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.

注 1: 【統計口径】報告期內，高級管理人員數據以人力資源部統計口径為準，區別於年報口径。

(II) Protection of employees' rights and interests (二) 保障員工權益

Holly Futures strictly abides by the Labor Law of the PRC, the Labor Contract Law of the PRC, the Employment Promotion Law of the PRC, the Protection of Minors of the PRC, and the Provisions on Prohibition of Child Labor, and other relevant laws and regulations, and adheres to compliance with the law in the operation of the business and standardization of the employment management, verifies employee identity during the employment process, and strictly prohibits forced employment of labor and child labor.

弘業期貨嚴格遵守《中華人民共和國勞動法》《中華人民共和國勞動合同法》《中華人民共和國就業促進法》《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，堅持依法合規經營，規範用工管理，在聘用過程中對員工身份進行核實，嚴禁強制聘用勞工及童工。

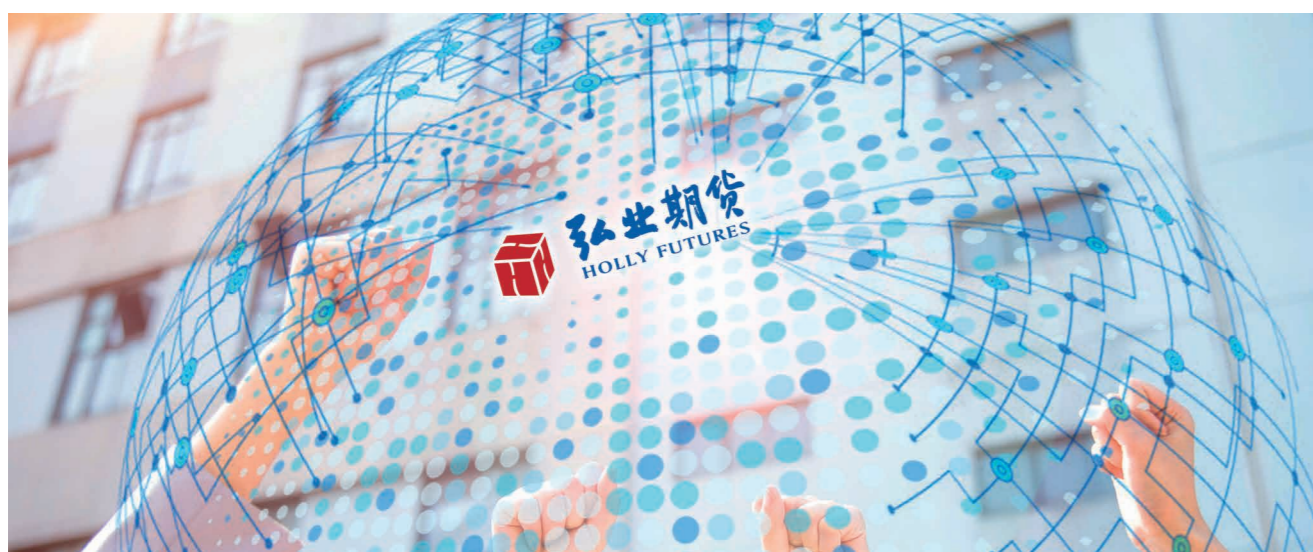
1 Employees' rights and interests 員工權益

Holly Futures is committed to establishing a good employment relationship with its employees and effectively safeguarding their legitimate rights and interests. All employees in the company are contractual employees, with a 100% labor contract signing rate and a 100% social insurance coverage rate during the reporting period, and a strict implementation of the legal holidays and vacation system, without any violations of child labor and forced labor.

弘業期貨致力於與員工建立良好的僱傭關係，切實保障員工合法權益，公司內所有員工均為合同制員工，報告期內勞動合同簽訂率 100%，社會保險覆蓋率 100%，嚴格執行法定節假日與休假制度，未發生任何僱傭童工及強制勞工方面的違規事件。

In March 2023, the Company further improved the content of the Employee Handbook and issued the Employee Handbook of Holly Futures Co., Ltd. (Revised), which clearly stipulates the forms of leave such as personal leave, sick leave, maternity leave and breastfeeding leave, and also makes relevant provisions on the number of hours of work, termination of employment and separation, and treatment and benefits, etc., to safeguard the rights and interests of the employees in accordance with the law. The Company adheres to the policy of equal employment and equal pay for equal work, guarantees equality in employment, and promotes the diversity of employees in terms of gender, age, and professional background.

2023年3月，公司進一步完善員工手冊內容，印發《弘業期貨股份有限公司員工手冊（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。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。



2 Employee communication 員工溝通

In order to effectively safeguard the legitimate rights and interests of employees in exercising democratic rights, participating in business decision-making and practicing democratic management, the Company has set up the "Reform and Innovation Suggestion Box" as an important channel for direct communication between grassroots employees and the senior management, so as to encourage the employees to actively advise and jointly supervise the development of business and internal management. In accordance with the principle of time-bound completion, the Company provides timely feedback and processing of the more centralized problems. At the same time, employees can also participate in business management meetings through the employee representative assembly system to consider systems and methods that involve the practical interests of employees.

為有效保障員工行使民主權利、參與經營決策、實行民主管理的合法權益，公司開設了“改革創新建議箱”作為基層員工與高級管理層直接溝通的重要渠道，以鼓勵員工對業務發展和內部管理積極諫言、共同監督。根據限時辦結原則，公司對反映較為集中的問題進行及時地反饋和處理。同時，員工還可以通過職工代表大會制度參與業務經營會議，審議涉及職工切實利益的制度和辦法。

Holly Futures always pays attention to employee management issues, focuses on interviews and communication with dismission employees, learns more about the internal and external factors of employee dismissions and actively improves them, and continuously improves employee satisfaction to ensure that there is no loss of talents to the maximum extent possible. During the reporting period, the employee turnover rate of the Company was 10.57%, and the calculation table of the employee turnover rate by gender, age and region is shown below:

弘業期貨始終關注員工管理問題，注重與離職員工的面談與溝通，更多瞭解員工離職的內外部因素并積極改進，不斷提升員工滿意度，最大限度地保證人才不流失。報告期內，公司員工流失率為 10.57%，按性別、年齡、地域劃分的員工流失率計算表如下所示：

Type 類別	Details 具體內容	Unit 單位	2023
Employee turnover rate 員工流失率	/	%	10.57
Employee turnover rate - by gender 員工流失率 - 按性別劃分	Male 男性員工流失比例	%	11.44
	Female 女性員工流失比例	%	9.55
Employee turnover rate - by age 員工流失率 - 按年齡劃分	Below 30 years old 30歲及以下員工流失比例	%	16.67
	31 years old-40 years old 31-40歲員工流失比例	%	8.94
	41 years old-50 years old 41-50歲員工流失比例	%	6.19
	51 years old-60 years old 51-60歲員工流失比例	%	8.57
	Above 60 years old 60歲以上員工流失比例	%	100.00
Employee turnover rate - by region 員工流失率 - 按地區劃分	Within Jiangsu 江蘇省內員工流失比例	%	8.32
	Other regions of Chinese Mainland excluding Jiangsu 中國大陸除江蘇省外其他地區流失比例	%	19.38
	Overseas (including areas outside Chinese Mainland) 境外（包括中國大陸境外地區）流失比例	%	0.00

(III) Empowerment of employees' development (三) 賦能員工發展

Through a scientific talent training system, Holly Futures carries out talent training in the areas of skill enhancement, business innovation, comprehensive management, compliance, safety and stability, etc., creating a multi-dimensional training platform that is hierarchical, developmental, and professional.

弘業期貨通過科學的人才培養體系，在技能提升、業務創新、綜合管理、合規展業、安全維穩等方面開展人才培訓工作，打造分層次、促發展、強專業的多維度育人平臺。

1 Strengthening talent attraction and training 加強人才引培

The Company has strengthened school-enterprise cooperation and signed cooperation agreements with Hohai University and Nanjing Audit University. It also vigorously carries out internal competition and recruitment, regularizes the competition for middle management positions, insists on the selection of young business backbones to take up middle management positions regardless of seniority but only ability. The Company strengthens the introduction of high-end talents, introducing 12 people with master's degree and above, 11 people from the top 100 of the global QS and 11 people from domestic 985 and 211 double first-class colleges and universities in the whole year. Relying on the national post-doctoral workstations, it introduces 1 person each with a PhD and a trainee PhD. The Company also implements the tenure system and contractual management for members of the managerial team; organizes the declaration of titles for middle-level and above personnel, formulates a three-year action plan for professional qualifications, and establishes a tracking mechanism for professional talent training; promotes and appoints 8 middle-level cadres, and makes rotational arrangements for the heads of 5 branches.

公司加強校企合作，與河海大學、南京審計大學簽訂合作協議。大力開展公司內部競聘，中層管理崗位競聘工作常態化，堅持不唯資歷唯能力，選拔年輕業務骨幹走上中層管理崗位。加強高端人才引進，全年引進碩士研究生及以上 12 人，全球 QS 前 100、國內 985、211 雙一流院校 11 人。依托國家級博士後工作站，引進博士、實習博士各 1 人。推行經理層成員任期制和契約化管理。組織中層及以上人員申報職稱，制定職業資格三年行動計劃，建立專業性人才培養跟踪機制。提拔、任用 8 名中層幹部，對 5 家分支機構負責人做出輪崗安排。



2 Conducting training and education 開展培訓教育

In order to further optimize the system of nurturing and retaining employees, the Company continues to do a good job of staff training and education, and constantly broaden the coverage of training. For different positions, the Company carried out 164 professional training and business skills training to effectively improve the level of professional knowledge of employees.

為了進一步優化育人留人體系，公司持續做好員工培訓教育，不斷拓寬培訓覆蓋面，針對不同崗位開展專業培訓、業務技能培訓 164 場，切實提高員工專業知識水平。

In 2023, the Company invested a total of RMB 167,800 in training expenses, with 100% overall training coverage. The number of hours of training per employee was 21.1 hours, which adequately improved the comprehensive ability and performance of employees in leadership, management and professionalism.

2023 年，公司累計投入培訓費用人民幣 16.78 萬元，公司整體培訓覆蓋率為 100%，員工人均受訓小時數為 21.1 小時，充分提高了員工在領導、管理、專業等方面的綜合能力和業績。

Type 類別	Details 具體內容	Unit 單位	2023
Total training performance 培訓總績效	Total number of people trained 培訓總人數	Person 人	681
	Total training hours 培訓總學時	Hr 小時	14367
	Total training inputs 培訓總投入	RMB 元	167848.96
Training performance-By gender 培訓績效 - 按性別劃分	Male 男性員工受訓人數	Person 人	367
	Female 女性員工受訓比例	Person 人	314
	Average number of training hours for male employees 男性員工平均受訓小時數	Hr 小時	21.10
	Average number of training hours for female employees 女性員工平均受訓小時數	Hr 小時	21.10
Training performance-By rank 培訓績效 - 按職級劃分	Number of senior managers trained 高級管理人員受訓人數	Person 人	8
	Number of middle managers trained 中層管理人員受訓人數	Person 人	117
	Number of general and technical staff trained 一般及技術員工受訓人數	Person 人	556
	Number of times of senior managers trained 高級管理人員受訓人次數	Person/Times 人次	78
	Number of times of middle managers trained 中層管理人員受訓人次數	Person/Times 人次	1082
	Number of times of general and technical staff trained 一般及技術員工受訓人次數	Person/Times 人次	5134
	Average hours of training for senior managers 高級管理人員平均受訓小時數	Hr 小時	35
	Average hours of training for middle managers 中層管理人員平均受訓小時數	Hr 小時	21.10
	Average hours of training for general and technical staff 一般及技術人員平均受訓小時數	Hr 小時	21.10

Note 1: [Caliber of statistics] 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.

注 1: 【統計口徑】報告期內，高級管理人員數據以人力資源部統計口徑為準，區別於年報口徑。

(IV) Occupational health and safety (四) 職業健康安全

Holly Futures effectively places work safety in an important position, takes the protection of employees' personal safety as an important goal, keeps in mind that life is paramount and safety first, integrates development and safety, improves the ability to prevent and respond to various types of safety accidents, and is always committed to creating a safe, healthy and cozy office environment for the employees, and safeguarding the physical and mental health of the employees.

