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 苏豪弘業期貨股份有限公司  
SOHO HOLLY FUTURES CO., LTD.

**2025**年度

**環境、社會及公司治理 (ESG) 報告**  
ENVIRONMENT, SOCIAL AND GOVERNANCE (ESG) REPORT



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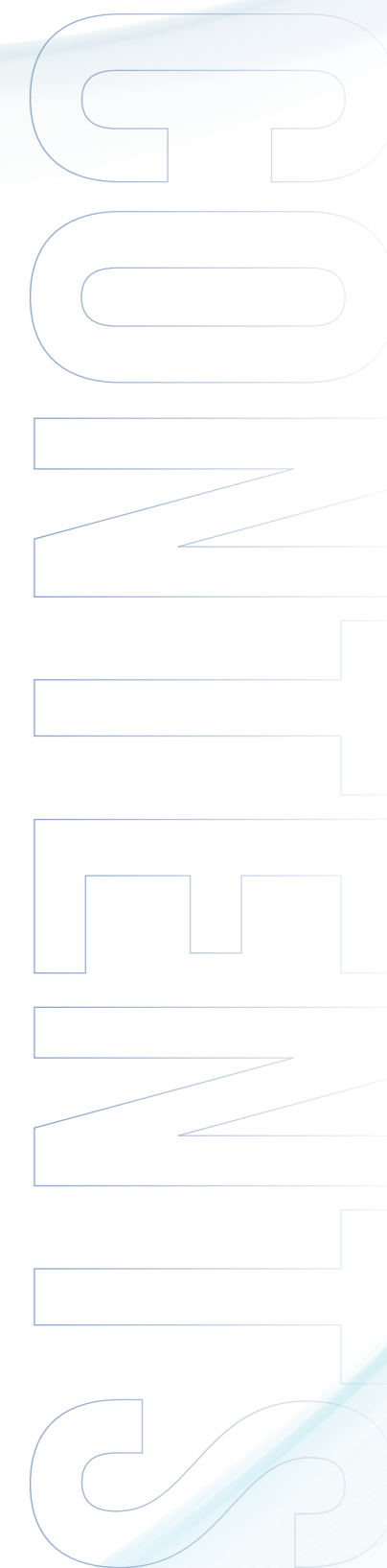
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# About This Report

## 關於本報告

### Report Overview

#### 報告簡介

This report is the Environmental, Social and Governance (ESG) / Sustainability Report published by Soho Holly Futures Co., Ltd. (hereinafter referred to as the "ESG Report" or the "Report"). The Report systematically discloses the Company's strategies, management approaches, practices, performance, and progress toward its targets in the areas of Environmental, Social, and Governance (ESG) in 2025. Through this Report, the Company responds to the expectations and concerns of its stakeholders and comprehensively presents its philosophy and actions in promoting sustainable development.

本報告為蘇豪弘業期貨股份有限公司發佈的環境、社會和公司治理 (ESG) / 可持續發展報告 (以下簡稱“ESG 報告”或“本報告”)。報告系統地披露了公司 2025 年在環境、社會及治理領域的戰略、管理、實踐、績效與目標進展。以此回應各利益相關方的期望與關切，全面呈現公司在可持續發展方面的理念與行動。

### Reporting Period

#### 時間範圍

This Report is an annual report covering the period from 1 January 2025 to 31 December 2025 (the "Reporting Period"). Certain information may refer to periods prior to or beyond the Reporting Period where necessary for disclosure purposes.

本報告為年度報告，披露信息時間範圍為 2025 年 1 月 1 日至 2025 年 12 月 31 日 (以下簡稱“報告期”)，部分內容根據披露需要適當溯及以往年份或超出上述範圍。

### Reporting Scope

#### 報告範圍

This Report covers Soho Holly Futures Co., Ltd. as the primary reporting entity, including the Company and its wholly-owned and controlled subsidiaries. Unless otherwise specified, the scope of this Report is consistent with that of the Company's annual report.

本報告以蘇豪弘業期貨股份有限公司為主體，包括弘業期貨及所屬全資、控股子公司，除特別說明外，本報告範圍與公司年報範圍保持一致。

### Basis of Preparation

#### 編制依據

- Self-regulatory Guideline No. 3 for Companies Listed on the Shenzhen Stock Exchange — Preparation of Sustainability Reports (2026 Revision)
- Self-Regulatory Guidelines for Listed Companies of the Shenzhen Stock Exchange No. 17 — Sustainability Reports (Trial)
- Environmental, Social and Governance Reporting Guide (ESG Reporting Guide) in Appendix C2 to the Listing Rules on the Stock Exchange of Hong Kong Limited
- CASS-ESG 6.0 Guidelines for Corporate Sustainability Reporting in China issued by the China Enterprise Reform and Development Society
- The Global Reporting Initiative (GRI) Sustainability Reporting Standards (GRI Standards) (Referenced)
- United Nations Sustainable Development Goals (SDGs)
- Sustainability Accounting Standards Board (SASB) Standards

- 《深圳證券交易所上市公司自律監管指南第 3 號——可持續發展報告編制 (2026 年修訂)》
- 《深圳證券交易所上市公司自律監管指引第 17 號——可持續發展報告 (試行)》
- 《香港聯合交易所有限公司證券上市規則》附錄 C2《環境、社會及管治報告守則》
- 中國企業改革與發展研究會《中國企業可持續發展報告指南 CASS-ESG 6.0》
- 全球報告倡議組織《GRI 可持續發展報告標準 (GRI Standards)》“參考”標準
- 聯合國可持續發展目標 (SDGs)
- 可持續發展會計準則委員會 SASB 準則

### Data Statement

#### 數據說明

The information and data used in this Report are derived from the Company's official documents, internal statistical reports, or relevant publicly available information. Unless otherwise specified, all monetary amounts in this Report are denominated in Renminbi (RMB). The financial data disclosed in this Report are consistent with those presented in the Company's annual report. In the event of any discrepancy, the annual report shall prevail.

本報告所採用的信息與數據均來源於公司的正式檔案、內部統計報告或有關公開資料。除特別說明外，本報告中所涉及貨幣金額以人民幣作為計量幣種。報告中所涉及的財務數據均與公司年度報告保持一致，若出現不一致之處，以年度報告為準。





## Definitions 釋義說明

Term 釋義項	Definition 釋義內容
Holly Futures / the Company / we 弘業期貨 / 公司 / 我們	Soho Holly Futures Co., Ltd. 蘇豪弘業期貨股份有限公司
SOHO Holdings 蘇豪控股	Jiangsu SOHO Holdings Group Co., Ltd. 江蘇省蘇豪控股集團有限公司
Holly Capital 弘業資本	Holly Capital Management Co., Ltd. 弘業資本管理有限公司
Holly International Financial 弘業國際金融	Holly International Financial Holdings Limited 弘業國際金融控股有限公司

## Confirmation and Approval 確認及批准

This Report was approved by the Board of Directors of the Company on 31 March 2026. The Company and all members of the Board of Directors confirm that the information disclosed in this Report is true, accurate and complete, and contains no false records, misleading statements or material omissions.

本報告於 2026 年 3 月 31 日獲公司董事會批准，公司及董事會全體成員保證披露內容真實、準確、完整，沒有虛假記載、誤導性陳述或重大遺漏。

## Access to the Report 報告獲取

This Report is published in electronic PDF format on the HKEXnews website of Hong Kong Exchanges and Clearing Limited (<http://www.hkexnews.hk>), CNINFO (<http://www.cninfo.com.cn>), and the official website of Holly Futures (<http://www.ftol.com.cn>).

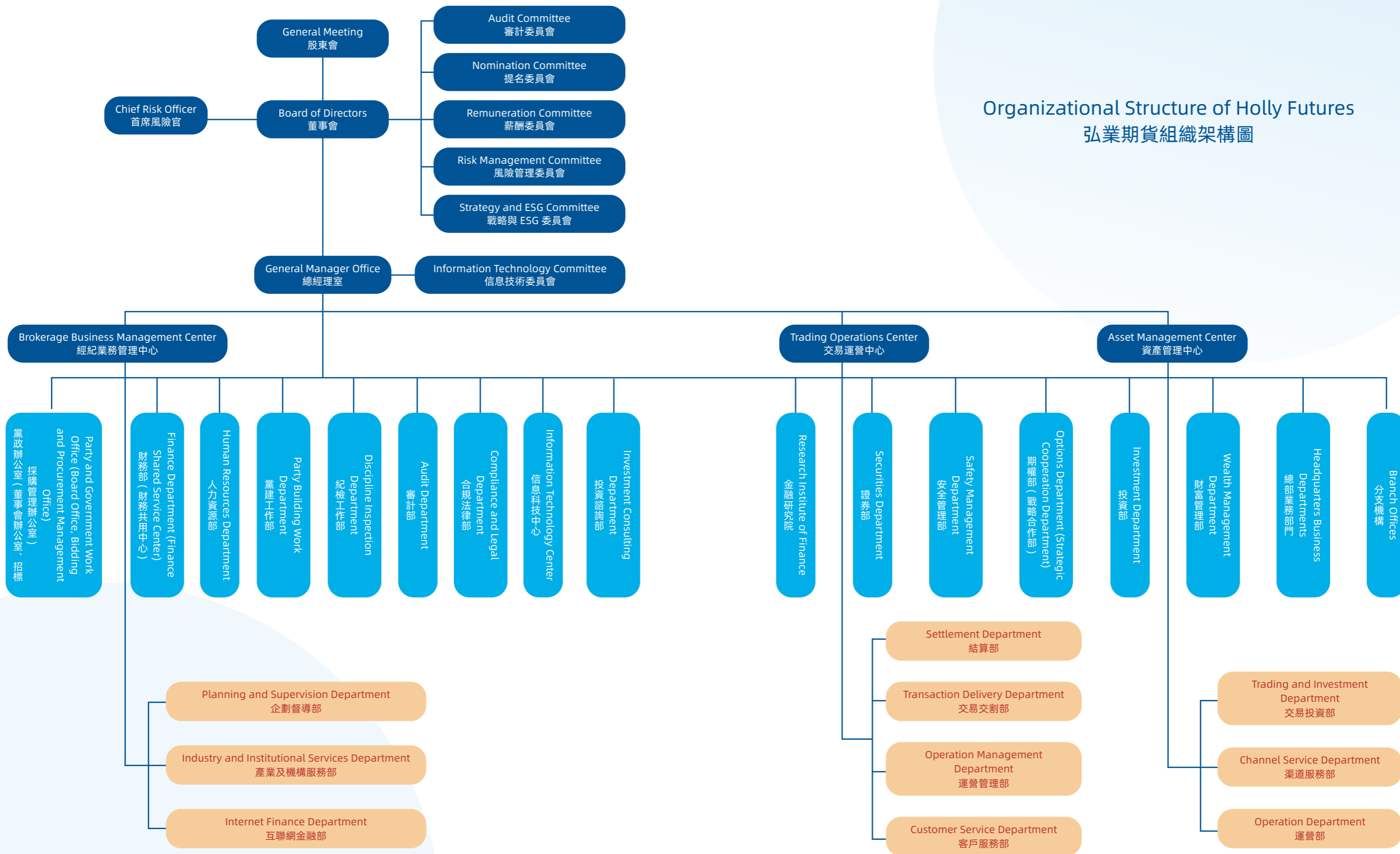
本報告以 PDF 電子檔案形式登載於香港交易及結算所有限公司披露易網站 (<http://www.hkexnews.hk>)、巨潮信息網 (<http://www.cninfo.com.cn>) 和弘業期貨公司網站 (<http://www.ftol.com.cn>)。

## About the Company 走進公司

### Company Overview 公司介紹

Soho Holly Futures Co., Ltd., established in July 1995 with a registered capital of RMB 1,007.7778 million, is affiliated with Jiangsu SOHO Holdings Group Co., Ltd., a state-owned enterprise wholly owned by the State-owned Assets Supervision and Administration Commission of Jiangsu Province. As the first state-owned financial enterprise in China's futures industry to achieve "A+H" dual listing, the Company was listed on the Main Board of The Stock Exchange of Hong Kong Limited in December 2015 (Stock Code: 03678.HK) and was successfully listed on the Main Board of the Shenzhen Stock Exchange in August 2022 (Stock Code: 001236.SZ). The Company possesses comprehensive business qualifications. As a council member of the China Futures Association and the chairman unit of the Jiangsu Futures Association, the Company's business scope comprehensively covers commodity futures brokerage, financial futures brokerage, futures investment consulting, asset management, and fund distribution, and it also engages in financial asset investment-related businesses. The Company is committed to developing into a derivatives service provider and derivatives trader with prominent core functions, strong competitive advantages and distinctive Jiangsu brand characteristics, better serving national strategies and supporting the development of the real economy in Jiangsu. The Company's wholly-owned subsidiary Holly Capital is principally engaged in commodity trading and risk management businesses; another wholly-owned subsidiary, Holly International Financial, is primarily engaged in overseas securities and futures trading as well as asset management businesses.

蘇豪弘業期貨股份有限公司成立於 1995 年 7 月，註冊資本 100,777.78 萬元人民幣，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，作為國內期貨業首家“A+H”上市國有金融企業，於 2015 年 12 月在香港聯交所主板上市（股票代碼：03678.HK），2022 年 8 月成功登陸深圳證券交易所主板（股票代碼：001236.SZ）。公司業務資質齊全，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，公司經營範圍全面涵蓋商品期貨經紀、金融期貨經紀、期貨投資諮詢、資產管理、基金銷售業務，並開展金融資產投資相關業務，致力於打造成為核心功能突出、競爭優勢明顯、具有江蘇品牌特色、能夠更好地服務國家戰略、服務江蘇實體經濟發展的衍生品服務商和衍生品交易商。公司全資子公司弘業資本主要從事大宗商品交易及風險管理業務；全資子公司弘業國際金融主要從事境外證券、期貨交易及資產管理等業務。



## Business Layout 產業佈局

The Company has 34 branch offices, including 31 business branches and 3 branch companies, forming a nationwide business network. Among them, 16 business branches are deeply rooted in the Jiangsu market, while the remaining branches are located in economically and financially developed regions such as Beijing, Shanghai and Guangzhou, achieving extensive coverage of the country's major economic regions and financial centers. In addition, through its wholly-owned Hong Kong subsidiary, Holly International Financial, the Company provides clients with cross-border financial services such as securities and futures brokerage and asset management across major global exchanges.

公司設有 34 家分支機構，包括 31 家營業部及 3 家分公司，構建了輻射全國的業務版圖。其中，16 家營業部深耕江蘇省內市場，其餘佈局於北京、上海、廣州等經濟金融發達區域，實現了對全國主要經濟帶與金融中心的深度覆蓋。此外，公司通過香港全資子公司弘業國際金融，為客戶提供全球主流交易所的證券期貨經紀、資產管理等跨境金融服務。

This network structure, "based in Jiangsu, covering the whole country, and connecting domestic and international markets", not only enables the Company to access high-quality client resources in developed regions and benefit from the urbanization and economic growth of eastern coastal and central and western regions of China, but also enhances client loyalty and brand influence through efficient and convenient financial services, thereby laying a solid foundation for the Company's sustainable development.

這一“立足江蘇、輻射全國、連接境內外”的網路格局，不僅使公司得以觸達發達地區優質客戶資源，充分分享東部沿海及中西部地區的城市化進程與經濟發展紅利；更以高效便捷的金融服務提升客戶黏性與品牌影響力，為公司持續發展奠定堅實基礎。

## Corporate Culture 企業文化



Corporate Culture  
企業文化

Heritage, Openness, Integrity, Excellence  
傳承、開放、誠信、卓越



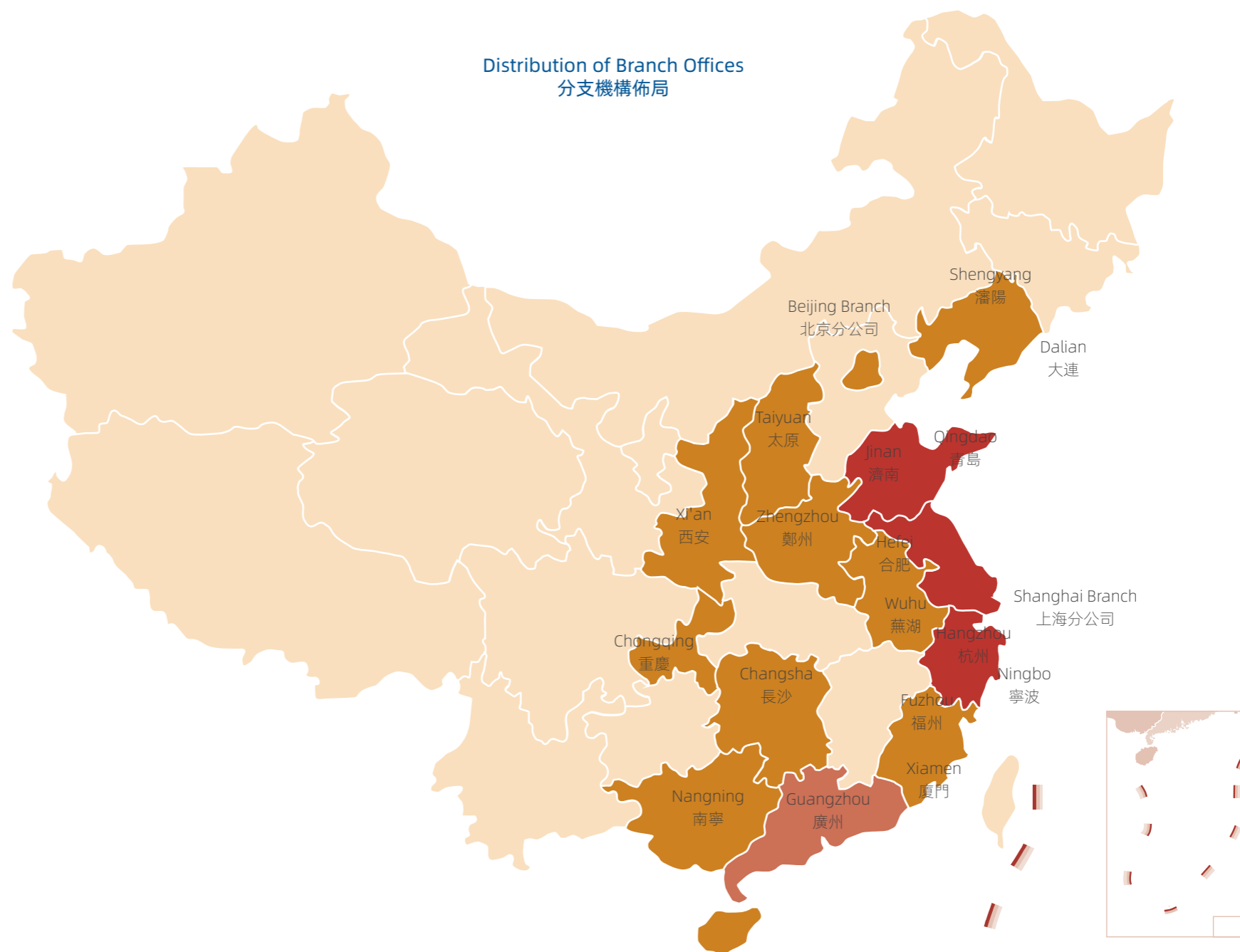
Service Philosophy  
服務理念

Prudence, Efficiency, Innovation  
穩健、高效、創新




Mission and Social Responsibility  
使命和社會責任

To create development opportunities for employees; to provide high-quality services to clients; to contribute greater value to society; to enhance the reputation and development of China's futures industry.  
為員工創造發展機會；為客戶提供優質服務；為社會貢獻更大的財富；為中國期貨業增光添彩。



Honors in 2025  
2025 年榮譽

Top 10 in the 2025 Ranking of High-Quality Development Influence of China's Futures Institutions  
2025 年中國期貨經營機構高質量發展聲量熱度榜 TOP10




Model Unit for the "Learning from Lei Feng" Campaign in the Financial System  
金融系統學雷鋒活動示範點



18th China Best Futures Institutions Awards — Best Leader of a Futures Company  
第十八屆中國最佳期貨經營機構評選——中國期貨公司最佳掌舵人獎



2025 Jun Ding Award for Outstanding Futures Company in Rural Revitalization  
2025 中國優秀鄉村振興期貨公司君鼎獎



"XinFeng · Jiangsu Rural Commercial Union Bank Cup"  
First Jiangsu Financial System Football League — Outstanding Organization Award

鑫鋒·“江蘇農商聯合銀行杯”首屆江蘇省金融系統足球聯賽——優秀組織獎



18th China Best Futures Institutions Awards — Outstanding Contribution to Futures Talent Development

第十八屆中國最佳期貨經營機構評選——最佳期貨人才培養機構貢獻獎



18th China Best Futures Institutions Awards — Outstanding Contribution to Green Financial Services  
第十八屆中國最佳期貨經營機構評選——綠色金融服務卓越貢獻獎



18th China Best Futures Institutions Awards — Best Award for Comprehensive Rural Revitalization and Social Responsibility  
第十八屆中國最佳期貨經營機構評選——最佳全面鄉村振興及社會責任公益獎



18th China Best Futures Institutions Awards — Annual Innovation Award for Investor Protection Education  
第十八屆中國最佳期貨經營機構評選——年度投資者保護教育創新獎



18th China Best Futures Institutions Awards — Best Futures Company in China  
第十八屆中國最佳期貨經營機構評選——中國最佳期貨公司



## Key Performance Highlights in 2025 2025 年亮點績效

Environmental Performance 環境績效	
Greenhouse Gas Emissions 溫室氣體排放量	482.78 tonnes of CO <sub>2</sub> equivalent 482.78 噸二氧化碳當量
Total Water Consumption 總用水量	3,230 tonnes 3,230 噸
Incidents of Penalties for Violations of Environmental Laws and Regulations 因違反環境領域相關法律法規及監管而受到處罰事件	0
Social Performance 社會績效	
Total Employee Training Hours 員工培訓總時長	20,009 hours 20,009 小時
Employee Health Check-up Coverage 員工體檢覆蓋率	100%
Governance Performance 治理績效	
Percentage of Female Directors 女性董事占比	12.50%
Percentage of Independent Directors 獨立董事占比	37.50%
Completion Rate of Integrity Agreements for New Employees 新進員工廉潔協議簽訂率	100%

## ESG Governance ESG 治理

### ESG Management System ESG 管理體系

Holly Futures' Board of Directors issues the following statement in accordance with the Environmental, Social and Governance Reporting Guide of the Hong Kong Stock Exchange.

弘業期貨董事會按照香港聯交所《香港聯合交易所有限公司證券上市規則》附錄 C2《環境、社會及管治報告守則》要求，作出以下聲明。

Holly Futures and its Board adhere to the philosophy of green and sustainable development and place great importance on environmental, social, and governance (ESG) practices. The Company has formulated the Working Rules of the Board of Directors' Strategy and ESG Committee, established and improved its ESG management system, and developed a three-tier ESG governance structure comprising the decision-making level, management level, and execution level. The Company strengthens the Board's engagement in ESG and sustainable development affairs, integrates ESG principles into daily operations, management, and governance processes, clearly defines responsibilities, authority, and operational mechanisms at each level, and continuously promotes the achievement of the Company's sustainable development objectives.