弘業期貨切實將安全生產工作擺在重要位置，把保障員工人身安全作為重要目標，牢記生命至上、安全第一，統籌發展和安全，提高各類安全事故的防範應對能力，始終致力於為員工創造安全、健康、溫馨的辦公環境，保障員工身心健康。

1 Work safety 安全生產

Holly Futures always implements the requirements of the provincial government on work safety, strengthens the prevention and control of major risks in work safety, strictly abides by the Work Safety Law of the People's Republic of China, maintains the safety of the office premises, promotes the transformation of the enterprise's safety management, and makes unremitting efforts for the high-quality development of the Company's safety management work. Holly Futures has not experienced any work-related fatalities in the past three years, and there were no lost days due to work injury during the year.

弘業期貨始終貫徹落實省委省政府關於安全生產工作的要求，強化安全生產重大風險防控，嚴格遵守《中華人民共和國安全生產法》，維護辦公場所安全，推動企業安全管理轉型，為公司的安全管理工作高質量發展而不懈努力。過去三年內弘業期貨均未發生因工亡故事件，本報告期內因公損失工作日數為0。

CASE 案例

Holly Futures fire safety training activities 弘業期貨消防安全培訓活動

On June 15, 2023, Holly Futures organized and carried out safety education and fire safety regulations learning and training as well as emergency drills for the Safety Production Month through the combination of "online + offline". During the training, the experts talked to the staff about a series of fire safety knowledge such as fire safety laws and regulations, general knowledge of fire safety, basic operation of fire safety facilities, and disposal of other emergencies, etc. After the meeting, a fire safety test was conducted for the trainers to further consolidate the theoretical knowledge of fire safety. The Company's Safety Management Department produced and distributed the fire escape video and emergency escape manual of the Soho Financial Technology Building, and the emergency evacuation drill further familiarized the staff with the escape routes of the new building and the use of high-rise refuge floors, which effectively improved the staff's ability to deal with emergencies.

2023年6月15日，弘業期貨通過“線上+線下”相結合的方式組織開展了安全生產月安全教育與消防條例學習培訓以及應急演練。培訓中，專家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，并于會後進行培訓人員消防安全考試，進一步鞏固消防安全理論知識。公司安管部製作下發了消防逃生視頻和蘇豪金融科技大廈應急逃生手冊，應急疏散演練也使員工進一步熟悉了新大樓的逃生路線及高層避難層的使用，切實提高員工應急處置能力。



Fire safety training
消防安全培訓



Fire evacuation emergency drill
消防疏散應急演練

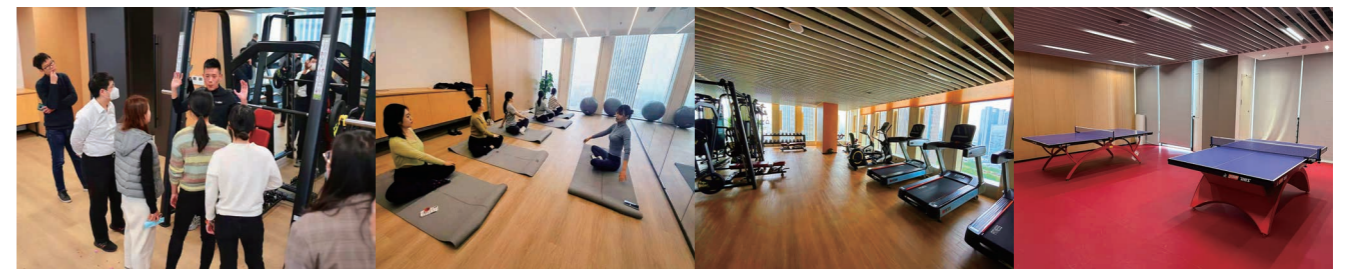
2 Physical and mental health 身心健康

The Company belongs to the financial industry and does not involve occupational disease hazards such as dust, noise and radioactive substances. The Company strictly abides by the requirements of the Labor Law of the People's Republic of China, the Work Injury Insurance Regulations and other laws and regulations, and attaches great importance to the physical and mental health and safety of its employees. Through health training lectures, regular medical checkups and other initiatives, the Company protects the physical health and cares for the mental health of its employees, further enhancing the satisfaction and sense of achievement of the workforce.

公司屬金融業企業，不涉及粉塵、噪聲、放射性物質等職業病危害因素。公司嚴格遵守《中華人民共和國勞動法》《工傷保險條例》等法律法規的要求，高度重視員工的身心健康與安全。通過健康培訓講座、定期體檢等舉措，保障員工身體健康、關懷員工心理健康，進一步增強職工群眾的滿意度和獲得感。

In order to further enrich the amateur cultural life of the staff, improve the quality of life of the staff, and continuously enhance the sense of gain and happiness of the majority of workers, Holly Futures Trade Union has built the Staff Activity Center, which is equipped with three fitness places, namely, gymnasium, yoga room and table tennis room.

為了進一步豐富員工業餘文化生活，提升員工生活品質，不斷增強廣大職工獲得感、幸福感，弘業期貨工會打造了職工活動中心，內設有健身房、瑜伽室、乒乓球室三處健身場所。



Staff Activity Center
職工活動中心



Women's Day Activity
女神節活動

In 2023, we completed a total of 23 consolations for employee marriages and births; 12 consolations for employee illnesses, and 9 consolations for deaths of employee family members.

2023年度完成員工結婚及生子慰問共計23次；完成員工生病慰問12次，職工家屬去世慰問9次。

6

Always Remember the Source, Building A Harmonious Home Together

飲水思源 共建和諧家園

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



Holly Futures actively fulfills its social responsibility, strengthens party building brand construction under the leadership of the party, joins hands with industry partners, jointly assumes the responsibility of rural revitalization, assists the economic development of “agriculture, rural areas, and rural residents” with futures, and continuously promotes public welfare undertakings.

弘業期貨積極履行社會責任，在黨的領導下，強化黨建品牌建設，攜手行業夥伴，共同擔負起鄉村振興職責，以期貨助力三農經濟發展，并不斷推進公益事業。

(I) Strengthening the integration of party building

(一) 強化党建融合

Holly Futures always insists to be led by the party and the integration of party building by strengthening party building and learning, party style and clean government construction and ideological and political education. The Company takes XI Jinping's thought of socialism with Chinese characteristics in the new era as its guide, studies and implements the spirit of the 20th CPC National Congress in depth, carries out thematic education in earnest, centers on the development theme of "strong party building, excellent governance, stable operation and good integration", and implements the various decision-making and deployment of the Holding Group in an all-round manner.

In 2023, the Company held a total of 46 Party committees and considered 207 motions. The Party Committee team held 8 special Party lectures focusing on the themes of "in-depth study and implementation of XI Jinping Thought on Socialism with Chinese Characteristics for a New Era" and "in-depth study and publicity and implementation of the Spirit of the 20th CPC National Congress".

Holly Futures revised the Regulations for the Front-end Study and Discussion of Major Matters by the Party Committee, and front-ended the study of 34 major operation and management matters. The Company has completed the replacement of the Party Committee and Discipline Inspection Committee with high quality. The new Party Committee and Discipline Inspection Committee team bears the responsibilities of focusing on the center, building the team and serving the public, and speaks clearly on politics, fulfills its duties and responsibilities to take up the mission, and acts as an exemplar by strictly disciplining itself, so as to make the Party organization more cohesive, creative, and combative.

CASE 案例

2023 Annual Party Branch Secretary's Duty Reporting and Convocation on Grassroots Party Building Work 2023年度黨支部書記抓基層党建工作述職評議會

The Party Committee of Holly Futures held the 2023 Annual Party Branch Secretary's Duty Reporting and Convocation on Grassroots Party Building Work. Deputy Secretary of the Party Committee and General Manager CHU Kairong emphasized that strengthening grassroots party building work is related to the overall situation and the long term. The Company should conscientiously implement the spirit of the central government and the provincial party committee, the Provincial Government State-owned Assets Supervision and Administration Commission and the party committee of the Holding Group, further promote the extension of the overall strict governance of the party to the grassroots level, promote the comprehensive improvement of grass-roots party building work, and lay a solid foundation for the promotion of the Company's high-quality development. The first is to highlight the political construction, resolutely carry the responsibility of grass-roots party building work. The second is to strengthen the sense of responsibility, and comprehensively improve the quality of grass-roots party building work. The third is to focus on the depth of integration, and build a special party building brand construction highland. The fourth is to be strict, and to deepen the construction of work style and practical work.

弘業期貨始終堅持党建引領和党建融合，加強黨建學習、黨風廉政建設和思想政治教育工作，以習近平新時代中國特色社會主義思想為指導，深入學習貫徹黨的二十大精神，認真開展主題教育，圍繞“党建強、治理優、經營穩、融合好”的發展主題，全面落實控股集團各項決策部署。

2023年，公司共召開黨委會46次，審議議案207項。黨委班子圍繞“深入學習貫徹習近平新時代中國特色社會主義思想”、“深入學習宣傳貫徹黨的二十大精神”等主題，開設專題黨課8次。

弘業期貨修訂《黨委前置研究討論重大事項規程》，前置研究34項重大經營管理事項。高質量完成黨委、紀委換屆工作，新一屆黨委、紀委班子緊扣圍繞中心、建設隊伍、服務群眾等職責定位，旗幟鮮明講政治、履職盡責擔使命、嚴于律己做表率，使黨組織更具凝聚力、更富創造力、更有戰鬥力。

弘業期貨黨委召開2023年度黨支部書記抓基層党建工作述職評議會。黨委副書記、總經理儲開榮強調，加強基層黨建工作，事關全域、事關長遠。要認真落實中央精神和省委、省國資委、控股集團黨委部署，進一步推動全面從嚴治黨向基層延伸，促進基層黨建工作全面提升全面過硬，為推進公司高質量發展奠定堅實基礎。一是突出政治建設，堅決扛起基層黨建工作責任。二是加強責任意識，全面提升基層黨建工作質量。三是注重深度融合，構建特色黨建品牌建設高地。四是堅持從嚴從緊，深化作風建設篤行實幹。



2023 Annual Party Branch Secretary's Duty Reporting and Convocation on Grassroots Party Building Work
2023年度黨支部書記抓基層党建工作述職評議會

CASE 案例

“Holly Escort” Party building brand case was selected as one of the Innovation and Practice of National Ideological and Political Work in the New Era, a large-scale documentary history, and an excellent case of Party building brand construction in SOEs in 2023

“弘心護航”黨建品牌案例入選《新時代全國思想政治工作創新與實踐》大型文獻史冊、2023年度國企黨建品牌建設優秀案例

The Company focuses on the “Holly Escort” party building brand and continuously enhances its brand influence and radiation. Guided by the brand concept, connotation, and spirit of “Holly Escort”, the Company extensively carries out various creation activities, allowing party building to lead and business development to resonate with each other. In accordance with the goal of “one branch, one characteristic, one unit, one brand”, the Company's party committee has created the “Holly Escort” party building brand, the first, second, third, fourth, and fifth, and the capital party branch has created party building brands such as “Holly Research”, “Holly Management”, “Holly Industry”, “Holly Guiding”, “Holly Party Benefiting Enterprises Pioneer”, and “Holly Innovation & Integration Service”, and continuously deepened learning through “three meetings and one lesson”, theme party days, and other activities to continuously polish the foundation of the party building brand.

公司圍繞“弘心護航”黨建品牌，不斷提升品牌影響力和輻射力。以“弘心護航”品牌理念、品牌內涵和品牌精神為牽引，廣泛開展各項創建活動，讓黨建引領與業務發展“同頻共振”。按照“一支部一特色、一單位一品牌”的目標要求，公司黨委創建“弘心護航”黨建品牌，第一、二、三、四、五以及資本黨支部打造“弘研”“弘管家”“弘實”“紅葉飛揚”“弘心向党 惠企先鋒”以及“創新融合 弘心服務”黨建品牌，並利用“三會一課”、主題黨日等不斷深化學習，開展創建，不斷擦亮黨建品牌底色。



“Holly Escort” party building brand
“弘心護航”黨建品牌

(II) Develop together with partners (二) 協同夥伴發展

Holly Futures strictly abides by the Procurement Law of the People's Republic of China, the Contract Law of the People's Republic of China, the Company Law of the People's Republic of China and other laws and regulations, attaches importance to the management of suppliers, actively participates in industry exchanges, and joins hands with partners for common development.