弘業期貨及董事會秉承“綠色環保與可持續發展”理念，高度重視環境、社會與治理工作，公司制定《董事會戰略與 ESG 委員會工作細則》，建立健全 ESG 管理體系，完善“決策層—管理層—執行層”三級 ESG 治理架構，加強董事會在公司 ESG 與可持續發展事務中的參與力度，將 ESG 理念融入日常經營管理和治理流程，清晰界定各層級職責分工與運行機制，持續推動公司可持續發展目標的實現。

Level 層級	Governance Body 管理機構	Responsibilities 職責
Decision-making Level 決策層	Board of Directors and Strategy and ESG Committee 董事會及戰略與 ESG 委員會	<p>The Board, as the highest decision-making body for ESG governance, it comprehensively oversees ESG management and reviews and approves ESG policies, strategies and plans.</p> <p>董事會作為 ESG 治理最高決策機構，全面監督 ESG 管理工作，審定 ESG 方針、戰略與規劃。</p> <p>The Strategy and ESG Committee, a subcommittee under the Board, studies ESG- and climate-related visions, strategies, risks and opportunities, reviews the ESG Report and major ESG-related matters, and reports to the Board of Directors.</p> <p>董事會下設戰略與 ESG 委員會，負責研究 ESG 及氣候變化相關願景、戰略、風險與機遇，審議 ESG 報告及重大事項，並向董事會彙報。</p>
Management Level 管理層	General Manager Office 總經理室	<p>It reviews and supervises ESG policy formulation, implementation management, risk assessment, performance monitoring and information disclosure, and reports to the Strategy and ESG Committee.</p> <p>審議監督 ESG 政策制定、執行管理、風險評估、績效表現及信息披露等事宜，並向戰略與 ESG 委員會彙報。</p>
Execution Level 執行層	All Departments and Subsidiaries 各部門及子公司	<p>As the implementing bodies for ESG-related matters, they carry out specific tasks in accordance with their respective responsibilities, advance implementation based on the annual work plan, and regularly report progress to the management.</p> <p>作為 ESG 事宜執行主體，按職責分工落實具體工作，依據年度工作計畫推進實施，並定期向管理層彙報進展。</p>

## Stakeholder Engagement 利益相關方溝通

The Company has established a comprehensive stakeholder engagement system and collects suggestions and feedback from stakeholders through diversified communication channels. It identifies key stakeholder groups including employees, clients, partners, government authorities and regulatory bodies, and establishes differentiated communication mechanisms tailored to the characteristics of each group in order to actively respond to stakeholders' expectations and concerns.

公司構建了完善的利益相關方溝通體系，通過多元化的溝通渠道，廣泛收集利益相關方的建議與意見，全面識別員工、客戶、合作夥伴、政府與監管機構等關鍵利益相關方群體，針對不同群體特點建立差異化溝通機制，積極回應利益相關方訴求。

Stakeholders 利益相關方	Expectations and Concerns 訴求與期望	Communication and Response 溝通回應
 Government or Regulatory Authorities 政府或監管機構	Lawful and compliant operations 合法合規經營  Fulfill social responsibilities 承擔社會責任	Full and timely tax payment 足額納稅  Conduct anti-money laundering awareness 開展反洗錢宣導  Support the real economy 支持實體經濟
 Shareholders and Investors 股東及投資者	Protect shareholders' rights and interests 保障股東權益  Ensure accurate information disclosure 信息披露準確  Safeguard investors' right to information 投資者知情權	Diversified communication channels 多元化溝通  Timely and transparent information disclosure 信息披露及時透明  Respond to investor inquiries 投資者問題回應
 Clients 客戶	Information security and privacy protection 信息安全與隱私保護  Provide high-quality products and services 提供優質產品和服務  Protect clients' legitimate rights and interests 保障客戶合法權益	Responsible marketing 負責任行銷  Customer service hotline 客戶服務熱線  Investor education 投資者教育  Customer complaint handling 客戶投訴處理
 Partners 合作夥伴	Maintain sound cooperation 保持良好合作  Achieve mutual benefit and win-win cooperation 互利共贏	Perform the contract in accordance with the law 依法履行合同  Timely settlement of payments 按時交付貨款
 Employees 員工	Employee Rights and Interests Protection 員工權益保障  Employee training and development 員工培訓與發展  Employee benefits 員工福利	Improve the employment management system 完善僱傭管理體系  Tiered and categorized training 分層分類培訓  Team-building activities 團建活動
 Public Welfare and Community Organizations 公益組織及社區組織	Social welfare initiatives 社會公益	Public welfare and charitable activities 公益慈善活動

## Materiality Assessment 實質性議題分析

During the year, the Company conducted a comprehensive assessment and dynamic adjustment of its material topics, taking into account its strategic development plans, industry trends and stakeholder concerns. Based on a double materiality assessment framework that considers both "importance to the Company's financial performance" and "importance of impacts on the economy, society and the environment," the Company identified and evaluated material topics in reference to the Global Reporting Initiative (GRI) Sustainability Reporting Standards, the Environmental, Social and Governance Reporting Guide of the Hong Kong Stock Exchange, and the Self-regulatory Guideline No. 17 for Companies Listed on the Shenzhen Stock Exchange — Sustainability Reports (Trial). Through expert interviews, industry benchmarking and other methods, the Company widely collected opinions and conducted comprehensive identification and assessment of material topics. Following in-depth analysis, a total of 26 topics were ultimately identified, and the management measures and performance relating to material topics are disclosed with particular emphasis in this Report. The Company will continue to monitor changes in the internal and external environment and conduct regular materiality assessments to ensure that the identified topics remain relevant and appropriate, thereby better responding to stakeholder expectations and promoting the Company's sustainable development.

本年度，公司結合戰略發展規劃、行業發展趨勢及利益相關方關切，對實質性議題開展了全面評估與動態調整。公司依託“對公司財務狀況的重要性”與“對經濟、社會和環境影響的重要性”雙重重要性評估框架，參照 GRI《全球可持續發展報告標準》、《香港聯合交易所有限公司證券上市規則》附錄 C2《環境、社會及管治報告守則》及《深圳證券交易所上市公司自律監管指引第 17 號——可持續發展報告（試行）》等規範要求，通過專家訪談、行業對標等方式廣泛徵求意見，對實質性議題開展全面識別與評估。經深度研判，最終識別出 26 項議題，並對重要性議題的管理措施與經營績效進行重點披露。公司將持續關注內外部環境變化，定期開展實質性議題評估，確保議題設置科學合理、與時俱進，更好地回應利益相關方期望，推動公司可持續發展。

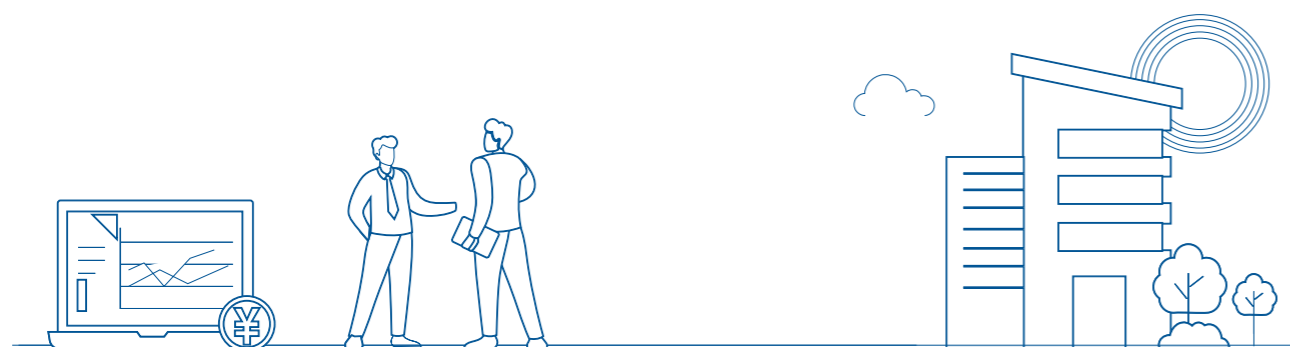




Materiality Level 重要性程度	ESG Topics ESG 議題
Double Materiality Topics 雙重重要性議題	Product and service safety and quality; data security and customer privacy protection; compliant operations 產品和服務安全與品質、數據安全與客戶隱私保護、合規經營
Financial Materiality Only 僅具有財務重要性	Climate Change Response 應對氣候變化
Impact Materiality Only 僅具有影響重要性議題	Innovation; Serving the real economy; upholding Party leadership; anti-bribery and anti-corruption; social contribution; occupational health and safety; protection of employees' rights and interests; anti-unfair competition; rural revitalization; energy utilization; due diligence; green finance; water utilization; stakeholder engagement; supply chain management 創新驅動、服務實體經濟、堅持黨的領導、反商業賄賂及反貪污、社會貢獻、職業健康安全、員工權益保護、反不正當競爭、鄉村振興、能源利用、盡職調查、綠色金融、水資源利用、利益相關方溝通、供應鏈管理
General Materiality Topics 一般重要性議題	Environmental compliance management; circular economy; waste management; technology ethics; pollutant emissions; ecosystem and biodiversity protection; equal treatment of small and medium-sized enterprises 環境合規管理、循環經濟、廢棄物處理、科技倫理、污染物排放、生態系統和生物多樣性保護、平等對待中小企業

The reasons why these topics are not of financial materiality or impact materiality to Holly Futures are as follows:  
其中，對弘業期貨不具有財務重要性和影響重要性的議題原因如下：

Dimension 維度	Topic 議題	Reason 原因
Environment 環境	Environmental Compliance Management 環境合規管理 Circular Economy 循環經濟 Waste Management 廢棄物處理 Pollutant Emissions 污染物排放 Ecosystem and Biodiversity Protection 生態系統和生物多樣性保護	As the Company operates in the financial sector and primarily provides financial services such as futures brokerage, asset management and risk management, it does not involve industrial production processes. Therefore, these topics are less relevant to the Company's operations and have limited impact on its financial performance and the external environment. 公司屬於金融行業，主營業務為期貨經紀、資產管理、風險管理等金融服務，不涉及工業生產環節，相關議題與公司業務關聯度不高，對公司財務狀況及外部環境影響有限
Social 社會	Technology Ethics 科技倫理 Equal Treatment of SMEs 平等對待中小企業	The Company's business primarily focuses on traditional financial services and does not involve the research or application of emerging technologies such as artificial intelligence or genetic technologies, resulting in relatively low exposure to technology ethics risks. Holly Futures strictly complies with relevant laws, regulations, and business ethics, and has not encountered issues in this area. 公司業務以傳統金融服務為主，未涉及人工智能、基因技術等前沿科技研發與應用，科技倫理風險敞口較小；弘業期貨嚴格遵守相關法律法規和商業道德，未涉及該議題事項



# Upholding Compliance and Enhancing Governance Effectiveness

## 01 堅守合規底線 提升治理效能

SDGs Addressed in This Section  
本章所回應 SDGs



### ESG Material Topics Covered in This Section 本章所涉及的 ESG 重要議題

- Regulatory Compliance ○  
合規經營
- Anti-Bribery and Anti-Corruption ○  
反商業賄賂及反貪汙
- Anti-Unfair Competition ○  
反不正當競爭
- Upholding the Leadership of the Communist Party ○  
堅持黨的領導
- Stakeholder Engagement ○  
利益相關方溝通
- Due Diligence ○  
盡職調查

# Adhere to the leadership of the Communist Party of China

## 黨建引領

### Organizational Development 組織建設

Holly Futures consistently places the construction of Party organizations in a prominent position. Centered on the development theme of "Strong Party Building, Excellent Governance, Stable Operations, and Seamless Integration," the Company has formulated institutional documents such as the Holly Futures Party Committee 2025 Annual Responsibility List for Implementing the Principal Responsibility of Comprehensive Party Governance and the Implementation Measures for Ideological Work Responsibilities. Holly Futures drives these initiatives through the deepening of state-owned enterprise reform and the promotion of comprehensive Party governance, continuously enhancing the political and organizational functions of its grassroots Party organizations. The Company continuously strengthens its cadre and talent teams, as well as its Party membership, strictly managing Party education and ensuring the effective role of its members.

弘業期貨始終把黨組織建設擺在重要位置，圍繞“黨建強、治理優、經營穩、融合好”發展主題，制定《弘業期貨黨委 2025 年度履行全面從嚴治黨主體責任清單》《弘業期貨意識形態工作責任制實施辦法》等制度檔案，堅持以深化國企改革為動力，以推進全面從嚴治黨為保障，持續提升基層黨組織政治功能和組織功能。公司不斷強化幹部人才隊伍與黨員隊伍建設，從嚴抓好黨員教育管理與作用發揮。

Furthermore, the Company strictly implements all directives on Party conduct and clean governance, adhering to the principle of leading work style through Party discipline and promoting accountability through responsibility. It upholds the baseline of integrity and compliance, advancing mutual reinforcement between Party building and business management, and strives to establish a Party organizational structure that is hierarchically clear, comprehensively covered, functionally defined, and efficiently operated. The Company has established 1 Party Committee, under which 26 Party branches operate, encompassing key personnel across the headquarters, branch offices, and subsidiaries. This structure promotes deep integration between the Party's organizational system and the Company's business system, providing a robust political and organizational guarantee for the Company's high-quality development.

此外，公司嚴格落實黨風廉政建設各項部署要求，堅持以黨風帶作風、以責任促擔當，嚴守廉潔合規底線，推動黨建工作與經營管理互促共進，著力構建層級清晰、覆蓋全面、功能明確、運行高效的黨組織架構。公司設立 1 個黨委，黨委下設 26 個黨支部，覆蓋了公司總部各部門、各分支機構及子公司的骨幹力量，推動黨的組織體系與公司業務體系深度融合，為公司高質量發展再上新臺階提供堅強有力的政治保證和組織保證。

### Ideological Development 思想建設

Holly Futures places great emphasis on ideological development, having formulated the Implementation Measures for Ideological Work Responsibilities. Guided by Xi Jinping Thought on Socialism with Chinese Characteristics for a New Era, the Company thoroughly studies and implements General Secretary Xi Jinping's key ideas on Party construction, firmly grasps the general requirements for Party building in the new era, and steadfastly maintains ideological guidance while strengthening the foundation of belief. The Company regularly conducts thematic study sessions for theoretical education and organizes Party lectures implementing the spirit of the Central Eight-Point Regulation. These efforts embed theoretical learning into employees' consciousness, ensuring ideological guidance and exemplary conduct, thereby providing a strong political guarantee for the Company's high-quality development.

弘業期貨高度重視思想建設工作，制定《弘業期貨意識形態工作責任制實施辦法》，以習近平新時代中國特色社會主義思想為指導，深學篤行習近平總書記關於黨的建設的重要思想，牢牢把握新時代黨的建設總要求，切實把穩思想之舵、築牢信仰之基。同時，公司常態化開展理論學習教育專題讀書班，組織貫徹落實中央八項規定精神專題黨課，推動理論學習入腦入心，以堅定思想引領和優良作風保障，為公司高質量發展提供堅強政治保證。

During the Reporting Period, the Company published over 33 reports across major mainstream media, including 11 reports on state-owned enterprise responsibility and rural revitalization, effectively enhancing the Company's brand image. The Company also completed 20 issues of Holly Dynamics, totaling 433 pages and approximately 260,000 words. Reports related to social responsibility were published on authoritative national and provincial media such as Xinhua Daily Press Group, Jiangsu Net and Xinhua Net receiving positive feedback.

報告期內，公司在多家主流媒體發佈報導 33 餘篇次，其中涉及國企擔當、鄉村振興的報導 11 篇次，有效提升公司品牌形象；編制完成《弘業動態》20 期，共 433 頁，約 26 萬字；社會責任相關報導在新華報業網、中國江蘇網、新華網等中央及省級權威媒體刊發，獲得良好反響。



#### KPI 關鍵績效

During the Reporting Period, the Company had **1** Party Committee, **26** Party branches, held **42** Party Committee meetings, and had **154** Party members.

報告期內，公司黨委數量 **1** 個，黨支部數量 **26** 個，召開黨委會次數 **42** 次，黨員數量 **154** 人。



**Thematic Study Sessions for Education**  
學習教育專題讀書班

**Case Study**  
案例

On April 21 and 27, 2025, the Holly Futures Party Committee organized thematic study sessions in the form of expanded theoretical study group meetings to thoroughly implement the spirit of the Central Eight-Point Regulation. The study sessions were fundamentally aimed at strengthening ideological guidance, closely aligning with the learning requirements of the Central Eight-Point Regulation. They clarified the requirements for ideological development and practical application, delving deeply into General Secretary Xi Jinping's important speeches and instructions on work in Jiangsu. By integrating learning with practice and enforcing strict study discipline and exemplary academic conduct, the sessions fully covered all participants, guiding them to integrate thought, work, and responsibilities into their learning and translating learning outcomes into conscious thought, deliberate action, and practical capacity to advance the Company's high-quality development.

2025 年 4 月 21 日、27 日，弘業期貨黨委以理論學習中心組學習（擴大）會形式舉辦深入貫徹中央八項規定精神學習教育專題讀書班。本次讀書班以強化思想引領為根本，緊扣中央八項規定精神學習要求，明確思想建設與學習實踐要求，深學細悟習近平總書記關於江蘇工作的重要講話和重要指示精神，堅持學用貫通，以嚴肅的學習紀律、優良的學風強化思想武裝，推動學習教育全覆蓋，引導全體參學人員把思想、工作、職責擺進學習實踐，切實將學習成果轉化為思想自覺和行動自覺，轉化為推動公司高質量發展的實際能力。



Thematic Study Sessions for Thorough Implementation of the Central Eight-Point Regulation  
深入貫徹中央八項規定精神學習教育專題讀書班

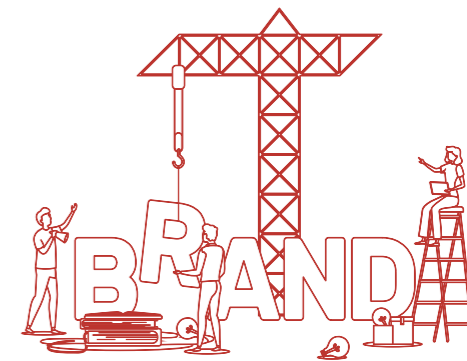
**Party Discipline Development**  
黨紀建設

To advance comprehensive Party governance, the Company formulated the Holly Futures Party Committee 2025 Annual Responsibility List for Implementing the Principal Responsibility of Comprehensive Party Governance, continuously strengthening Party discipline, strictly regulating internal political life, reinforcing discipline enforcement and anti-corruption risk control, and striving to cultivate a clean, upright, and entrepreneurial political environment. The Company guides and supervises Party organizations at all levels to strictly implement the "Four Obediences," standardize the execution of "Three Meetings and One Lesson," democratic life meetings, and organizational life meetings, leveraging criticism and self-criticism as effective tools. It also improves decision-making rules and work procedures, adhering to institutional, procedural, and collective decision-making principles, continuously enhancing the political, contemporary, principled, and combative nature of internal Party political life, thereby purifying the corporate political environment.

為深入推進全面從嚴治黨，公司制定《弘業期貨黨委 2025 年度履行全面從嚴治黨主體責任清單》，持續加強黨紀建設，嚴格規範黨內政治生活，強化紀律執行與廉潔風險防控，著力營造風清氣正、幹事創業的良好政治生態。公司指導督促各級黨組織嚴格落實“四個服從”，規範落實“三會一課”、民主生活會、組織生活會等組織活動，用好批評和自我批評銳利武器，健全完善議事決策規則與工作程序，堅持按制度、按程序、按集體意志辦事，不斷增強黨內政治生活的政治性、時代性、原則性、戰鬥性，持續淨化企業政治生態。

Moreover, the Company adopts a systemic and holistic approach, simultaneously addressing both root causes and symptoms, to prevent corruption in all forms—ensuring that personnel dare not, cannot, and do not want to engage in corruption. It strengthens disciplinary accountability, deepens case-based reform and case-driven governance to close institutional gaps, and enhances integrity education, continuously fostering a culture that values probity and maintains a clean, upright development environment.

此外，公司堅持系統施治、標本兼治，一體推進不敢腐、不能腐、不想腐，嚴肅查處濫用職權、損害企業利益、造成國有資產流失等違紀違法問題，強化執紀問責；深化以案促改、以案促治，堵塞制度漏洞；加強廉潔教育，持續營造崇廉尚潔、風清氣正的發展環境。



**Party Building Brand Development**  
黨建品牌建設

Holly Futures emphasizes both internal and external engagement, focusing on the main line of high-quality development, deepening the construction of the "Holly Heart Escort" core Party brand. In 2025, it officially launched the Party brand development initiatives across 26 Party branches, creating a "1+N" Party brand matrix and promoting deep integration between Party building and business management. The Company leverages brand development as a tool, innovating activity platforms, partnering with peer companies and communities, using joint Party-building initiatives as entry points to explore new approaches. Holly Futures continuously strengthens brand communication effectiveness, enhances the influence and appeal of Party-building efforts, and transforms the Party's political and organizational advantages into the Company's developmental and competitive advantages, guiding and safeguarding high-quality development through high-quality Party building.

弘業期貨堅持內外聯動，聚焦高質量發展主線，深化“弘心護航”主品牌建設，2025 年正式啟動 26 個黨支部黨建品牌創建工作，構建“1+N”的黨建品牌矩陣，推動黨建工作與經營管理深度融合。公司以品牌建設為抓手，創新活動載體，與兄弟公司、社區等結對共建，以黨建共建為切入點，共同探索黨建工作新途徑，持續強化品牌傳播效能，不斷提升黨建工作的影響力和感染力，切實將黨的政治優勢、組織優勢轉化為公司的發展優勢、競爭優勢，以高質量黨建引領保障公司高質量發展。



"Party Building Leads the Right Course, Securities and Futures Go Far" Joint Branch Activity  
“黨建引領航向正，證券期貨行致遠”支部共建活動

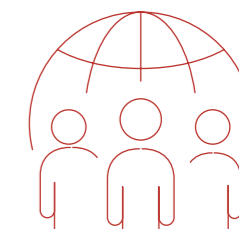
Case Study  
案例

On December 26, 2025, the Securities Investment Department of Huatai Securities visited Holly Futures for research and exchange, during which the Party branches of both organizations jointly conducted the "Party Building Leads the Right Course, Securities and Futures Go Far" collaborative activity. During the activity, both parties jointly visited the Party-Mass Activity Center, exchanged experiences in Party-building work, shared business development achievements, and discussed topics such as investment research systems and risk management. Both parties agreed to use this joint initiative as an opportunity to deepen communication and collaboration, achieve resource sharing and complementary advantages, and work together to contribute to the high-quality development of the capital market.