弘業期貨嚴格遵守《中華人民共和國採購法》、《中華人民共和國合同法》、《中華人民共和國公司法》等法律法規，重視供應商管理，積極參與行業交流，攜手合作夥伴共同發展。

1 Supplier management 供應商管理

Holly Futures adheres to the principles of openness, fairness and impartiality in cooperating with suppliers, and has formulated the Procurement Management Measures of Holly Futures to strengthen the management of procurement behavior.

弘業期貨堅持公開、公平、公正的原則與供應商進行合作，制定《弘業期貨股份有限公司採購管理辦法》，加強採購行為管理。

Meanwhile, in order to safeguard the service quality of its suppliers, the Company has carried out supplier evaluation and management to promote the synergistic development of the Company and its suppliers. During the Reporting Period, all suppliers have passed the Company's annual review. The Company has not found any significant actual and potential negative impact or violation of business ethics, environmental protection and labor standards by any supplier. The Company has a total of 110 suppliers, and the regional distribution of suppliers is indicated below.

同時，為保障供應商服務質量，開展供應商評估管理，推進公司與供應商協同發展。報告期內，所有供應商均已通過公司年度審核，公司未發現有任何供應商在商業道德、環境保護、勞工準則方面有任何重大及潛在的負面影響或違規事件。公司共有 110 家供應商，供應商地區分布情況如下表所示：

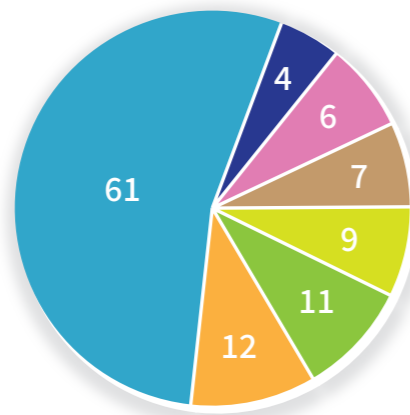
Total number of suppliers 供應商總數

110 Unit
家

Yangtze River Delta
長江三角洲地區 61 Unit
家

Pearl River Delta
珠江三角洲地區 7 Unit
家

Pan Bohai Rim
其中：環渤海地區 11 Unit
家



Central
中部地區 9 Unit
家

Northeast
東北地區 6 Unit
家

Western
西部地區 12 Unit
家

Others
其他地區 4 Unit
家

Supply chain risks prevention 供應鏈風險防範

Pre-emptive control
事前控制

Preventing risks from occurring
預防風險發生

Adding safety management standards to supplier procurement requirements.

Ensuring the authenticity of the supplier's key project personnel.

Under the same conditions such as meeting procurement requirements, quality and service standards, priority is given to selecting energy-saving and environmentally friendly products.

In the procurement requirements for environmental protection, requiring suppliers to process relevant qualifications such as ISO14001 management system certification and China Environmental Labeling Product Certification and assigning a score for the provision of certification of competency in the procurement score.

Calculating the procurement costs, examining the life cycle of products and equipment and promoting green concepts to suppliers.

在採購需求中明確供應商的安管理標準。

確保供應商主要項目人員的真實可靠。

符合採購需求、質量和服務標準的同等條件下，優先選擇節能環保產品。

對環保有要求的採購需求中，要求供應商具備 ISO14001 管理體系認證、中國環境標誌產品認證證書等相關資質，並在採購評分中對資質證書的提供賦予分值。

核算採購成本，考察產品設備的使用週期，向供應商宣貫綠色環保理念。

In-transit control
事中控制

Controlling the expansion of risks
控制風險擴大

Using multi-sourcing and preparing back-up suppliers.

Conducting due diligence on new suppliers and existing-suppliers to prevent negative environmental and social impacts.

採用多方採購，準備後備供應商。

對新增供應商、持續合作供應商開展盡職調查，預防發生負面環境、社會影響。

Post-event control
事後控制

Reducing risk losses
減少風險損失

Analyzing the root causes of risks and rectifying them in a timely manner to ensure that similar risk events do not recur.

Excluding suppliers with significant negative environmental and social impacts.

分析風險發生的根本原因並及時整改，確保同類風險事件不會再次發生。

剔除對產生重大負面環境、社會影響的供應商。

2 Promote industry development 促進行業發展



Outstanding Contribution Award
for Industry Services
產業服務傑出貢獻獎

During the reporting period, Holly Futures actively cooperated and exchanged ideas with industry peers, exchanging ideas and creating a new situation of high-quality development through on-site research, online communication and other forms. In 2023, Holly Futures was honored with the Outstanding Contribution Award for Industry Services.

報告期內，弘業期貨積極與業內同行合作交流，通過實地調研、線上溝通等多種形式，互通有無，共同開創高質量發展新局面。2023年，弘業期貨榮獲產業服務傑出貢獻獎。

CASE 案例

“Pursue common development through mutual learning and appreciation” - business exchange with Jiangsu High Hope International Group Corporation
“互學互鑒，共謀發展”——與江蘇匯鴻匯升投資管理有限公司開展業務交流

Both sides carried out in-depth exchanges and discussions on business synergy, risk control system construction, financial technology empowerment, professional talent training and party building, investment and education co-construction, hoping to form a regularized exchange and cooperation mechanism in the areas of channel development, product innovation as well as sharing of resources and capabilities, and to continue to deepen the synergy and strengthen the cooperation in the areas of asset management, investment consulting, branding, and futures brokerage business, etc., by giving full play to the advantages of the two sides in terms of resources and capabilities.

雙方就業務協同開展、風控體系建設、金融科技賦能、專業人才培養以及黨建投教共建等方面開展深入交流和探討，希望能在渠道開拓、產品創新以及資源和能力分享等方面形成常態化交流與合作機制，通過發揮雙方資源優勢和能力優勢，持續深化協同，在資產管理、投資諮詢、品牌共建及期貨經紀業務等領域加強合作。



Business exchange with Jiangsu High Hope International Group Corporation
與江蘇匯鴻匯升投資管理有限公司業務交流

(III) Contribution of the Holly power (三) 貢獻弘業力量

Holly Futures fulfills its tax obligations in accordance with the law, strengthens industry exchanges, and helps the development of the real economy through its own business advantages. At the same time, it continues to reserve and cultivate futures talents to channel fresh blood for the development of the futures industry.

弘業期貨依法履行納稅義務，加強行業交流，通過自身業務優勢助力實體經濟發展。同時，不斷儲備、培養期貨人才，為期貨行業的發展輸送新鮮血液。

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

Paying taxes in good faith and in accordance with the law represents the enterprise's sense of social responsibility and moral level, is an important assessment indicator of tax risk, and is an important reflection of the enterprise's public image and quality reputation, which is related to the enterprise's forward movement and progress. Holly Futures always adheres to fulfill its tax obligations in accordance with the law, ensures that it pays taxes in good faith in accordance with the law, strengthens the publicity of tax policies, establishes and improves the tax management system, strengthens the prevention and control of tax risks, and promotes the high-quality development of the futures market.

依法誠信納稅代表了企業的社會責任感和道德水平，是稅務風險的重要評估指標，更是企業公眾形象和優質口碑的重要體現，關乎著企業的前行和進步。弘業期貨始終堅持依法履行納稅義務，保證依法誠信納稅，加強稅收政策宣傳，建立健全稅務管理制度，加強稅務風險防控，推動期貨市場高質量發展。

2 Helping the real economy 助力實體經濟

Holly Futures focuses on serving the real economy. Based on customers' needs, it continuously enriches the “package” of risk management tools such as on- and off-market, futures spot, domestic and offshore, and innovates the “one-stop” service model. The Company strives to transform from intermediary business to value-providing and service-oriented business.

弘業期貨聚焦服務實體經濟，立足客戶需求，不斷豐富場內場外、期貨現貨、境內境外等“一攬子”風險管理工具，創新“一站式”服務模式，努力從中介型業務，向價值提供型、服務型的業務轉型。

CASE
案例Host “2023 Conference of Green Financial Serving Entities, Futures Helping Rural Revitalization”
承辦“2023綠色金融服務實體，期貨助力鄉村振興大會”

In order to better promote the green transformation of the real industry, support the comprehensive promotion of rural revitalization to accelerate the construction of a strong agricultural country, and explore how the futures market can serve the real economy with higher quality, on June 28, “2023 Conference of Green Financial Serving Entities, Futures Helping Rural Revitalization” was held in Nanjing, hosted by Holly Futures. At the meeting, Holly Futures and a number of provincial enterprises, leading industrial chain enterprises, trade enterprises signed a “green financial futures serves entity enterprises” cooperation agreement, to further play the role of financial services to the real economy, and increase financial inputs to the energy saving and environmental protection, new energy and other related industries.

為更好地促進實體產業綠色轉型、支持全面推進鄉村振興加快建設農業強國、探討期貨市場如何更高質量服務實體經濟，6月28日，由弘業期貨等承辦的“2023 綠色金融服務實體，期貨助力鄉村振興大會”在南京舉行。會上，弘業期貨與多家省屬企業、產業鏈龍頭企業、貿易企業簽署“綠色金融期貨服務實體企業”合作協議，進一步發揮金融服務實體經濟作用，加大對節能環保、新能源等相關產業的金融服務。



2023 Conference of Green Financial Serving Entities,
Futures Helping Rural Revitalization
2023 綠色金融服務實體，期貨助力鄉村振興大會

CASE
案例Holly Futures Participated in Spring Capital Seminar of GEDS
弘業期貨參加博鰲經安春季資本研討會

Spring Capital Seminar of GEDS
博鰲經安春季資本研討會

On May 12, 2023, the Spring Capital Seminar of GEDS opened in Changsha City, Hunan Province. At the seminar, the representative of Holly Futures made a keynote speech titled “Hand in Hand - The Future is Promising” - Escorting the development of Chinese-style modernized industries with the power of futures, proposing that the futures market, as a place for discovering the price of commodities and financial assets, managing risks and allocating resources, is the basic institutional arrangement of the socialist market and economic system with Chinese characteristics, and plays a unique and positive role in the key areas and key links of serving high-quality economic development.

2023年5月12日，博鰲經安春季資本研討會在湖南省長沙市拉開帷幕。會上弘業期貨代表作題為《“攜手同行·未來可期”—以期貨力量護航中國式現代化產業發展》的主題分享，提出期貨市場作為大宗商品和金融資產發現價格、管理風險、配置資源的場所，是中國特色社會主義市場經濟體制的基礎性制度安排，在服務經濟高質量發展的重點領域和關鍵環節發揮著獨特、積極的作用。

3 Cultivating futures talents
培養期貨人才

Relying on the research institute of finance and the national postdoctoral research station, the Company actively undertakes and completes a number of projects from the Shanghai Futures Exchange, Zhengzhou Commodity Exchange, China Financial Futures Exchange, China Futures Association, Jiangsu Futures Association, and Jiangsu Provincial Talent Office, etc. Meanwhile, the Company maintains good cooperation with Nanjing University, Southeast University, Hohai University, Nanjing Audit University, etc., and jointly recruits and trains post-doctoral fellows. In 2023, the Company and the Nanjing Hexi Central Business District Management Committee, the School of Finance of Nanjing Audit University, and the CFFEX, etc., jointly set up the “Wealth Management and Financial Futures Research and Practice Base”, further promoting the training of futures talents and provide professional talents for the futures market.

During the reporting period, the research institute of finance was awarded the title of China’s Gold Medal Research Institute, 3 teams were awarded the best research team, and 3 people were evaluated as the best analysts. In addition, there were more than 400 public research reports, of which more than 160 were published in external media; more than 120 reviews in external media; more than 150 public lectures; and more than 120 small videos. In 2023, Holly Futures was awarded the Best Institutional Contribution Award for Futures Talent Cultivation.