2025年12月26日，華泰證券證券投資部至弘業期貨調研交流，雙方黨支部聯合開展“黨建引領航向正，證券期貨行致遠”共建活動。期間，雙方共同參觀黨群活動中心，深入交流黨建工作經驗，分享業務發展成果，並就投研體系、風險管理等議題展開探討。雙方一致表示，將以此次共建為契機，深化溝通協作，實現資源共用、優勢互補，攜手為資本市場高質量發展貢獻力量。



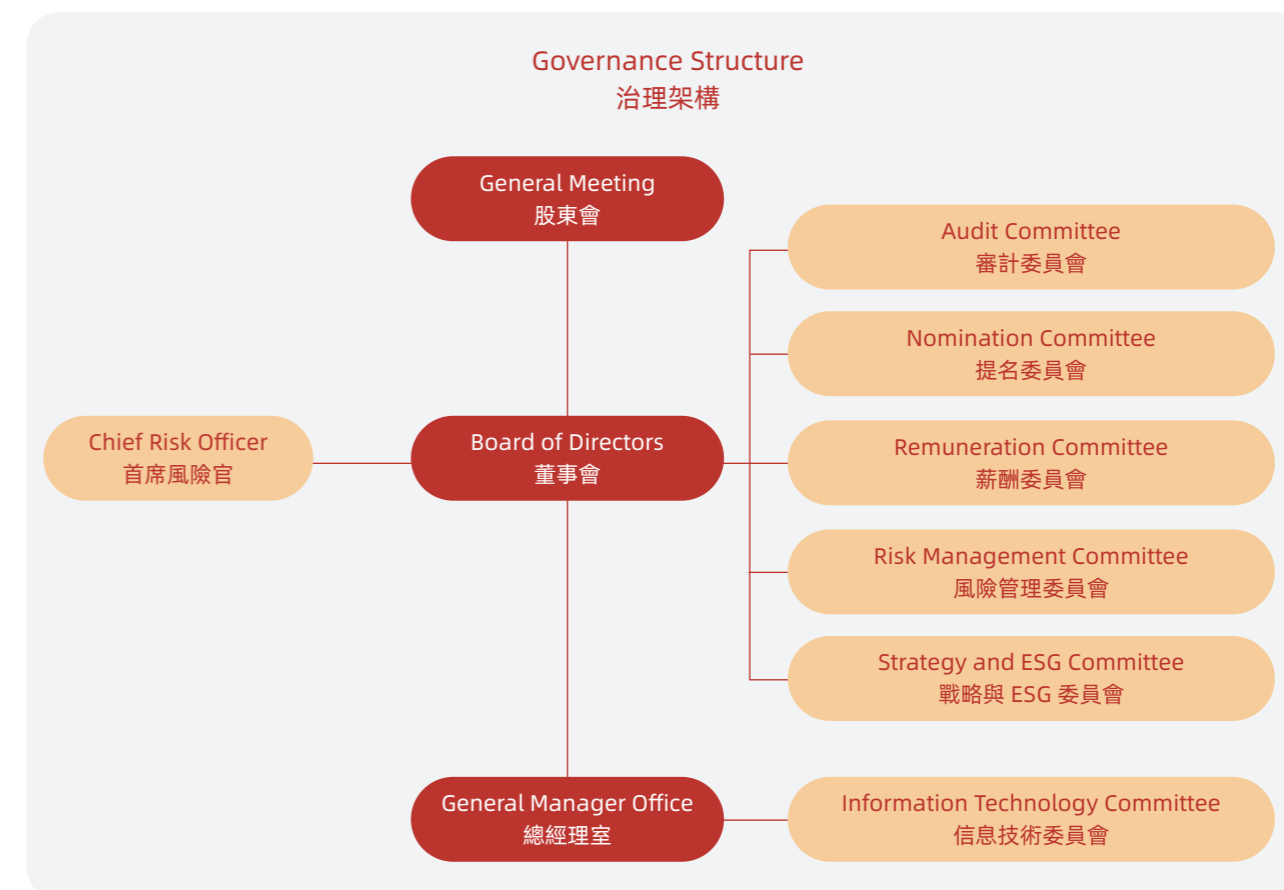
# Corporate Governance 公司治理



## Governance Structure 治理結構

Holly Futures strictly complies with the Company Law of the People's Republic of China, the Securities Law of the People's Republic of China, the Code of Corporate Governance for Listed Companies and other applicable laws, regulations and regulatory requirements. With the Articles of Association as the core, the Company continuously improves its internal management system. The Company has established a standardized governance structure comprising the General Meeting, the Board of Directors and the senior management. It has formed a modern corporate governance mechanism featuring clear allocation of powers and responsibilities, coordinated operations and effective checks and balances among the authority, decision-making, supervisory and executive bodies. By continuously improving the effectiveness of corporate governance, the Company ensures compliant and stable operations and high-quality development, while effectively safeguarding the legitimate rights and interests of the Company and its stakeholders, including shareholders, clients and employees.

弘業期貨嚴格遵循《中華人民共和國公司法》《中華人民共和國證券法》《上市公司治理準則》等法律法規與監管要求，以《公司章程》為核心，持續健全內部管理制度體系。公司構建了以股東會、董事會、高級管理層為主體的規範治理架構，形成了權力機構、決策機構、監督機構與執行機構之間權責透明、協調運轉、有效制衡的現代企業治理機制。通過持續提升公司治理質效，公司全力保障合規穩健運營與高質量發展，切實維護公司及全體股東、客戶、員工等各利益相關方合法權益。



## General Meeting 股東會

The General Meeting, composed of all shareholders, is the Company's highest authority and exercises its powers in accordance with laws, administrative regulations, regulatory provisions and the Articles of Association. The Company has formulated and implemented the Rules of Procedure for General Meetings in strict accordance with regulatory requirements, standardizing the procedures for convening, notifying, holding, voting and adopting resolutions at General Meetings. This ensures that all shareholders, particularly minority shareholders, enjoy equal participation and effectively safeguards their legitimate rights and interests, including the rights to information, participation, voting and inquiry. With respect to the voting mechanism, when resolutions are voted on at the General Meeting, lawyers and shareholder representatives jointly undertake the counting and supervision of votes and announce the voting results on the spot. The results are recorded in the meeting minutes to fully safeguard the legitimate rights and interests of minority investors.

股東會由全體股東組成，是公司的權力機構，依法行使法律、行政法規、規範性檔案及公司章程規定的各項職權。公司嚴格按照監管要求制定並執行《股東會議事規則》，規範股東會的召集、通知、召開、表決及決議程序，保障全體股東特別是中小股東享有平等參與權，切實維護全體股東的知情權、參與權、表決權、質詢權等合法權益。在表決機制上，股東會對提案進行表決時，應當由律師、股東代表共同負責計票、監票並當場公佈表決結果，對議案的表決結果載入會議記錄，充分保障中小投資者的合法權益。



### KPI 關鍵績效

During the Reporting Period, the Company convened **3** General Meetings, at which a total of **18** resolutions were considered and approved.

報告期內，公司共召開股東會 **3** 次，審議並通過 **18** 項議案。

## Board of Directors 董事會

The Board of Directors serves as the Company's decision-making body and, in accordance with the Articles of Association and the authority delegated by the General Meeting, is responsible for the management and operation of the Company and accountable to the General Meeting. Holly Futures has established institutional frameworks including the Rules of Procedure for the Board of Directors, the Rules of Procedure for the Remuneration Committee of the Board, and the Rules of Procedure for the Audit Committee of the Board. These clearly define the responsibilities and operational standards of the Board and its specialized committees, including the Audit Committee, Nomination Committee, Remuneration Committee and Risk Management Committee. They also specify the full operational procedures for convening, holding, deliberating, voting and forming resolutions of the Board, enabling the Board to effectively perform its roles in scientific decision-making, strategic guidance and risk oversight, and continuously enhancing the standardization and quality of its decision-making.

董事會是公司的決策機構，根據《公司章程》和股東會授予的職權，依法對公司進行經營管理，對股東會負責。弘業期貨制定《董事會議事規則》《董事會薪酬委員會議事規則》《董事會審計委員會議事規則》等制度，明確董事會及審計委員會、提名委員會、薪酬委員會、風險管理委員會等專門委員會的職責邊界與運作規範，明確董事會的召集、召開、審議、表決及決議形成等全流程運作機制，充分發揮董事會科學決策、戰略引領、風險把控作用，持續提升董事會規範運作水準與決策品質。



### KPI 關鍵績效

During the Reporting Period, the Company convened **9** Board meetings, at which **52** resolutions were considered and approved. In addition, the Audit Committee held **6** meetings, the Nomination Committee held **3** meetings, the Remuneration Committee held **3** meetings, the Risk Management Committee held **2** meetings, and the Strategy and ESG Committee held **3** meetings.

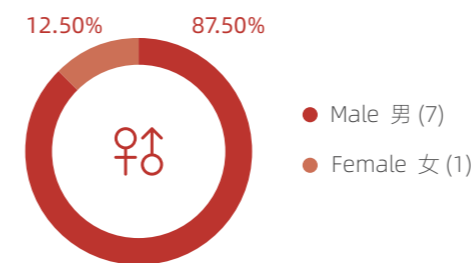
報告期內，公司共召開董事會 **9** 次，審議並通過 **52** 項議案；召開審計委員會會議 **6** 次，召開提名委員會會議 **3** 次，召開薪酬委員會會議 **3** 次，召開風險管理委員會會議 **2** 次，戰略與 ESG 委員會會議 **3** 次。

## Board Diversity 董事會多元化

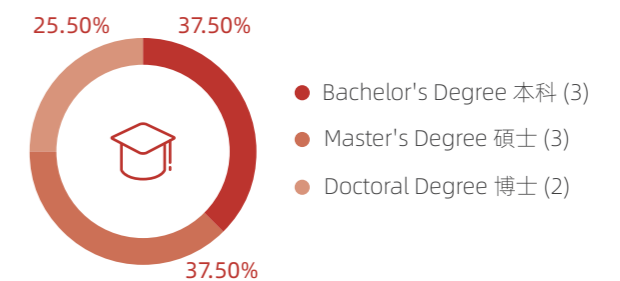
Holly Futures places great importance on the diversity and professional composition of its Board. The Company continuously optimizes the Board's structure in terms of gender, age distribution, industry experience and professional expertise, building a Board with complementary skills, a balanced structure and diverse experience, thereby enhancing the scientific and comprehensive nature of decision-making and supporting the Company's long-term stable development.

弘業期貨高度重視董事會結構的多元化與專業化建設，在性別、年齡分佈、行業經驗、專業領域等維度進行科學統籌與優化配置，持續構建專業互補、結構合理、經驗多元的董事會團隊，促進決策的科學性和全面性，保障公司長期穩健發展。

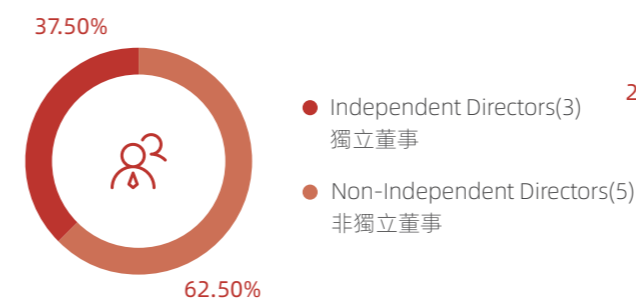
### By Gender 按性別划分



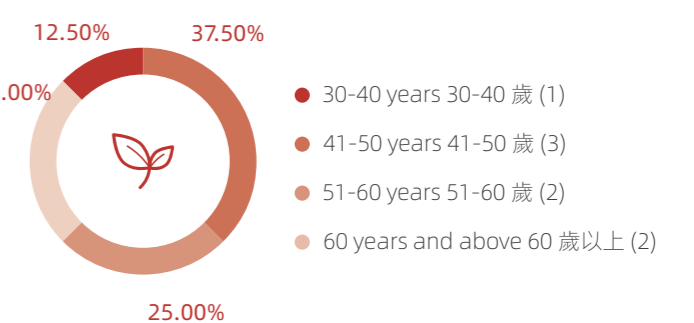
### By Educational Background 按學歷划分



### By Independent Directors 按獨立董事划分



### By Age 按年齡划分





KPI 關鍵績效

During the Reporting Period, the Company had a total of **8** Directors, including **1** female Director and **3** independent Directors.

報告期內，公司共有 **8** 名董事，其中 **1** 名女性董事，**3** 名獨立董事。

Board Independence

董事會獨立性

Holly Futures has established the Independent Directors Working System to safeguard the independence of the Board from multiple aspects, including qualification requirements, personnel composition and rules governing the performance of duties. The Company's independent Directors fully perform their duties and are not influenced by the Company's major shareholders, controlling shareholders, or other entities or individuals with interests in the Company. They effectively perform their roles in corporate governance and contribute to the standardized operation of the Company. In addition, independent Directors submit annual performance reports to the Company's annual General Meeting to report on the fulfillment of their duties, ensuring the effective performance of their supervisory responsibilities. During the Reporting Period, the Board of Directors assessed the independence of the independent Directors, confirming that the Company's independent Directors comply with the relevant requirements on independence set out in the Administrative Measures for Independent Directors of Listed Companies and other applicable regulations.

弘業期貨制定《獨立董事工作制度》，從任職資格、人員配置、履職規則等多維度保障董事會的獨立性。公司獨立董事充分履行職責，不受公司主要股東、實際控制人或者其他與公司存在利害關係的單位或個人的影響，充分發揮獨立董事在公司治理中的作用，規範公司運作。同時，獨立董事向公司年度股東會提交年度述職報告，對其履職情況進行說明，確保其發揮應有的監督職責。報告期內，公司董事會對獨立董事的獨立性情況進行評估，公司獨立董事符合《上市公司獨立董事管理辦法》等法規對獨立董事獨立性的相關要求。



KPI 關鍵績效

During the Reporting Period, the Company convened **2** independent Directors' meetings, at which **2** proposals were reviewed and considered.

報告期內，公司召開獨立董事會議 **2** 次，審議議案 **2** 項。

# Remuneration Management of Directors and Senior Management

## 董高薪酬管理

The Company places great importance on the remuneration management of Directors and senior management, and has established a scientific, standardized and transparent remuneration governance system. The Board of Directors has established a Remuneration Committee responsible for studying the performance evaluation standards for Directors and senior management, reviewing remuneration policies and proposals, and ensuring the independence and fairness of remuneration decisions.

公司高度重視董事及高級管理人員的薪酬管理，建立了科學、規範、透明的薪酬治理體系。董事會下設薪酬委員會，負責研究董事與高級管理人員的業績考核標準，審查薪酬政策與方案，確保薪酬決策的獨立性與公正性。

The Company's remuneration system consists of basic salary, allowances, performance-based bonuses and benefits, ensuring a reasonable balance between fixed and variable remuneration. Remuneration for Directors is proposed by the Remuneration Committee and submitted to the General Meeting for consideration and approval. Remuneration for senior management is determined based on resolutions of the Board of Directors, taking into account the Company's performance evaluation and incentive mechanisms, thereby linking remuneration to performance and balancing incentives with accountability.

公司薪酬體系由基本工資、津貼、績效獎金和福利構成，兼顧固定薪酬與浮動薪酬的合理配比。董事薪酬由薪酬委員會提出方案，經股東會審議決定；高級管理人員薪酬根據董事會決議，結合公司考核激勵約束機制方案確定，實現薪酬與業績掛鉤、激勵與約束並重。

The Company implements a tenure-based and contract-based management system for members of the management team and has established an evaluation mechanism combining annual assessments with tenure-based evaluations. Remuneration distribution is closely linked to assessment results, forming a differentiated incentive structure that effectively motivates the management team and promotes the Company's high-quality development.

公司推行經理層成員任期制契約化管理，建立年度考核與任期考核相結合的評價機制，薪酬分配與考核結果緊密掛鉤，形成差異化激勵格局，有效激發管理層積極性，推動公司高質量發展。



# Investor Relations Management and Shareholders' Rights and Interests

## 投資者關係管理與股東權益

### Information Disclosure 信息披露

Holly Futures strictly complies with relevant securities regulatory laws and regulations and has established and continuously improved a series of internal control systems related to information disclosure, including the Information Disclosure Management System and the Information Disclosure Suspension and Exemption Management System. These systems clearly define key aspects such as disclosure standards, procedures, division of responsibilities, as well as the scope and approval procedures for suspension and exemption of disclosure. By standardizing the entire information disclosure process, the Company effectively prevents risks related to information leakage and improper disclosure, ensuring that information disclosure is truthful, accurate, complete, timely and fair, thereby safeguarding the legitimate rights and interests of the Company, all shareholders and the investing public.

弘業期貨嚴格按照證券監管相關法律法規要求，建立並持續完善《信息披露管理制度》《信息披露暫緩與豁免管理制度》等一系列信息披露相關內控制度，對信息披露的標準、流程、職責分工以及暫緩與豁免披露的範圍、審批程序等關鍵事項作出明確規定。公司通過規範信息披露全流程管理，有效防範信息洩露及違規披露風險，確保信息披露真實、準確、完整、及時、公平，切實維護公司、全體股東及廣大投資者的合法權益。



#### KPI 關鍵績效

During the Reporting Period, the Company disclosed a total of **6** periodic reports and **117** ad hoc reports for its A Shares. For its H Shares, the Company published **179** announcements, including results announcements and monthly returns of equity issuers.

報告期內，公司 A 股共對外披露定期報告 **6** 份，臨時報告 **117** 份；H 股發佈業績報告、證券變動月報表等各類公告 **179** 份。

### Investor Relations Management 投資者關係管理

The Company attaches great importance to investor relations management and has established the Investor Relations Management System, which clarifies the scope, methods, organization and implementation of investor relations management. The Company carries out investor relations activities through multiple channels, platforms and communication methods. Through official channels such as the Company's website, the Shenzhen Stock Exchange website and the Interactive Easy platform, the Company communicates with investors through various forms including General Meetings, investor briefings, roadshows, investor visits and analyst meetings. These efforts enhance investors' understanding and recognition of the Company, thereby improving corporate governance standards and overall corporate value.

公司高度重視投資者關係管理，制定《投資者關係管理制度》，明確投資者關係管理的內容和方式、組織與實施等內容，多渠道、多平臺、多方式開展投資者關係管理工作。公司通過官方網站、深圳證券交易所網站和互動易平臺等官方渠道，採取股東會、投資者說明會、路演、投資者調研、證券分析師調研等溝通形式與投資者進行溝通交流，增進投資者對公司的瞭解與認同，提升公司治理水準和企業整體價值。



#### KPI 關鍵績效

During the Reporting Period, the Company conducted **1** investor communication activity; held **2** results briefings; and responded to **32** interactive inquiries from investors on the Shenzhen Stock Exchange's Interactive Easy platform.

報告期內，公司開展投資者溝通交流活動 **1** 次；其中召開業績說明會 **2** 次；在互動易平臺與投資者互動問答 **32** 次。

## Shareholder Returns 股東回報

In accordance with relevant laws and regulations and the Articles of Association, the Company takes into account the overall interests of all shareholders and the Company's sustainable development. Based on distributable profits, the Company distributes dividends to shareholders in accordance with established proportions each year, striving to provide shareholders with continuous and stable investment returns.

公司嚴格按照相關法律法規及《公司章程》的規定，兼顧全體股東的整體利益及公司的可持續發展，每年在實現可供分配利潤的基礎上，按照既定比例向股東分配股利，積極為股東創造連續、穩定的投資回報。

In terms of profit distribution, the Company adopts various forms including cash dividends, share dividends, or a combination of cash and shares, with priority given to cash dividends in order to further enhance reasonable returns to investors. Meanwhile, the Company attaches great importance to the opinions and concerns of independent Directors and minority shareholders. Prior to the General Meeting's consideration of specific cash dividend proposals, the Company actively communicates with shareholders, particularly minority shareholders, through channels such as online investor meetings and investor visits, thereby safeguarding their rights to information, participation and voting, and protecting the legitimate rights and interests of all shareholders, especially minority shareholders.

在利潤分配方式上，公司採用現金、股票或者現金與股票相結合的方式進行利潤分配，並優先採取現金分紅的分配方式，進一步強化對投資者的合理回報。同時，公司高度重視獨立董事及中小股東的意見和訴求，在股東會對現金分紅具體方案進行審議前，通過舉行投資者網上交流會、接待投資者來訪等渠道主動與股東特別是中小股東進行溝通和交流，切實保障中小股東的知情權、參與權和表決權，維護全體股東特別是中小股東的合法權益。

## Compliant Operations 合規經營

### Compliance Governance 合規治理

The Company follows the principles of independence, comprehensiveness, effectiveness, professionalism, authority, timeliness and coordination. It strictly complies with relevant laws and regulations including the Futures and Derivatives Law of the People's Republic of China, the Supervisory Measures for Futures Companies, and the Listing Rules on the Stock Exchange of Hong Kong Limited. The Company has formulated internal policies such as the Compliance Manual and the Compliance Management Measures, established and improved its compliance management system, continuously optimized its governance structure, enhanced the standardization and professionalism of compliance management, strengthened the prevention and control of compliance risks, and ensured compliant operations. In addition, the Company regularly conducts legal and compliance training to strengthen compliance awareness among all employees.

公司遵循“獨立性、全面性、有效性、專業性、權威性、及時性和協調性”的原則，嚴格遵守《中華人民共和國期貨和衍生品法》《期貨公司監督管理辦法》《香港聯合交易所有限公司證券上市規則》等法律法規，制定了《合規手冊》《合規管理辦法》等制度，建立健全合規管理體系，持續優化治理架構，有效提升公司合規管理規範化、專業化水準，強化合規風險防控能力，確保合規經營。同時，公司定期開展法律合規培訓，強化全員合規意識。



### Compliance Governance 合規戰略

The Company attaches great importance to compliance management. By systematically identifying and thoroughly analyzing compliance risks and potential opportunities throughout the entire operational process, the Company comprehensively assesses their potential impact on its development strategy, core business layout and financial condition, formulates targeted response measures, and lays a solid foundation for the Company's long-term and stable development.

公司高度重視合規管理工作，通過系統識別並深度分析經營全流程中的合規風險與潛在機遇，綜合評估其對公司發展戰略、核心業務佈局及財務狀況可能產生的整體影響，制定針對性的應對措施，為企業長期穩健發展奠定堅實基礎。

Type of Risk / Opportunity 風險 / 機遇類型	Description of Risk / Opportunity 風險 / 機遇描述	Likelihood 發生概率	Impact 影響程度	Time Horizon of Impact <sup>1</sup> 影響時間範圍 <sup>1</sup>	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序 排序	Potential Financial Impact 潛在財務影響	Response Measures 應對措施
<b>Compliance Risk Related to Regulatory Policy Adaptation</b> 監管政策適配 合規風險	As regulation of the futures industry becomes increasingly stringent and new policies and rules continue to be introduced, the Company may face compliance risks if it fails to promptly comply with new regulatory requirements or adjust its business model accordingly. 期貨行業監管趨嚴，新政策、新規則持續出臺，公司若未能及時全面遵守新規、調整業務模式，將面臨合規風險。	Low 低	Medium 中	Short term 短期	Operations 運營	Medium 中	Increase in operating costs 增加運營成本	The Company has established a dynamic monitoring mechanism for regulatory policies, assigned dedicated personnel to track and interpret the latest regulatory requirements and industry rules, and promptly communicated compliance requirements to relevant business departments, while revising internal compliance policies in accordance with new regulations, adjusting business processes and operational standards, and ensuring that internal systems remain fully aligned with regulatory requirements. 建立監管政策動態跟蹤機制，安排專人梳理解讀最新監管法規和行業規則，及時向各業務部門傳達合規要求；結合新規修訂公司內部合規制度，調整業務流程和操作標準，確保制度與監管要求同步。
<b>Anti-Money Laundering Compliance Risk</b> 反洗錢合規風險	In the course of conducting futures business, if the Company fails to accurately identify clients' identities, verify the legality of the sources of funds and fully understand the purposes of transactions, or lacks effective monitoring, analysis and early warning mechanisms for customer trading activities, the Company may be exploited by criminals as a channel for illegal activities such as money laundering and terrorist financing. 在期貨業務開展過程中，若公司未能嚴格準確地識別客戶身份背景、核實資金來源合法性及充分瞭解交易目的，或對客戶交易行為缺乏有效的監測分析和預警機制，可能導致公司被不法分子利用成為洗錢、恐怖融資等違法犯罪活動的通道。	Medium 中	High 高	Medium-to-long term 中長期	Operations 運營	High 高	Increase in compliance costs 增加合規成本	The Company has established and improved a comprehensive anti-money laundering (AML) management system. In terms of client management, it strictly implements customer due diligence, establishes a risk-based customer classification management system, and adopts differentiated control measures. In terms of transaction monitoring, the Company improves the monitoring, analysis and reporting mechanism for suspicious transactions and establishes a real-time blacklist screening mechanism, promoting the transition of AML practices from passive compliance to proactive risk management. In terms of capability building, the Company regularly conducts AML training and awareness programs, strengthens internal inspection and auditing, continuously improves information system support, and ensures proper retention of client identification information and transaction records, thereby comprehensively enhancing the effectiveness of AML management. 公司建立健全反洗錢制度體系，在客戶管理方面，嚴格落實客戶盡職調查，建立客戶風險等級分類管理體系，實施差異化管控；在交易監測方面，完善可疑交易監測分析與報告機制，建立黑名單即時監控篩查機制，推動反洗錢工作從被動合規轉向主動風控；在能力建設方面，定期開展反洗錢培訓與宣傳，強化內部檢查與審計，持續優化信息系統支撐，確保客戶身份信息與交易資料妥善保存，全面提升反洗錢工作效能。
<b>Opportunity for Enhancing Brand Reputation</b> 品牌聲譽提升 機遇	In the context of increasingly stringent regulation, enterprises that maintain sustained compliant operations can establish a positive industry image and enhance their brand awareness and reputation. 在監管趨嚴背景下，持續合規經營的企業將樹立正面行業形象，提升品牌知名度和美譽度； Capital markets impose strict compliance requirements on financial institutions, and compliant operations can enhance recognition by capital markets and lay a foundation for future capital operations. 資本市場對金融企業的合規性要求嚴苛，合規經營能提升資本市場認可度，為後續資本運作等奠定基礎。	High 高	Medium 中	Short- and medium-term 短、中期	Operations; downstream 運營、下游	High 高	Increase in operating revenue 營業收入增加	The Company integrates compliant operations into its corporate social responsibility framework and demonstrates corporate value through actions such as compliance services and protection of clients' rights and interests, thereby further enhancing brand influence; strictly implements information disclosure compliance requirements and discloses the Company's operational and compliance status in a timely and accurate manner, thereby enhancing capital market confidence in the Company and supporting future capital operations. 將合規經營融入企業社會責任體系，通過合規服務、保障客戶權益等行動，彰顯企業社會價值，進一步提升品牌影響力；嚴格落實信息披露合規要求，及時、準確披露公司經營及合規情況，提升資本市場對公司的信任度，為資本運作。