依托金融研究院與國家級博後科研工作站，公司積極承擔並完成上海期貨交易所、鄭州商品交易所、中國金融期貨交易所、中國期貨業協會、江蘇省期貨業協會、江蘇省人才辦等單位的多項課題。同時和南京大學、東南大學、河海大學、南京審計大學等多所高校長期保持良好的合作關係，聯合招收和培養博後。2023年，公司與南京河西中央商務區管委會、南京審計大學金融學院、中金所等聯合成立“財富管理與金融期貨研究實踐基地”，進一步推進期貨人才培養工作，為期貨市場輸送專業人才。

報告期內，金融研究院獲中國金牌研究院稱號，3個團隊獲最佳研究團隊，3人獲評最佳分析師。公開研報400餘篇，其中外部媒體發表160餘篇；外部媒體點評120餘次；公開講課150餘場；小視頻120餘次。2023年，弘業期貨榮獲期貨人才培養最佳機構貢獻獎。



2023 Best Institutional Contribution Award for Futures Talent Cultivation
2023年度期貨人才培養最佳機構貢獻獎

(IV) Feedback to the society (四) 感恩回饋社會

Holly Futures always bears in mind its original mission to serve the “agriculture, rural areas, and rural residents” and promote rural development with financial innovation tools. The Company also help the disadvantaged groups and realize its own value by organizing public welfare activities such as blood donation and contribution.

弘業期貨始終牢記初心使命，以金融創新工具服務“三農”，促進鄉村發展。通過組織獻血、捐款等公益活動，幫助弱勢群體，實現自身價值。

1 Helping rural revitalization 助力鄉村振興

Holly Futures has taken the mission of serving the “agriculture, rural areas, and rural residents” to help revitalize the countryside, exploring new ideas and methods of “insurance + futures” for rural revitalization. In 2023, it has carried out 200 projects of “insurance + futures” in 12 provinces across the country, with a total underwriting value of RMB 1.45 billion and a payout of over RMB 30 million. The results were significant, and the project was awarded the “Jiangsu Corporate Social Responsibility Model”, “Special Contribution Unit for Rural Revitalization”, and “Best Rural Revitalization Service and Social Responsibility Public Welfare Award”.

弘業期貨以服務“三農”為使命，助力鄉村振興，探索“保險+期貨”鄉村振興的新思路、新方法。2023年，在全國12個省開展“保險+期貨”項目200個，總承保貨值14.5億元，實現賠付超3000萬元，成效顯著，榮獲“江蘇企業社會責任典範”、“鄉村振興特別貢獻單位”、“最佳鄉村振興服務及社會責任公益獎”。



2023 Rural Revitalization Awards
2023 年度鄉村振興獎項

CASE 案例

“Insurance + Futures” project “保險+期貨”項目

Holly Futures has carried out “insurance + futures” projects for special agricultural products in a number of rural revitalization areas across the country, providing “price protection” for the agricultural industry.

弘業期貨在全國多個鄉村振興地開展特色農產品“保險+期貨”項目，為農業產業“保價護航”。

The Company continued to help Jiangsu Province’s policy hog “insurance + futures” pilot project, covering 7 cities in Jiangsu Province and protecting hogs with a value of RMB 850 million. The Company has also carried out “insurance + futures” projects for special agricultural products in many rural revitalization areas across the country, such as: the province’s first “insurance + futures” project for dairy cattle feed costs in Qinghai Province; and the first “insurance + futures” project for paper pulp in Bobai County, Guangxi Province, with a payout rate of 215%, which is more than 6 times of the premiums paid by farmers. Combined with the characteristics of Jiangsu Province, the Company carried out the first “insurance + futures” project for duck feed costs in six cities and eight counties in Jiangsu Province, with a payout rate of 124%; in Yanchuan County, Shaanxi Province, the Company helped the local community through the implementation of the “insurance + futures” project, professional assistance, consumer assistance, and the introduction of enterprises.

持續助力江蘇省政策性生豬“保險+期貨”試點，覆蓋江蘇7個市，保障生豬貨值達8.5億元。在全國多個鄉村振興地開展特色農產品“保險+期貨”項目，如在青海省開展了全省首單奶牛飼料成本“保險+期貨”項目；在廣西博白縣開展首單以紙漿為標的“保險+期貨”項目，賠付率達215%，是農戶自繳保費的6倍以上。結合江蘇特色，在江蘇六市八縣開展全國首單鴨飼料成本“保險+期貨”項目，賠付率達124%。在陝西省延川縣通過“保險+期貨”項目開展、專業幫扶、消費幫扶、引入企業等方式多措并举助力當地產業發展。



Baisha Project Signing Ceremony
白沙項目簽約儀式



Duck feed cost “insurance + futures” signing
鴨飼料成本“保險+期貨”出單



Cow feed cost “insurance + futures” project
奶牛飼料成本“保險+期貨”項目

CASE
案例

Holly Futures Party Committee and Wangji Town Party Committee of Siyang County carried out “Practicing the Initial Mission - Serving Rural Revitalization” Twinning and Co-construction Activity

弘業期貨黨委與泗陽縣王集鎮黨委開展“踐行初心使命·服務鄉村振興”結對共建活動

Holly Futures Party Committee and Wangji Town Party Committee of Siyang County signed a twinning agreement, of which both sides will carry out a full range of cooperation in organizational co-construction, industrial development, talent training and other aspects of the establishment of a long-term mechanism of the village and enterprise with joint industry and joint responsibility for common wealth.

弘業期貨黨委與泗陽縣王集鎮黨委簽署結對共建協議，雙方將在組織共建、產業發展、人才共育等方面開展全方位合作，建立村企聯業聯責聯心的長效機制，助力共同富裕。



Signing Ceremony of Twinning with Wangji Town Party Committee of Siyang County
與泗陽縣王集鎮黨委結對共建簽約儀式

2 Contributing to public welfare and charity 投身公益慈善

As a state-owned enterprise, Holly Futures actively fulfills the responsibility of public welfare and charity, and organizes and carries out public welfare activities such as blood donation and one-day contribution for charity, which demonstrates the spirit of commitment and sense of responsibility, and contributes to the construction of a harmonious society with the strength of Holly Futures.

作為國有企業，弘業期貨積極履行公益慈善責任，組織開展無償獻血、慈善一日捐等公益活動，彰顯了擔當精神和責任意識，為構建和諧社會貢獻弘業期貨力量。

CASE
案例

Public welfare activity of “Inherit the spirit of LEI Feng, donate blood to give love”

“傳承雷鋒精神 獻血共築大愛”主題公益活動

Holly Futures actively practiced the spirit of LEI Feng in the new era and carried out the theme of “Inherit the spirit of LEI Feng, donate blood to give love” in cooperation with Jiangsu Blood Center. The success of this activity not only highlights the great love and courage of the cadres and workers of Holly Futures, but also reflects the company’s social responsibility and sense of social responsibility.

弘業期貨積極踐行新時代雷鋒精神，聯合江蘇省血液中心開展“傳承雷鋒精神 獻血共築大愛”主題公益活動。本次活動的成功舉辦，不僅彰顯弘業期貨廣大幹部職工的大愛和勇氣，也是公司社會擔當和社會責任感的體現。



Blood donation public welfare activity
and learning from LEI Feng
學雷鋒獻血公益活動

CASE
案例

Raising money for charity and gathering the light of hope - “One Day Contribution for Charity” Activity

籌集愛心善款，彙聚希望之光——“慈善一日捐”活動

In order to provide assistance to seriously ill and low-income patients, orphaned children, widows and orphans, elderly people and people with severe disabilities, Holly Futures carried out the “One Day Contribution for Charity” activity, which was held in more than 40 branches across the country at the same time, and raised a total of RMB 36,400. The Company’s team members played an exemplary role and actively took the lead to participate. Individual donations were made on a voluntary basis. Through this activity, employees’ love and charity money converged into light, bringing warmth and hope to those in need of

為援助重病低保患者、孤殘兒童、孤寡老人以及重度殘疾人等群體，弘業期貨開展“慈善一日捐”活動，全國 40 多家分支機構同時舉行活動，共募集善款 36400 元。公司班子成員發揮表率作用，積極帶頭參加。個人捐贈本著自願原則，奉獻愛心。通過這次活動，員工的愛心和善款彙聚成光，為那些需要幫助的人們帶去溫暖和希望。

“One Day Contribution for Charity” activity
慈善一日捐活動



VISION 未來展望

At present, the domestic economic recovery is still facing challenges, and the futures industry is facing a reshaping of the industry landscape under the background of “strong regulation and risk prevention”. In an environment full of uncertainties, Holly Futures will firmly grasp the general requirements of high-quality development and strive for as much certainty as possible.

目前，國內經濟復蘇仍面臨挑戰，期貨行業在“強監管、防風險”的背景下，行業格局將面臨重塑。在充滿不確定性的環境中，弘業期貨要牢牢把握高質量發展總要求，爭取盡可能多的確定性。

ESG Management

The Company will continue to improve its ESG management system, proactively follow up on emerging issues, complete ESG disclosures in accordance with higher standards, and incentivize employees to actively participate in and promote ESG work.

ESG 管理

持續完善 ESG 管理體系，積極主動跟進新興議題，按照更高的標準完成 ESG 披露，激勵員工積極參與和推動 ESG 工作。

Party building leadership

The Company will give full play to the party committee's role of "ensuring direction, overall situation and implementation"; optimize the setup of grass-roots party organizations, give play to the role of pioneering and exemplary party members, highlighting the integration of party building with the real economy, rural revitalization; grasp the publicity and public opinion, and comprehensively strengthen the party's disciplinary construction.

黨建引領

充分發揮黨委“把方向、管大局、保落實”作用。優化基層黨組織設置，發揮黨員先鋒模範作用，突出黨建與實體經濟、鄉村振興融合，抓好宣傳輿論，全面加强黨的紀律建設。

Performance improvement

The Company's business segments will insist on strengthening the bottom-line thinking, limit thinking, and striving for the best results; insist on saving for a rainy day, responding to the uncertainty of the changing situation with the certainty of one's own work, and firmly grasping the initiative of development.

業績提升

公司各業務板塊強化底線思維、極限思維，凡事做最壞打算、爭取最好結果。堅持未雨綢繆，以自身工作的確定性應對形勢變化的不確定性，牢牢把握發展主動權。

High-quality service

The Company has always been building a service ecosystem of "small and medium-sized investors", "industrial clients" and "institutional clients" to promote high-quality development with high-quality service.

優質服務

打造“中小投資者”服務生態圈、“產業客戶”服務生態圈、“機構客戶”服務生態圈，以高質量服務助推高質量發展。

Reform and innovation

The Company always promotes strategic optimization and explores the equity incentive mechanism for listed companies; strengthens institutional reform, promotes the transformation and upgrading of business departments, grasps the breakthrough of key industrial chains, and integrates and creates unique business varieties; improves the market-oriented mechanism, adheres to the management of efficiency, does a good job of the two aspects of "income" and "cost", and strives to achieve cost reduction and efficiency.

改革創新

推進戰略優化，探索上市公司股權激勵機制；強化機構改革，推動業務部門轉型升級，抓好重點產業鏈突破，整合打造獨具特色的業務品種；健全市場化機制，堅持向管理要效益，做好“收入”“成本”兩篇文章，努力實現降本增效。

Key breakthroughs

The Company gives full play to the role of Soho Group's big trade platform, and strives to make new breakthroughs in the relevant industry chain; deepens the reform of the research institute of finance, accelerates the supply of scientific research talents in postdoctoral workstations, strengthens the cooperation with colleges and universities, and relies on the talent advantages, technological advantages, and research and development advantages of colleges and universities, so as to push forward the transformation and upgrading of the company and its quality development.

重點突破

充分發揮蘇豪集團大貿易平臺的作用，努力在相關產業鏈上取得新突破。深化金融研究院改革，加快博士後工作站科研人才補給，加強與高校合作，依托高校的人才優勢、技術優勢、研發優勢，推動公司轉型升級和高質量發展。

Strengthening governance

The Company adheres to the "two consistencies" and makes concerted efforts to strengthen talent governance, risk prevention and control, safety management and cultural construction; unwaveringly implements the strategy of strengthening the enterprise with talents, prudently guards the bottom line of risk compliance, goes all out to grasp the work of safety production, and builds a harmonious enterprise culture with a people-oriented approach.

加強治理

堅持“兩個一以貫之”，在加強人才治理、風險防控、安全管理、文化建設等方面協同發力。堅定不移實施人才強企戰略，慎終如始守住風險合規底線，全力以赴抓好安全生產工作，以人爲本構建和諧企業文化。

All extraordinary achievements are the result of successive struggles, and all great undertakings need to be promoted in the course of successive struggles. Under the correct leadership of the Holding Group, Holly Futures will be determined to rise to the challenge, be vigorous and courageous, and contribute its wisdom and strength to promote the Company's high-quality development and help the Holding Group accelerate the construction of a "world-class" enterprise!

一切非凡成就都是接續奮鬥的結果，一切偉大事業都需要在繼往開來中推進。弘業期貨將在控股集團的正確領導下，堅定信心、迎難而上，踔厲奮發、勇毅前行，爲推動公司高質量發展，爲助力控股集團加快建設“世界一流”企業貢獻應有的智慧和力量！

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“對發行人有重大影響的相關法律及規例”要求，對適用於本集團主要法律與規例按照 ESG 指標進行整理和羅列。

Category 分類	Laws and Regulations 法律與規則名稱
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》
	Water Pollution Prevention and Control Law of the People’s Republic of China 《中華人民共和國水污染防治法》
	Law of the People’s Republic of China on the Prevention and Control of Pollution from Environmental Noise 《中華人民共和國環境噪聲污染防治法》
	Law on the Prevention and Control of Environmental Pollution Caused by Solid Waste 《中華人民共和國固體廢物污染環境防治法》
	Law of the People’s Republic of China on the Prevention and Control of Atmospheric Pollution 《中華人民共和國大氣污染防治法》
	Law of the People’s Republic of China on Appraising of Environment Impacts 《中華人民共和國環境影響評價法》
	Cleaner Production Promotion Law of the People’s Republic of China 《中華人民共和國清潔生產促進法》
	Circular Economy Promotion Law of the People’s Republic of China 《中華人民共和國循環經濟促進法》
Laws and regulations related to labour 勞工類	Integrated Emission Standard of Air Pollutants 《大氣污染物綜合排放標準》
	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》
	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》	

Category 分類	Laws and Regulations 法律與規則名稱
Laws and regulations related to labour 勞工類	Law of the People's Republic of China on the Prevention and Control of Occupational Diseases 《中華人民共和國職業病防治法》
	Social Insurance Law of the People's Republic of China 《中華人民共和國社會保險法》
	Trade Union Law of the People's Republic of China 《中華人民共和國工會法》
	Regulation on Work-Related Injury Insurances 《工傷保險條例》
	Regulation on Emergency Responses to Work Safety Accidents 《生產安全事故應急條例》
	Provision on the Prohibition of Using Child Labor 《禁止使用童工規定》
Laws and regulations related to product responsibility 產品責任類	Securities Law of the People's Republic of China 《中華人民共和國證券法》
	Futures Trading Management Regulations 《期貨交易管理條例》
	Trademark Law of the People's Republic of China 《中華人民共和國商標法》
	Patent Law of the People's Republic of China 《中華人民共和國專利法》
	Rules on Management of Client Accounts Opening in Futures Market 《期貨市場客戶開戶管理規定》
	Administrative Measures for the Closed Management of Customer Margins for Futures Companies 《期貨公司保證金封閉管理辦法》
	Guideline for Contracts of Futures Brokerages 《期貨經紀合同》指引
	Measures for the Management of Integrity Information of Futures Business Institutions 《期貨經營機構誠信信息管理辦法》
	Detailed Rules for the Implementation of the Standard Warrant of Futures Company Risk Management Companies to Offset Over-the-Counter Derivatives Trading Margin 《期貨公司風險管理公司標準倉單充抵場外衍生品交易保證金實施細則》
	Guidelines for Handling Complaints of Investors of Securities, Fund and Futures Operating Institutions 《證券基金期貨經營機構投資者投訴處理工作指引》
	Measures for Reporting, Investigation and Handling of Cybersecurity Incidents in the Securities and Futures Industry 《證券期貨業網絡安全事件報告與調查處理辦法》
	Management Rules for Sharing of Credit Risk Information of Futures Investors 《期貨投資者信用風險信息共享管理規則》
	Regulations on the Management of Intermediaries of Futures Companies 《期貨公司居間人管理辦法》
	Measures for the Administration of Risk Control Indicators of Futures Risk Management Companies 《期貨風險管理公司風險控制指標管理辦法》
	Working Rules for Credit Reporting of Asset Management Business of Futures Business Institutions 《期貨經營機構資產管理業務信用報告工作規則》
	Administrative Rules for the Filing of Asset Management Business of Futures Business Institutions 《期貨經營機構資產管理業務備案管理規則》
Measures for the Implementation of the Rules for the Undertakings Made by the Parties to Securities and Futures Administrative Law Enforcement 《證券期貨行政執法當事人承諾制度實施辦法》	

Category 分類	Laws and Regulations 法律與規則名稱
Laws and regulations related to anti corrup- tion and corporate governance 反貪腐及企業管治類	Anti-Unfair Competition Law of the People's Republic of China 《中華人民共和國反不正當競爭法》
	Anti-Money Laundering Law of the People's Republic of China 《中華人民共和國反洗錢法》
	Anti-Monopoly Law of the People's Republic of China 《中華人民共和國反壟斷法》
	Company Law of the People's Republic of China 《中華人民共和國公司法》
	Securities Law of the People's Republic of China 《中華人民共和國證券法》
	Provisions on Anti-money Laundering through Financial Institutions 《金融機構反洗錢規定》
	Measures for Supervision and Management of Futures Companies 《期貨公司監督管理辦法》
	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	2023	2022	2021
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	15.71	11.52	12.45
Per capita emissions of nitrogen oxides 氮氧化物人均排放量	kg/person 千克/人	0.05	0.04	0.04
Sulfur oxides emissions 硫氧化物排放量	kg 千克	0.25	0.27	0.30
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)	CO ₂ e tons 噸二氧化碳當量	44.77	36.30	43.63
Indirect greenhouse gas emissions (Scope 2) 間接溫室氣體排放量(範圍二)	CO ₂ e tons 噸二氧化碳當量	540.60	551.20	695.43
Total greenhouse gas emissions 溫室氣體排放總量	CO ₂ e tons 噸二氧化碳當量	585.36	587.50	739.06
per capita emissions of greenhouse gases 溫室氣體人均排放量	CO ₂ e tons/person 噸二氧化碳當量/人	1.97	2.01	2.21
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
Hazardous waste / 有害廢棄物				
Total amount of ink cartridge 墨盒總量	piece 支	0	0	0
Per capita amount of ink cartridge 墨盒人均量	piece/person 支/人	0	0	0
Total amount of toner cartridge 硒鼓總量	item 個	174	166	150
Per capita amount of toner cartridge 硒鼓人均量	item/person 個/人	0.59	0.57	0.45
Lamp 燈管	piece 支	0	178	183
Per capita amount of lamp 燈管人均量	piece/person 支/人	0	0.61	0.55

Name of Indicator 指標名稱	Unit 單位	2023	2022	2021
Use of resources/資源使用				
Consumption of purchased electricity 外購電力消耗量	kWh 千瓦時	947916	966531	988531
Per capita electricity consumption 人均耗電量	kWh/person 千瓦時/人	3192	3310	2951
Consumption of gasoline 汽油消耗量	kL 千升	16.80	18.50	20.00
Total amount of gasoline per capita 人均汽油消耗量	kL/person 千升/人	0.06	0.06	0.06
Direct energy consumption 直接能源消耗	ton standard coal 噸標準煤	18.08	20.36	22.36
Indirect energy consumption 間接能源消耗	ton standard coal 噸標準煤	116.50	118.39	121.49
Total energy consumption 能源消耗總量	ton standard coal 噸標準煤	134.58	136.65	143.85
Energy consumption intensity 能耗密度	ton standard coal/person 噸標準煤/人	0.45	0.47	0.43
Water consumption in the office 辦公室耗水量	ton 噸	11460	14890	15824
Per capita water consumption in the office 人均耗水量	ton/person 噸/人	38.59	50.99	47.24
Social performance 社會績效				
Employment / 雇傭				
Total number of employees 員工總數	person 人	681	661	659
Number of new staff recruited in the year 年度新招聘員工數	person 人	109	59	83
Employee - by employment type / 員工-按用工形式劃分				
Contract employees 合同制員工	person 人	681	661	659
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	367	357	354
Number of females 女性員工人數	person 人	314	304	305

Name of Indicator 指標名稱	Unit 單位	2023	2022	2021
Employee – by age / 員工 - 按年齡劃分				
Below 30 years old 30歲以下員工人數	person 人	174	168	193
31 years old – 40 years old 31-40歲員工人數	person 人	358	360	354
41 years old – 50 years old 41-50歲員工人數	person 人	113	102	90
51 years old – 60 years old 51-60歲員工人數	person 人	35	29	22
Above 60 years old 60歲以上員工人數	person 人	1	2	0
Employee – by rank / 員工 - 按職能劃分				
Senior Management 高級管理人員	person 人	8	9	9
Middle Management 中層管理人員	person 人	117	111	112
General and technical staff 一般及技術員工	person 人	556	541	538
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	493	467	476
Other regions of the Mainland China excluding the Jiangsu 中國大陸除江蘇省外	person 人	160	172	158
Other regions 其他地區	person 人	28	22	25
Overall staff turnover rate / 員工整體流失率				
Staff turnover rate 員工流失率	%	10.57	8.17	12.59
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	%	11.44	8.68	14.41
Percentage of female staff turnover 女性員工流失比例	%	9.55	7.57	10.49

Name of Indicator 指標名稱	Unit 單位	2023	2022	2021
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	%	16.67	16.07	17.10
Staff turnover rate of staff aged 31 years old – 40 years old 31-40歲員工流失比例	%	8.94	5.28	10.45
Staff turnover rate of staff aged 41 years old – 50 years old 41-50歲員工流失比例	%	6.19	5.88	12.22
Staff turnover rate of staff aged 51 years old – 60 years old 51-60歲員工流失比例	%	8.57	6.90	9.09
Staff turnover rate of staff aged over 60 years old 60歲以上員工流失比例	%	100.00	0.00	0.00
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	%	8.32	5.14	10.71
Staff turnover rate in other regions of the Mainland China excluding the Jiangsu 中國大陸除江蘇省外其他地區員工流失比例	%	19.38	12.21	18.35
Staff turnover rate in overseas (including areas outside the Mainland China) 境外(包括中國大陸境外地區)員工流失比例	%	0.00	40.91	12.00
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 因公受傷人數	person 人	0	0	1
Proportion of work injury 因公受傷比例	%	0	0	0.15
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	681	661	659
Total training hour(s) 培訓總學時	hour 小時	14367	76807	28842
Total training input 培訓總投入	RMB 元	167848.96	123805.77	/

Name of Indicator 指標名稱	Unit 單位	2023	2022	2021
Training performance – by 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	367	357	354
Number of female employees trained 女性員工受訓人數	person 人	314	304	305
Average hours of training for male staff 男性員工平均受訓小時數	hour 小時	21.10	116	43.18
Average hours of training for female staff 女性員工平均受訓小時數	hour 小時	21.10	116	44.44
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	8	9	9
Number of middle managements trained 中層管理人員受訓人數	person 人	117	111	112
Number of general and technical staff trained 一般及技術員工受訓人數	person 人	556	541	538
Number of training sessions for senior management 高級管理人員受訓人次數	person/time 人次	78	194	153
Number of training sessions for middle management 中級管理人員受訓人次數	person/time 人次	1082	2143	1000
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	5134	10448	3400
Average hours of training for senior management 高級管理人員平均受訓小時數	hour 小時	35	151	117.78
Average hours of training for middle management 中級管理人員平均受訓小時數	hour 小時	21.10	116	35.71
Average hours of training for general and technical staff 一般及技術員工平均受訓小時數	hour 小時	21.10	116	44.20