<sup>1</sup>In this Report, the time horizon of impact refers to: short term (1-2 years), medium term (3-5 years), medium-to-long term (6-9 years), and long term (10 years or above).

<sup>1</sup> 本报告所指影响时间范围均为：短期 1-2 年，中期 3-5 年，中长期 6-9 年，长期 10 年及以上。

## Impact, Risk and Opportunity Management 影響、風險和機遇管理

Holly Futures continues to strengthen the foundation of its risk management by formulating regulatory documents such as the Risk Control Management Measures, Risk Event Management Measures, and Risk Control Policies, thereby continuously improving its comprehensive risk management system. In the risk identification process, the Company integrates its business characteristics and adopts methods including process analysis, case reviews and interdepartmental communication to comprehensively collect and analyze internal and external operational information. This enables the Company to accurately identify compliance risks, their sources, characteristics, formation conditions and potential impact levels, and to establish a compliance risk register to effectively support corporate risk management. At the dynamic monitoring level, the Company continuously enhances its risk monitoring mechanisms by closely tracking business development, policy changes and regulatory updates. It regularly conducts identification and reassessment of compliance risks and updates the risk register to ensure that compliance risks remain under effective control throughout the Company's development. In terms of risk culture development, the Company regularly organizes risk management training to strengthen employees' awareness of risk and sense of responsibility, continuously reinforcing the foundation of risk control and building a solid line of defense for prudent operations.

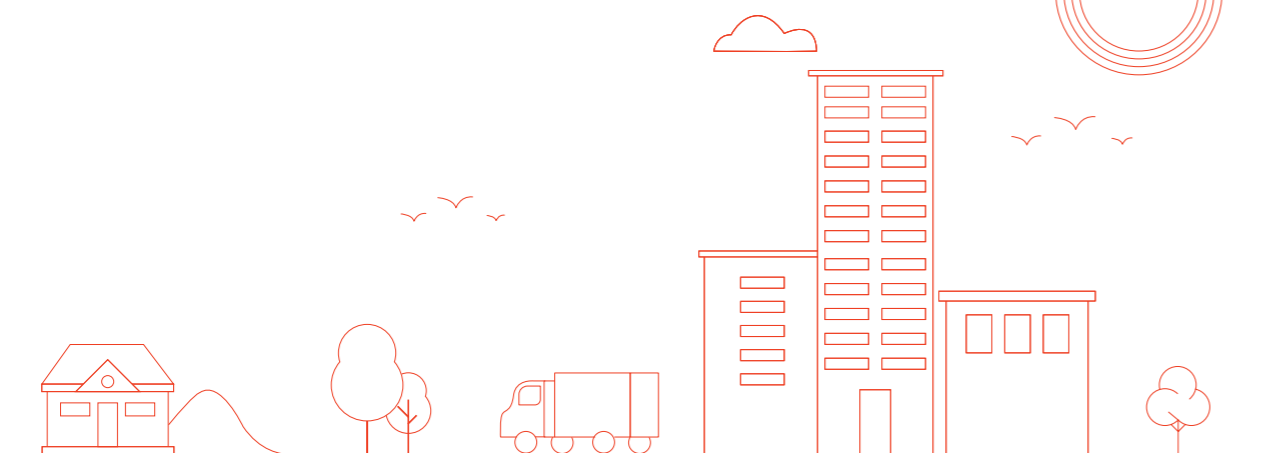
弘業期貨持續夯實風險管理基石，通過制定《風險控制管理辦法》《風險事件管理辦法》《風險控制制度》等規範性檔案，健全風險管理體系。在風險識別環節，公司結合業務特點，綜合運用流程分析、案例歸集和部門溝通等方法，全面收集並分析內外部經營信息，精準識別合規風險及其來源、特徵、形成條件及潛在影響程度，並建立合規風險清單，為公司風險管理提供有效支持。在動態監控層面，公司持續完善風險監測機制，緊跟業務發展、政策變化和法規更新，定期開展合規風險的識別與再評估，並更新風險清單，保障公司發展過程中合規風險始終受控。在文化建設層面，公司定期組織風險管理培訓，不斷強化全員風險意識與責任擔當，持續夯實風控基礎，築牢穩健經營防線。



### KPI 關鍵績效

During the Reporting Period, the Company conducted a total of **23** risk management training sessions, with a cumulative training duration of **3,300** hours and a total of **5,500** participant attendances.

報告期內，公司累計開展風險管理培訓 **23** 場，培訓總時長為 **3,300** 小時，參與培訓總人次為 **5,500** 人次。



### Case Study 案例



### Training on "Regulatory Key Points of Investor Suitability Management and Compliance Risk Prevention" “投資者適當性管理監管要點與合規風險防控建議”培訓

On May 22, 2025, the Company organized a training session titled "Regulatory Key Points of Investor Suitability Management and Compliance Risk Prevention" for all business personnel as well as compliance and risk management staff. The training aimed to strengthen employees' understanding and implementation of investor suitability management. Drawing on recent regulatory cases and the Company's internal reviews, it analyzed common compliance issues that may arise in investor risk assessments, product matching and sales processes. The session highlighted the critical role of suitability management in standardizing business operations and maintaining market order, and emphasized that employees across all departments must strictly adhere to relevant suitability management requirements to ensure that all business activities comply with regulatory standards.

2025年5月22日，公司面向全體業務人員及合規風控人員，開展“投資者適當性管理監管要點與合規風險防控建議”主題培訓。培訓為強化公司員工對適當性管理的理解與執行能力，結合近年監管案例和公司自查情況，剖析在投資者風險測評、產品匹配、銷售環節中容易出現的違規問題，著重強調適當性管理在規範業務操作、維護市場秩序方面的重要意義，並要求各部門員工在日常工作中嚴格遵循適當性管理相關規定，確保每一項業務操作都符合監管要求。

This compliance training helped employees gain a deeper understanding of investor suitability management, enhance the standardization and compliance of business operations, and strengthen the Company's risk prevention framework to support the steady development of its business.

本次合規培訓有助於員工深刻領會適當性管理的內涵，提升業務操作的規範性與合規性，為公司業務的穩健發展築牢風險防控防線。



Regulatory Key Points of Investor Suitability Management and Compliance Risk Prevention  
投資者適當性管理監管要點與合規風險防控建議

Case Study  
案例

Compliance Training on Internet Marketing  
互聯網行銷合規培訓

To thoroughly implement the latest regulatory requirements of the China Securities Regulatory Commission (CSRC), standardize the Company's internet marketing activities and strengthen employees' compliance awareness in business operations, the Company organized a compliance training session on internet marketing on September 24, 2025. Focusing on the core provisions of the Interim Provisions on the Administration of Internet Marketing by Futures Companies, the training systematically interpreted eight key regulatory requirements, including the scope of internet marketing activities, standards for reviewing marketing content and the management of third-party cooperation, and clearly identified prohibited practices in internet marketing. Drawing on recent typical violation cases, the training analyzed common compliance risks such as unauthorized marketing activities by branches, non-compliant personnel qualifications and inadequate review of promotional materials. It also explained the regulatory penalties associated with such violations, enabling participants to gain a deeper understanding of the importance of conducting business operations in full compliance with regulatory requirements.

為深入貫徹落實證監會最新監管要求，規範公司互聯網行銷業務開展，切實提升全員合規展業意識，公司於 2025 年 9 月 24 日組織開展互聯網行銷合規培訓。緊扣《期貨公司互聯網行銷管理暫行規定》核心內容，對互聯網行銷活動範圍界定、行銷內容審核規範及第三方合作管理等八大核心監管要點進行逐一拆解，明確了互聯網行銷中的禁止性行為。結合最新的違規典型案例，深入分析了分支機構擅自開展行銷、人員資質不合規、宣傳內容審核不嚴等常見違規情形，詳細解讀了違規行為對應的監管處罰措施，讓參訓人員深刻認識到合規展業的重要性。

Metrics and Targets  
指標與目標

Holly Futures continues to improve its existing compliance management mechanisms and clarifies a goal-oriented approach to compliant operations. The Company continuously optimizes its compliance management system from five dimensions. These include fostering company-wide compliance awareness, enhancing practical compliance capabilities, clearly defining and strengthening compliance responsibilities, improving routine compliance inspections, and implementing compliance-based reward and accountability mechanisms. These efforts aim to further enhance the standardization, refinement and effectiveness of compliance management.

弘業期貨持續健全現有合規工作機制，明確合規運營目標導向，從培養全員合規意識、提升合規實操技能、明確並壓實合規責任、完善常態化合規檢查、落實合規獎懲機制五維度持續優化合規管理體系，不斷提升合規管理工作的規範化、精細化水準與實際質效。

Compliance Management Targets  
合規管理目標

Establish a comprehensive risk management system to ensure the Company's prudent operations.

構建完善的風險管理體系，確保公司穩健經營。

Progress in 2025  
2025 年達成情況

The Company's key indicators remained within required thresholds and its overall risk control system is well established. However, the refinement and effective implementation of internal control management still require further enhancement.

公司核心指標持續達標，總體風控體系完善；內控管理的精細化與穿透執行仍需進一步強化。



KPI 關鍵績效

During the Reporting Period, the Company conducted a total of **18** compliance and anti-money laundering related training sessions and meetings, with a cumulative training duration of **3,200** hours and a total of **4,800** participant attendances. In addition, the Company revised **70** internal control policies, newly formulated **10** policies, and abolished **2** policies.