Name of Indicator 指標名稱	Unit 單位	2023	2022	2021
Supply chain management/供應鏈管理				
Total number of suppliers 供應商總數	unit 家	110	70	81
Of which: Yangtze River Delta 其中:長江三角洲地區	unit 家	61	56	63
Of which: Pearl River Delta 其中:珠江三角洲地區	unit 家	7	3	5
Of which: Pan Bohai Rim 其中:環渤海地區	unit 家	11	1	3
Of which: Central 其中:中部地區	unit 家	9	5	5
Of which: Northeast 其中:東北地區	unit 家	6	5	5
Of which: West 其中:西部地區	unit 家	12	0	0
Of which: Others 其中:其他地區	unit 家	4	0	0
Product responsibility/產品責任				
Customer services / 客戶服務				
營業業務投訴宗數 Number of complaints on business operations	case 宗	11	11	11
投訴處理率 Complaint handling rate	%	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 管治績效				
Number of female director(s) of the Company 公司董事女性人數	person 人	0	1	1
Number of female supervisor(s) of the Company 公司監事女性人數	person 人	2	2	2
Number of female senior management of the Company 公司高級管理人員女性人數	person 人	2	2	2
Percentage of female director(s) of the Company 公司董事女性人數比例	%	0	12.5	12.5
Percentage of female supervisor (s) of the Company 公司監事女性人數比例	%	66.7	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	%	33.3	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		
General Disclosure 一般披露	Information on the policies; and compliance with relevant laws and regulations that have a significant impact on the issuer relating to exhaust and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste. 有關廢氣及溫室氣體排放、向水及土地的排污、有害及無害廢棄物的產生等的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A1.1	The types of emissions and respective emissions data. 排放物種類及相關排放資料。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A1.2	Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions in total (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 直接 (範圍 1) 及能源間接 (範圍 2) 溫室氣體排放量 (以噸計算) 及 (如適用) 密度 (如以每產量為單位、每項設施計算)。	III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標
A1.3	Total hazardous waste produced (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生有害廢棄物總量 (以噸計算) 及 (如適用) 密度 (如以每產量為單位、每項設施計算)。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A1.4	Total non-hazardous waste produced (in tons) and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生無害廢棄物總量 (以噸計算) 及 (如適用) 密度 (如以每產量為單位、每項設施計算)。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A1.5	Description of emissions target(s) set and steps taken to achieve them. 描述所訂立的排放量目標及為達到這些目標所採取的步驟。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保 III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標
A1.6	Description of how hazardous and non-hazardous wastes are handled, and a description of reduction target(s) set and steps taken to achieve them. 描述處理有害及無害廢棄物的方法及描述所訂立的減廢目標及為達到這些目標所採取的步驟。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保

Aspects 層面	Description 描述	Section 所在章節
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。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A2.1	Direct and/or indirect energy consumption by type (e.g. electricity, gas or oil) in total (kWh in '000s) and intensity (e.g. per unit of production volume, per facility). 按類型劃分的直接及 / 或間接能源 (如電、氣或油) 總耗量 (以千個千瓦時計算) 及密度 (如以每產量單位、每項設施計算)。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A2.2	Water consumption in total and intensity (e.g. per unit of production volume, per facility). 總耗水量及密度 (如以每產量單位、每項設施計算)。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A2.3	Description of energy use efficiency target(s) set and steps taken to achieve them. 描述所訂立的能源使用效益目標及為達到這些目標所採取的步驟。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency target(s) set and steps taken to achieve them. 描述求取適用水源上可有任何問題, 以及所訂立的用水效益目標及為達到這些目標所採取的步驟。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
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。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them. 描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
Aspect A4: Climate Change / 層面A4: 氣候變化		
General Disclosure 一般披露	Policies on identification and mitigation of significant climaterelated issues which have impacted, and those which may impact, the issuer. 識別及應對已經及可能會對發行人產生影響的重大氣候相關事宜的政策。	III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標
A4.1	Description of the significant climate-related issues which have impacted, and those which may impact, the issuer, and the actions taken to manage them. 描述已經及可能會對發行人產生影響的重大氣候相關事宜, 及應對行動。	III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標 III (III) Enhancing green finance 三 (三) 強化綠色金融

Aspects 層面	Description 描述	Section 所在章節
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. 有關薪酬及解僱、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的政策；及遵守對發行人有重大影響的相關法律及規例的資料。	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭 V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
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。	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
B1.2	Employee turnover rate by gender, age group and geographical region. 按性別、年齡組別及地區劃分的雇員流失比率。	V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
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。	V (IV) Occupational health and safety 五 (四) 職業健康安全
B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year. 過去三年（包括彙報年度）每年因工亡的人數及比率。	V (IV) Occupational health and safety 五 (四) 職業健康安全
B2.2	Lost days due to work injury. 因工傷損失工作日數。	V (IV) Occupational health and safety 五 (四) 職業健康安全
B2.3	Description of occupational health and safety measures adopted, and how they are implemented and monitored. 描述所採納的職業健康與安全措施，以及相關執行及監察方法。	V (IV) Occupational health and safety 五 (四) 職業健康安全
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。	
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。	V (III) Empowerment of employees' development 五 (三) 賦能員工發展
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。	

Aspects 層面	Description 描述	Section 所在章節
Aspect B4: Labour Standards / 層面B4: 勞工準則		
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。	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭 V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭 V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
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。	VI (II) Develop together with partners 六 (二) 協同夥伴發展
B5.1	Number of suppliers by geographical region. 按地區劃分的供貨商數目。	VI (II) Develop together with partners 六 (二) 協同夥伴發展
B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, and how they are implemented and monitored. 描述有關聘用供貨商的慣例，向其執行有關慣例的供貨商數目，以及有關慣例的執行及監察方法。	VI (II) Develop together with partners 六 (二) 協同夥伴發展
B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored. 描述有關識別供應鏈每個環節的環境及社會風險的慣例，以及相關執行及監察方法。	VI (II) Develop together with partners 六 (二) 協同夥伴發展
B5.4	Description of practices used to promote environmentally preferable products and services when selecting suppliers, and how they are implemented and monitored. 描述在揀選供貨商時促使多用環保產品及服務的慣例，以及相關執行及監察方法。	VI (II) Develop together with partners 六 (二) 協同夥伴發展

Aspects 層面	Description 描述	Section 所在章節
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。	IV (I) Protection of clients' rights and interests 四（一）保障客戶權益 IV (II) Investor education and protection 四（二）投資者教育與保護
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。	IV (II) Providing high quality services 四（二）提供高質量服務
B6.3	Description of practices relating to observing and protecting intellectual property rights. 描述與維護及保障知識產權有關的慣例。	IV (I) Protection of clients' rights and interests 四（一）保障客戶權益
B6.4	Description of quality assurance process and recall procedures. 描述質量檢定過程及產品回收程序。	The Company is in the financial 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. 描述消費者數據保障及私隱政策，以及相關執行及監察方法。	IV (I) Protection of clients' rights and interests 四（一）保障客戶權益
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。	II (II) Optimization of compliance risk control 二（二）優化合規風險 II (III) Anti-corruption and anti-money laundering 二（三）反貪腐、反洗錢
B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting period and the outcomes of the cases. 于彙報期內對發行人或其雇員提出并已審結的貪污訴訟案件的數目及訴訟結果。	II (III) Anti-corruption and anti-money laundering 二（三）反貪腐、反洗錢
B7.2	Description of preventive measures and whistle-blowing procedures, and how they are implemented and monitored. 描述防範措施及舉報程序，以及相關執行及監察方法。	II (III) Anti-corruption and anti-money laundering 二（三）反貪腐、反洗錢
B7.3	Description of anti-corruption training provided to directors and staff. 描述向董事及員工提供的反貪污培訓。	II (III) Anti-corruption and anti-money laundering 二（三）反貪腐、反洗錢

Aspects 層面	Description 描述	Section 所在章節
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. 有關以社區參與來瞭解營運所在社區需要和確保其業務活動會考慮社區利益的政策。	VI (III) Contribution of the Holly power 六（三）貢獻弘業力量 VI (III) Feedback to the society 六（四）感恩回饋社會
B8.1	Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport). 專注貢獻範疇（如教育、環境事宜、勞工需求、健康、文化、體育）。	VI (III) Contribution of the Holly power 六（三）貢獻弘業力量 VI (III) Feedback to the society 六（四）感恩回饋社會
B8.2	Resources contributed (e.g. money or time) to the focus area. 在專注範疇所動用資源（如金錢或時間）。	VI (III) Contribution of the Holly power 六（三）貢獻弘業力量 VI (III) Feedback to the society 六（四）感恩回饋社會

Index for the Self-regulatory Guideline No. 1 for Companies Listed on the Shenzhen Stock Exchange – the Standardized Operation of Main Board Listed Company

(Chapter 8 Social Responsibility)

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

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

No. 編號	Main content 主要內容	Reference chapter 所在章節
	Building and operating effective pollution control facilities 建設運行有效的污染防治設施	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Fully paying environmental taxes 足額繳納環境保護相關稅費	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Ensuring the environmental security of the supply chain 保障供應鏈環境安全	VI (II) Develop together with partners 六 (二) 協同夥伴發展
	Its environmental policy, annual environmental objectives and results 公司環境保護方針、年度環境保護目標及成效	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	Total annual resource consumption 公司年度資源消耗總量	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
8.7	Environmental investment and environmental technology development 公司環保投資和環境技術開發情況	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Type, quantity, concentration and destination of pollutants discharged by the company 公司排放污染物種類、數量、濃度和去向	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	Construction and operation of environmental facilities of the company 公司環保設施的建設和運行情況	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	The treatment and disposal of waste generated in the production process, and the recycling and comprehensive utilization of waste products 公司在生產過程中產生的廢物的處理、處置情況，廢棄產品的回收、綜合利用情況	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	Voluntary agreement signed with the environmental authorities to improve environmental behavior 與環保部門簽訂的改善環境行為的自願協議	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
	Awarded by the environmental authorities 公司受到環保部門獎勵的情況	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
8.8	Regularly assigning staff to inspect how the environmental policies are implemented and correct and remedy those substandard acts 定期指派專人檢查環保政策的實施情況，對不符合公司環境保護的行為當予以糾正，並採取相應補救措施	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
8.9	Any listed company or its subsidiary of significance that is regarded as a key pollutant discharge unit announced by the environmental authorities shall disclose the relevant environmental information in its annual report in line with the provisions of laws, regulations and the Shenzhen Stock Exchange 屬環境保護部門公布的重點排污單位的上市公司或者重要子公司，應當根據法律法規和本所相關規定在年報中披露相關環境信息	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用

No. 編號	Main content 主要內容	Reference chapter 所在章節
	Complying with product safety laws and regulations and industry standards 遵守產品安全法律法規與行業標準	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益
8.10	Establishing a safe and reliable production environment and process 建立安全可靠的生產環境和生產流程	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益 V (IV) Empowerment of employees' development 五 (四) 職業健康安全
	Establishing product quality and safety protection mechanism and product safety emergency plan 建立產品質量安全保障機制與產品安全事故應急方案	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益 IV (II) Providing high quality services 四 (二) 提供高質量服務
8.11	Establishing management system on employee employment and dismissal, salary and benefits, social insurance, working hours and punishment on violations 建立員工聘用解雇、薪酬福利、社會保險、工作時間等管理制度及違規處理措施 Creating a working environment and supporting safety measures to prevent occupational hazards 建立防範職業性危害的工作環境與配套安全措施 Carrying out necessary expertise and vocational skills training on employees 開展必要的員工知識和職業技能培訓	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭 V (II) Protection of employees' rights and interests 五 (二) 保障員工權益 V (IV) Empowerment of employees' development 五 (四) 職業健康安全 V (III) Empowerment of employees' development 五 (三) 賦能員工發展
8.12	Strict adhering to scientific and ethical norms 嚴格遵守科學倫理規範	The Company is in the financial sector and this indicator is not applicable 公司屬金融行業，此指標不適用
8.13	Development and implementation of social responsibility systems in relation to worker protection, environmental pollution, product quality and community relations 關於職工保護、環境污染、商品質量、社區關係等方面的社會責任制度的建設和執行情況	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保 IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益 IV (II) Providing high quality services 四 (二) 提供高質量服務 V (IV) Empowerment of employees' development 五 (四) 職業健康安全 VI (IV) Feedback to the society 六 (四) 感恩回饋社會

The Content Index of Global Reporting Initiative Standards

3、《全球報告倡議組織可持續發展報告標準》(GRI Standards) 內容索引

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 2 General Disclosures 2021 GRI2:一般披露		
Organizational Overview and Reporting Practices / 組織概況及其報告做法		
2-1	Organizational details 組織詳細情況	About Holly Futures 關於弘業期貨
2-2	Entities included in the organization's sustainability reporting 納入組織可持續發展報告的實體	Reporting scope and boundary 報告範圍及邊界
2-3	Reporting period, frequency and contact point 報告期、報告頻率和聯絡人	Receive and respond to this report 獲取及回應本報告
2-4	Restatements of information 信息重述	No restatement of information is required for this report 本報告無需信息重述
2-5	External assurance 外部鑒證	This report has not conducted any external assurance 本報告未進行外部鑒證
Activities and Workers / 活動和工作		
2-6	Activities, value chain and other business relationships 活動、價值鏈和其他業務關係	About Holly Futures 關於弘業期貨
2-7	Employees 員工	V Empowerment of employees' development 五、賦能于人，助力員工成長
2-8	Workers who are not employees 員工之外的工作者	The Company does not involve non employed staff 本公司不涉及非僱傭員工
Governance / 管治		
2-9	Governance structure and composition 管治架構和組成	II (I) Sound governance structure 二 (一) 完善治理結構
2-10	Nomination and selection of the highest governance body 最高管治機構的提名和遴選	II (I) Sound governance structure 二 (一) 完善治理結構
2-11	Chair of the highest governance body 最高管治機構的主席	II (I) Sound governance structure 二 (一) 完善治理結構
2-12	Highest governance body's supervision role in management 在管理影響方面，最高管治機構的監督作用	II (I) Sound governance structure 二 (一) 完善治理結構
2-13	Delegation of responsibility for managing impacts 為管理影響的責任授權	II (I) Sound governance structure 二 (一) 完善治理結構
2.14	Highest governance body's role in sustainability reporting 最高管治機構在可持續發展報告中的作用	I (I) Board statement 一 (一) 董事會聲明
2.15	Conflicts of interest 利益衝突	II (II) Optimization of compliance risk control 二 (二) 優化合規風險
2.16	Communication of critical concerns 重要關切問題的溝通	I (II) Stakeholders' engagement 一 (二) 利益相關方溝通 I (III) Materiality assessment 一 (三) 重要性議題評估

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
Governance / 管治		
2-17	Collective knowledge of the highest governance body 最高管治機構的共同知識	I (I) Board statement 一 (一) 董事會聲明
2-18	Evaluation of the performance of the highest governance body 對最高管治機構的績效評估	II (I) Sound governance structure 二 (一) 完善治理結構
2-19	Remuneration policies 薪酬政策	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
2-20	Process to determine remuneration 確定薪酬的程序	Not disclosed 未披露
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		
2-22	Statement on sustainable development strategy 關於可持續發展戰略的聲明	I (I) Board statement 一 (一) 董事會聲明
2-23	Policy commitments 政策承諾	II (II) Optimization of compliance risk control 二 (二) 優化合規風險 II (III) Anti-corruption and anti-money laundering 二 (三) 反貪腐、反洗錢
2-24	Embedding policy commitments 融合政策承諾	IV (II) Develop together with partners 六 (二) 協同夥伴發展
2-25	Processes to remediate negative impacts 補救負面影響的程序	IV (II) Providing high quality services 四 (二) 提供高質量服務
2-26	Mechanisms for seeking advice and raising concerns 尋求建議和提出關切的機制	V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
2-27	Compliance with laws and regulations 遵守法律法規	Appendix of the report (I) List of main laws and regulations applicable 報告附錄 (一) 適用的主要法律法規清單
2-28	Membership associations 協會的成員資格	Appendix of the report (V) 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		
2-29	Approach to stakeholder engagement 利益相關方參與的方法	I (II) Stakeholders' engagement 一 (二) 利益相關方溝通
2-30	Collective bargaining agreements 集體談判協議	I (II) Stakeholders' engagement 一 (二) 利益相關方溝通
GRI 3 Disclosures of substantive social responsibility issues / GRI3: 實質性議題的披露項		
3-1	Process to determine material topics 確定實質性議題的過程	I (III) Materiality assessment 一 (三) 重要性議題評估
3-2	List of material topics 實質性議題清單	Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
3-3	Management of material topics 實質性議題的管理	

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 201 Economic Presence / GRI201: 經濟績效		
201-1	Direct economic value generated and distributed 直接產生和分配的經濟價值	The Company's Annual Report 2023 公司 2023 年年度報告
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	III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標
201-3	Defined benefit plan obligations and other retirement plans 固定福利計劃和其他退休計劃	V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
201-4	Financial assistance received from government 政府給予的財政補貼	The Company's Annual Report 2023 公司 2023 年年度報告
GRI 202 Market Presence / GRI202: 市場表現		
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	Not disclosed 未披露
202-2	Proportion of senior management hired from the local community 從當地社區僱傭高管的比例	Not disclosed 未披露
GRI 203 Indirect Economic Impacts / GRI203: 間接經濟影響		
203-1	Infrastructure investments and services supported 基礎設施投資和支持性服務	IV (III) Contribution of the Holly power 六 (三) 貢獻弘業力量
203-2	Significant economic impacts 重大間接經濟影響	The Company's Annual Report 2023 公司 2023 年年度報告
GRI 204 Procurement Practices / GRI204: 採購實施		
204-1	Proportion of spending on local suppliers 向當地供應商採購支出的比例	IV (II) Develop together with partners 六 (二) 協同夥伴發展
GRI 205 Anti-corruption / GRI20: 反腐敗		
205-1	Operations assessed for risks related to corruption 已進行腐敗風險評估的運營點	
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	II (III) Anti-corruption and anti-money laundering 二 (三) 反貪腐、反洗錢
205-3	Confirmed incidents of corruption and actions taken 經確認的腐敗事件和採取的行動	
GRI 206 Anti-competitive / GRI206: 反競爭行為		
206-1	Legal actions for anti-competitive behavior, anti-trust, and monopoly practices 針對反競爭行為、反托拉斯和反壟斷實踐的法律訴訟	II (II) Optimization of compliance risk control 二 (二) 優化合規風險

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 207 Tax / GRI207:稅務		
207-1	Approach to tax 稅務方針	
207-2	Tax governance, control, and risk management 稅務治理、控制及風險管理	VI (III) Contribution of the Holly power 六 (三) 貢獻弘業力量
207-3	Stakeholder engagement and management of concerns related to tax 與稅務關切相關的利益相關方參與及管理	
GRI 301 Material / GRI301:物料		
301-1	Materials used by weight or volume 所用物料的重量或體積	
301-2	Recycled input materials used 用循環利用的進料	The Company is in the financial sector and this indicator is not applicable 本公司屬金融行業，不適用
301-3	Reclaimed products and their packaging materials 再生產品及其包裝材料	
GRI 302 Energy / GRI302:能源		
302-1	Energy consumption within the organization 組織內部的能源消耗量	
302-2	Energy consumption outside of the organization 組織外部的能源消耗量	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
302-3	Energy intensity 能源強度	
302-4	Reduction of energy consumption 減少能源消耗量	Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
302-5	Reductions in energy requirements of products and services 降低產品和服務的能源需求	
Water and Effluents / GRI303:水資源和污水		
303-1	Management approach disclosures Interactions with water as a shared resource 組織與水作為共有資源的互相影響	
303-2	Management of water discharge-related impacts 管理與排水相關的影響	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
303-3	Water withdrawal 取水	
303-4	Water discharge 排水	Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
303-5	Water consumption 耗水	

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 304 Biodiversity / GRI304:生物多樣性		
304-1	Operational sites owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside pro- tected areas 組織在位于或鄰近保護區和保護區外的生物多樣性豐富區域擁有、 租賃、管理的運營點	
304-2	Significant impacts of activities, products and services on biodi- versity 活動、產品和服務對生物多樣性的重大影響	Not applicable 不適用
304-3	Habitats protected or restored 受保護或經修復的棲息地	
304-4	IUCN Red List species and national conservation list species with habitats in areas affected by operations 受運營影響的棲息地中已被列入世界自然保護聯盟 (IUCN) 紅色 名錄及國家保護名冊的物種	
GRI 305 Emissions / GRI305:排放		
305-1	Direct (Scope 1) GHG emissions 直接 (範疇 1) 溫室氣體排放	
305-2	Indirect (Scope 2) GHG emissions 能源間接 (範疇 2) 溫室氣體排放	III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標
305-3	Other indirect (Scope 3) GHG emissions 其他間接 (範疇 3) 溫室氣體排放	Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
305-4	GHG emissions intensity 溫室氣體排放強度	
305-5	Reduction of GHG emissions 溫室氣體減排量	
305-6	Emissions of ozone-depleting substances 臭氧消耗物質 (ODS) 的排放	Not applicable 不適用
305-7	Nitrogen oxides (NO _x), sulfur oxides (SO _x), and other significant air emissions 氮氧化物 (NO _x)、硫氧化物 (SO _x) 和其他重大氣體排放	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保 Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
GRI 306Waste / GRI306:廢棄物		
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	
306-2	Management of significant waste-related impacts 廢棄物相關重大影響的管理	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
306-3	Waste generated 產生的廢棄物	
306-4	Waste diverted from disposal 從處置中轉移的廢棄物	Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
306-5	Waste directed to disposal 進入處置的廢棄物	

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 401 Employment / GRI401: 僱傭		
401-1	New employee hires and employee turnover 新進員工僱傭率和員工流動率	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭 V (II) Protection of employee' rights and interests 五 (二) 保障員工權益 Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
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	V (II) Protection of employee' rights and interests 五 (二) 保障員工權益
401-3	Parental leave 育兒假	
GRI 402 Labor Relations / GRI402: 勞資關係		
402-1	Minimum notice periods regarding operational change 有關運營變更的最短通知期	V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
GRI 403 Occupational Health and Safety / GRI403: 職業健康與安全		
403-1	Occupational health and safety management system 職業健康安全管理體系	
403-2	Hazard identification, risk assessment, and incident investigation 危害識別、風險評估和事故調查	
403-3	Occupational health services 職業健康服務	
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、協商和溝通	V (IV) Occupational health and safety 五 (四) 職業健康安全
403-5	Worker training on occupational health and safety 工作者職業健康安全培訓	
403-6	Promotion of worker health 促進工作者健康	
403-7	Prevention and mitigation of occupational health and safety impacts directly linked by business relationships 預防和減輕與商業關係直接相關的職業健康安全影響	
GRI 404 Training and education / GRI404: 培訓與教育		
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	V (III) Empowerment of employees' development 五 (三) 賦能員工發展
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	
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	Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 405 Diversity and Equal Opportunity / GRI405: 多元化與平等機會		
405-1	Diversity of governance bodies and employees 管治機構與員工的多元化	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
405-2	Ratio of basic salary and remuneration of women to men 男女基本工資和報酬的比例	V (II) Protection of employee' rights and interests 五 (二) 保障員工權益 Appendix of the report (II) KPI Table 報告附錄 (二) 關鍵績效表
GRI 406 Non-Discrimination / GRI406: 反歧視		
406-1	Incidents of discrimination and corrective actions taken 歧視事件及采取的糾正行動	V (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
GRI 407 Freedom of Association and Collective Bargaining / GRI407: 結社自由與集體談判		
407-1	Operations and suppliers in which the right to freedom of association and collective bargaining may be at risk 結社自由與集體談判權利可能面臨風險的運營點和供應商	V (II) Protection of employee' rights and interests 五 (二) 保障員工權益
GRI 408 Child Labor / GRI408: 童工		
408-1	Operations and suppliers at significant risk for incidents of child labor 具有重大童工事件風險的運營點和供應商	IV (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
GRI 409 Forced or Compulsory Labor / GRI409: 強迫或強迫勞動		
409-1	Operations and suppliers at significant risk for incidents of forced or compulsory labor 具有強迫或強制勞動事件重大風險的運營點和供應	IV (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
GRI 410 Security Practices / GRI410: 安保實踐		
410-1	Security personnel trained in human rights policies or procedures 接受過在人權政策或程序方面培訓的安保人員	Not applicable 不適用
GRI 411 Rights of Indigenous Peoples / GRI411: 原住民權利		
411-1	Incidents of violations involving rights of indigenous peoples 涉及侵犯原住民權利的事件	Not applicable 不適用

No. 指标編號	Main content 主要內容	Reference chapter 所在章節
GRI 413 Local Communities / GRI413: 當地社區		
413-1	Operations with local community engagement, impact assessments, and development programmes 有當地地區參與、影響評估和發展計劃的運營點	Not applicable 不適用
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 / GRI414: 供應商社會評估		
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	V (II) Develop together with partners 六 (二) 協同夥伴發展
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 415 Public Policy / GRI415: 公共政策		
415-1	Political contributions 政治捐助	VI (IV) Feedback to the society 六 (四) 感恩回饋社會
GRI 416 Customer Health and Safety / GRI416: 客戶健康與安全		
416-1	Assessment of the health and safety impacts of product and service categories 評估產品和服務類別的健康與安全影響	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益
416-2	Incidents of non-compliance concerning the health and safety impacts of products and services 涉及產品和服務的健康與安全影響的違規事件	
GRI 417 Marketing and Labeling / GRI417: 營銷與標識		
417-1	Requirements for product and service information and labeling 對產品和服務信息與標識的要求	
417-2	Incidents of non-compliance concerning product and service information and labeling 涉及產品和服務信息與標識的違規事件	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益
417-3	Incidents of non-compliance concerning marketing communications 涉及營銷傳播的違規事件	
GRI 418 Customer privacy / GRI418: 客戶隱私		
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	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益

UN Sustainable Development Goals (SDGs)

4、聯合國可持續發展目標 (SDGs)

Sustainable Development Goals 可持續發展目標	Description 描述	Reference chapter 所在章節
	End poverty in all its forms everywhere 在世界各地消除一切形式的貧困。	VI (IV) Feedback to the society 六 (四) 感恩回饋社會
	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。	VI (IV) Feedback to the society 六 (四) 感恩回饋社會
	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。	V (IV) Occupational health and safety 五 (四) 職業健康安全
	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機會。	V (III) Empowerment of employees' development 五 (三) 賦能員工發展
	Achieve gender equality and empower all women and girls 實現性別平等，為所有婦女、女童賦權。	IV (I) Diverse and equal employment 五 (一) 多元化與平等僱傭
	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。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	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。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	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。	VI (III) Contribution of the Holly power 六 (三) 貢獻弘業力量

Sustainable Development Goals 可持續發展目標	Description 描述	Reference chapter 所在章節
	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，并推動創新。	III (III) Enhancing green finance 三 (三) 強化綠色金融 IV (II) Providing high quality services 四 (二) 提供高質量服務
	Reduce inequality within and between countries. 減少國家內部和國家之間的不平等。	VI (IV) Feedback to the society 六 (四) 感恩回饋社會
	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。	VI (IV) Feedback to the society 六 (四) 感恩回饋社會
	Ensure sustainable consumption and production patterns. 確保可持續消費和生產模式。	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益
	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。	III (II) Responding to carbon peaking and carbon neutrality goals 三 (二) 響應雙碳目標
	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。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	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。	III (I) Pursuing environmental protection practices 三 (一) 踐行綠色環保
	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. 促進有利于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。	II (I) Sound governance structure 二 (一) 完善治理結構 V (II) Protection of employees' rights and interests 五 (二) 保障員工權益
	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。	IV (I) Protection of clients' rights and interests 四 (一) 保障客戶權益 VI (II) Develop together with partners 六 (二) 協同夥伴發展

(IV) Memberships and honors and awards

(四) 會員資格與榮譽獎項

1 Membership 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

2 Honors and Awards
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 2023 2023年1月	Company 公司	Market Growth Excellence Member 市場成長優秀會員	Zhengzhou Commodity Exchange 鄭州商品交易所
January 2023 2023年1月	Company 公司	Textile Industry Service Award 紡織產業服務獎	Zhengzhou Commodity Exchange 鄭州商品交易所
February 2023 2023年2月	Suqian Business Department 宿遷營業部	Textile Industry Service Award 紡織產業服務獎	Zhengzhou Commodity Exchange 鄭州商品交易所
February 2023 2023年2月	Company 公司	Excellent Member Prize 優秀會員獎	Dalian Commodity Exchange 大連商品交易所
March 2023 2023年3月	Holly Capital 弘業資本	Silver Award for Market Maker 做市業務銀獎	Shanghai Futures Exchange, Shanghai International Energy Exchange 上海期貨交易所、上海國際能源交易中心
March 2023 2023年3月	Company 公司	Jiangsu Outstanding Enterprise in Social Responsibility 江蘇社會責任杰出企業	Xinhua Daily Media Group 新華報業傳媒集團
March 2023 2023年3月	Zhou Jianqiu, ex chairlady of the Board and Party Secretary 前董事長、黨委書記 周劍秋	Annual Economic Figure of Jiangsu Entrepre- neurs 天下蘇商年度經濟人物	Xinhua Daily Media Group 新華報業傳媒集團
April 2023 2023年4月	Company 公司	Excellent Member Prize 優秀會員獎	Shanghai Futures Exchange 上海期貨交易所
April 2023 2023年4月	Company 公司	Second Prize of Natural Rubber "Insurance + Futures" Pilot Project 天然橡膠“保險+期貨”試點項目二等獎	Shanghai Futures Exchange 上海期貨交易所
June 2023 2023年6月	Chen Sixuan 陳思璇	Outstanding Communist Party Members of Provincial Enterprises 省屬企業優秀共產黨員	Party Committee of Jiangsu Provincial Government State-owned Assets Supervi- sion and Administration Commission 省國資委黨委
July 2023 2023年7月	Company 公司	Third Prize of Soho Holding Group' s Party Building Brand Display Competition 蘇豪控股集團黨建品牌展示評比三等獎	CPC Jiangsu Soho Holding Group Co., Ltd. 中共江蘇省蘇豪控股集團有限公司委員會
August 2023 2023年8月	Company 公司	"Golden Great Wall" Excellent Service Provider “金長城”優秀服務商	Futures Daily 期貨日報
August 2023 2023年8月	Company 公司	Outstanding Contribution to Industry Service Award 產業服務杰出貢獻獎	EESIA 產業服務聯盟
September 2023 2023年9月	Company 公司	Jiangsu Province High-quality Development Leading Enterprises 江蘇省高質量發展領軍企業	Jiangsu Development & Reform Commission 江蘇省發展和改革委員會
October 2023 2023年10月	Company 公司	2023 Rural Revitalization Demonstration Unit 2023 鄉村振興示範單位	Xinhua Daily 新華日報
October 2023 2023年10月	Company 公司	Holly Futures Party Building Brand Leading the High-Qual- ity Development of State-owned Listed Financial Enter- prises - The Case of "Holly Escort" Party Building Brand selected in Outstanding Cases of Party Building Branding of State-owned Enterprises in the Year of 2023 (Case Category). 弘業期貨《黨建品牌引領國有上市金融企業高質量發 展——“弘心護航”黨建品牌案例》入選《國企—2023 年度國企黨建品牌建設優秀案例集（案例類）》	/

time 時間	Winners 獲獎主體	Honor and qualification 榮譽資質	Awarding or granting organization 頒發機構
November 2023 2023年11月	Company 公司	Holly Futures Party Building Brand Leading High-Quality Development of State-owned Listed Financial Enterprises selected in large-scale docu- mentary history Innovation and Practice of Ideolog- ical and Political Work in the New Era 弘業期貨《黨建品牌引領國有上市金融企業高質量發 展》入選《新時代思想政治工作創新與實踐》大型文 獻史冊	Editorial Committee on Innovation and Practice of Ideological and Political Work in the New Era 新時代思想政治工作創新與實踐編委 會
December 2023 2023年12月	Company 公司	Best Futures Company in China 中國最佳期貨公司	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Commodity Futures Industry Service Award 最佳商品期貨產業服務獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Financial Futures Service Award 最佳金融期貨服務獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Rural Revitalization Service and Social Respon- sibility Public Service Award 最佳鄉村振興服務及社會責任公益獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Integrity and Self-Regulation Futures Company 最佳誠信自律期貨公司	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Corporate Culture Branding Award 最佳企業文化品牌建設獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Asset Management Leadership Award 最佳資產管理領航獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Outstanding Asset Management Product of the Year (Holly Selection No. 1 Single Asset Management Plan) 年度優秀資產產品（弘業甄選1號單一資產管理計劃）	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Capital Operations Development Award 最佳資本運營發展獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Holly capital 弘業資本	Best Risk Management Subsidiary Service Innova- tion Award (Holly Capital Management Co., Ltd.) 最佳風險管理子公司服務創新獎（弘業資本管理有限 公司）	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Award for Excellence in the Internationalization Pro- cess 國際化進程新銳獎	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	The Most Popular Self-media of the Year for Futures Operators 年度最受歡迎的期貨經營機構自媒體	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Outstanding Futures 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、證券時報
2023年12月 December 2023	Company 公司	Best Contribution to Futures Talent Training Organi- zation 最佳期貨人才培養機構貢獻獎	Futures Daily, Securities Times 期貨日報、證券時報
2023年12月 December 2023	Company 公司	China Futures Gold Management Team 中國期貨公司金牌管理團隊	Futures Daily, Securities Times 期貨日報、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
December 2023 2023年12月	Company 公司	Best Helmsman of the Year of China Futures Com-pany 中國期貨公司年度最佳掌舵人	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Ningbo Business Department 寧波營業部	Best Futures Operation Branch in China (Ningbo Business Department) 中國最佳期貨經營分支機構 (寧波營業部)	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	China Gold Futures Institute 中國金牌期貨研究所	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Black Industry Futures Research Team 最佳黑色產業期貨研究團隊	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Energy & 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、證券時報
December 2023 2023年12月	Company 公司	Best Agricultural Industry Futures Research Team 最佳農產品產業期貨研究團隊	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Digital Transformation Futures Operator 最佳數字化轉型期貨經營機構	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Research institute of finance 弘業期貨金融研究院	Best Black Industry Futures Research Team 最佳黑色產業期貨研究團隊	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Research institute of finance 弘業期貨金融研究院	Best Energy & 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、證券時報
December 2023 2023年12月	Research institute of finance 弘業期貨金融研究院	Best Agricultural Industry Futures Research Team 最佳農產品產業期貨研究團隊	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Best Digital Transformation Futures Operator 最佳數字化轉型期貨經營機構	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Zhang Tianao 張天鵬	Best Industrial Futures Analyst 最佳工業品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Zhang Yongge 張永錫	Best Industrial Futures Analyst 最佳工業品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Wang Xiaobei 王曉蓓	Best Agricultural Futures Analyst 最佳農副產品期貨分析師	Futures Daily, Securities Times 期貨日報、證券時報
December 2023 2023年12月	Company 公司	Outstanding Industry Service Award 優秀產業服務獎	Futures Daily 期貨日報

(V) Feedback (五) 讀者反饋表

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 管理的能力和水平，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.

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

Email address / 電郵地址:
zqb@ftol.com.cn

Your information / 您的信息

Name 姓名		Employer 工作單位	
Telephone 聯繫電話		Email 電子郵箱	

Comment / 意見回饋

● Your overall rating of our ESG Report?

Very good Good Fair

● 您對公司 ESG 報告的總體評價是

好 較好 一般

● Can this report reflect the significant impact of the Company's ESG issues?

Can Fair Don't know

● 您認為本報告是否能反映公司 ESG 議題的重大影響

能 一般 不瞭解

● What do you think about the clarity, accuracy and completeness of the information, data and indicators disclosed in this report?

Very high High Fair Low Very low

● 您認為本報告所披露信息、數據、指針的清晰、準確、完整度如何

高 較高 一般 較低 低

● Which aspect of this report are you most satisfied with?

● 您最滿意本報告哪一方面?

● What are your areas of concern?

● 您關注哪些方面的議題?

● What further information would you like to know?

● 您希望進一步瞭解哪些信息?

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

● 您對弘業期貨 ESG 工作和本報告還有哪些建議?