報告期內，公司累計開展合規、反洗錢相關培訓、會議 **18** 場，培訓總時長 **3,200** 小時，培訓總人次為 **4,800** 人次；共修訂 **70** 項內控制度、新增 **10** 項內控制度、廢止 **2** 項制度。

Anti-Money Laundering (AML)  
反洗錢

Holly Futures strictly complies with the Anti-Money Laundering Law of the People's Republic of China, the Trial Guidelines on Money Laundering and Terrorist Financing Risk Management for Legal Financial Institutions, and other applicable laws, regulations, and regulatory requirements. The Company has established a series of internal regulations including the Internal Control System for Anti-Money Laundering, the Risk Self-Assessment Management Measures for Money Laundering and Terrorist Financing, the Internal Audit and Inspection Measures for Anti-Money Laundering, the Confidentiality Management Measures for Anti-Money Laundering, and the Anti-Money Laundering Measures for Asset Management Business. This system covers all business lines and operational processes, continuously improving internal controls and fully fulfilling AML obligations. During the Reporting Period, the Company conducted on-site AML inspections or audits at 29 headquarters business departments and branches to identify potential money laundering risks and ensure compliance with AML requirements.

弘業期貨嚴格遵循《中華人民共和國反洗錢法》《法人金融機構洗錢和恐怖融資風險管理指引（試行）》等法律法規及監管要求，制定《反洗錢內部控制制度》《洗錢和恐怖融資風險自評估工作管理辦法》《反洗錢內部檢查與審計辦法》《反洗錢保密工作管理辦法》《資管業務反洗錢工作管理辦法》等一系列制度，構建覆蓋全業務、全流程的反洗錢制度體系，持續健全反洗錢內控管理機制，全面履行反洗錢義務。報告期內，公司共對 29 家總部業務部門及分支機構開展現場反洗錢檢查或審計，切實排查洗錢風險隱患，保障反洗錢工作合規落地。

Additionally, the Company formulated the Emergency Management Measures for Major AML Incidents to improve the AML emergency management system, enhance risk early warning, emergency response, and handling processes, and strengthen the ability to respond to sudden events. Routine AML training was also conducted to raise employees' AML awareness, risk identification capabilities, and emergency response skills, thereby reinforcing the AML risk prevention framework. During the Reporting Period, the Company conducted 7 AML training sessions, with a total of 1,315 participants completing the training and tests. Among them, 1,224 participants passed, achieving a pass rate of over 90%.

同時，公司制定《反洗錢重大突發事件應急管理辦法》，完善反洗錢應急管理機制，完善風險預警、應急回應和處置流程，提升突發事件應對能力；並開展常態化反洗錢培訓，切實增強全員反洗錢責任意識、風險識別能力與突發事件應急能力，築牢反洗錢風險防控防線。報告期內，公司共開展 7 次反洗錢培訓，參與培訓測試共 1,315 人次，其中及格人數 1,224 人次，合格率達到 90% 以上。

Case Study  
案例



The Fourth AML Special Training Session in 2025  
2025 年第四期反洗錢專項培訓

On October 30, 2025, the Compliance and Legal Department organized the Company's fourth Anti-Money Laundering (AML) special training session of the year. Closely aligned with the regulatory developments in the third quarter and the Company's operational practices, the training was delivered through a dual-track model combining in-person sessions and simultaneous online live streaming.

2025 年 10 月 30 日，合規法律部開展公司 2025 年第四期反洗錢專項培訓，緊密結合三季度監管形勢及公司工作實際，通過“線下集中面授 + 線上同步直播”雙軌並行模式，組織開展了公司本年度第四期反洗錢專項培訓。

The training covered three core modules. First, it provided an in-depth analysis of AML regulatory developments in the third quarter and presented typical warning cases, enabling participants to better understand regulatory expectations and the consequences of non-compliance. Second, key provisions of the newly revised AML Law were interpreted and explained to enhance participants' legal understanding of AML responsibilities. Third, the training clarified current AML operational requirements, offering practical guidance for staff across different functions.

培訓內容圍繞三大核心模組展開：一是對三季度反洗錢監管政策動態進行了深度剖析，並列舉典型警示案例，通過實際案例讓參訓人員更直觀地理解政策內涵與違規後果；二是對新《反洗錢法》中的關鍵條款展開重點闡釋與解讀，幫助參訓人員從法律層面加深對反洗錢工作的認識；三是明確現階段反洗錢工作的具體要求，為各崗位人員開展工作提供清晰指引。

The training enabled employees across various roles to better grasp regulatory priorities, enhance their AML compliance capabilities, and strengthen risk prevention awareness, thereby reinforcing the Company's AML defense framework.

本次培訓有效助力各崗位人員精準把握監管方向，切實提升反洗錢履職能力，增強風險防控意識，為構築公司反洗錢防線奠定穩固基礎。



The Fourth AML Special Training Session in 2025  
2025 年第四期反洗錢專項培訓

## Audit Management 審計管理

The Company has established a comprehensive internal audit framework by formulating policies such as the Internal Audit Work Regulations, Code of Conduct for Internal Audit Personnel, Audit Rectification Measures, and the Audit Rectification Assessment Measures (Trial). The Audit Department serves as the central unit responsible for internal audit management. The Company clearly defines audit responsibilities and authorities, standardizes audit procedures and methodologies, and strengthens the application of audit results. Through a closed-loop management mechanism covering audit supervision, issue rectification, and accountability assessment, internal audit plays an important role in standardizing management, preventing risks, and improving governance, thereby ensuring ongoing compliance in the Company's operations and development. During the reporting period, no material deficiencies were identified through internal audits.

公司建立健全內部審計制度體系，制定《內部審計工作規定》《內部審計人員工作行為規範》《審計整改工作辦法》《審計整改工作考核辦法（試行）》等制度，設立審計部為公司內部審計工作歸口部門，明確審計職責許可權、規範審計程序方法、強化審計結果運用，形成審計監督、問題整改、考核問責閉環管理機制，充分發揮內部審計在規範管理、防範風險、完善治理中的重要作用，保障公司運營發展過程中持續合規。報告期內，公司內部審計未發現重大缺陷。



### KPI 關鍵績效

During the Reporting Period, the Company conducted **42** internal audits, identified **191** issues, and proposed **177** rectification recommendations.

報告期內，公司開展內部審計 **42** 項，發現問題 **191** 條，提出整改建議 **177** 條。

## Tax Management 稅務管理

The Company strictly complies with laws and regulations including the Enterprise Income Tax Law of the People's Republic of China and the Law of the People's Republic of China on the Administration of Tax Collection. It has established policies such as the VAT Invoice Management Measures to improve the tax management framework, standardize tax administration procedures and ensure lawful and compliant tax management. During the Reporting Period, the Company did not experience any material tax compliance violations.

公司嚴格遵守《中華人民共和國企業所得稅法》《中華人民共和國稅收徵收管理法》等法律法規，制定《增值稅發票管理辦法》等制度，完善稅務管理機制，規範稅務管理流程，保障公司稅務管理合法合規。報告期內，公司未發生任何重大稅務違規行為。



# Business Ethics

## 商業道德

### Anti-Bribery and Anti-Corruption

#### 反商業賄賂及反貪汙

#### Anti-Corruption Management System

##### 反腐敗管理體系

Holly Futures strictly complies with relevant laws, regulations and internal governance rules, including the Criminal Law of the People's Republic of China, the Company Law of the People's Republic of China, the Constitution of the Communist Party of China, the Regulations of the Communist Party of China on Intra-Party Supervision, and the Rules for Discipline Inspection and Supervision by the Communist Party of China. The Company has formulated policies such as the Integrity Compliance Rules and the Integrity Records Management Measures, establishing and continuously improving its anti-bribery and anti-corruption management system. The Company has established a three-tier coordination mechanism consisting of the decision-making level, management level and execution level. The Risk Management Committee, as the decision-making body, oversees the implementation of the Company's anti-bribery and anti-money laundering risk control systems and provides strategic guidance. The General Manager Office, as the management level, is responsible for coordinating the management, supervision and reporting of anti-bribery and AML activities, ensuring effective collaboration among departments. The Discipline Inspection Department leads integrity risk prevention efforts, while the Compliance and Legal Department, Human Resources Department, Audit Department and Finance Department work collaboratively to establish a robust supervision framework and foster a clean and compliant business environment. During the Reporting Period, the Company did not experience any non-compliance incidents or litigation related to bribery, extortion or fraud.

弘業期貨嚴格遵守《中華人民共和國刑法》《中華人民共和國公司法》和《中國共產黨章程》《中國共產黨黨內監督條例》《中國共產黨紀律檢查機關監督執紀工作規則》等相關法律法規與條例，制定《廉潔從業規定》《廉潔檔案管理辦法》等制度，建立健全反商業賄賂及反貪汙管理體系。公司構建“決策層—管理層—執行層”三級聯動機制：風險管理委員會作為決策層，全面監督公司商業賄賂及洗錢風險控制體系的實施情況並提出指導意見；總經理室作為管理層，統籌負責反商業賄賂及反洗錢工作的管理、監督與彙報，協調各部門形成工作合力；紀檢工作部牽頭推進廉潔風險防控工作，合規法律部、人力資源部、審計部、財務部等部門協同配合，構建嚴密監督體系，共同營造風清氣正、廉潔規範的經營環境。報告期內，公司未發生涉及賄賂、勒索、欺詐等不合规事件及訴訟事件。



#### Responsibilities of Departments in Anti-Bribery Management

##### 反商業賄賂各部門職責

- 
**Discipline Inspection Department 紀檢工作部**  
 Responsible for promoting integrity risk prevention initiatives and supervising the implementation of integrity risk control measures across all departments and subsidiaries.  
 推進廉潔風險防控工作的開展，對各部門和子公司廉潔風險防控措施落實情況進行檢查督促。
- 
**Audit Department 審計部**  
 Exercises internal audit supervision authority and conducts internal audits of the Company and its subsidiaries, covering financial revenues and expenditures, internal controls, risk management and other related economic activities.  
 行使內部審計監督權，對公司及所屬子公司財務收支、內部控制、風險管理以及有關經濟活動等實行內部審計監督。
- 
**Compliance and Legal Department 合規法律部**  
 The Company conducts integrity management from the perspectives of business compliance and diligence, providing legal support for its operations.  
 從業務合規、勤勉盡責等方面開展廉潔從業管理，為公司提供法律支持。
- 
**Human Resources Department 人力資源部**  
 Integrates integrity practices into the human resources management system and handles non-compliant employees in accordance with regulations.  
 將工作人員廉潔從業納入人力資源管理體系，按規定處理違規員工。
- 
**Finance Department 財務部**  
 Strengthens financial record-keeping to prevent irregularities.  
 強化財務記錄，杜絕不規範行為的發生。

#### Anti-corruption Culture Development

##### 反腐敗文化建設

The Company actively promotes an integrity-oriented culture, routinely conducts integrity education and training, and signs integrity agreements with employees to guide all staff in upholding the integrity baseline, strengthening self-discipline, and continuously enhancing their integrity awareness and compliance capabilities. In addition, the Company conducts targeted risk-prevention briefings for key personnel and departments, analyzing typical cases and emphasizing strict adherence to policies, to guide all employees in learning lessons thoroughly and enhancing risk awareness. By the end of the Reporting Period, all cadres and staff were covered.

公司深入推進廉潔文化建設，常態化開展廉潔教育培訓，並與員工簽訂廉潔協議，引導全體員工堅守廉潔底線、強化自律意識，持續提升員工廉潔從業素養與合規履職能力。同時，公司針對關鍵崗位員工、部門開展防風險專項提醒談話，通過剖析典型案例、強調制度嚴格執行，引導全員深刻吸取教訓、強化風險防控意識，截至報告期末已實現公司幹部職工全覆蓋。



KPI 關鍵績效

During the Reporting Period, **100%** of new employees signed integrity agreements; a total of **651** employee participations were recorded in anti-bribery and anti-corruption training, with a total training duration of **809** hours; routine integrity briefings were conducted, covering **64** employees in total.

報告期內，公司新進員工廉潔協議簽訂率為 **100%**；參與反商業賄賂及反貪汙培訓的員工總人次為 **651** 人次，培訓總時長 **809** 小時；開展黨風廉政例行約談，累計約談 **64** 人次。

Case Study  
案例



Special Training on "Controlling Shareholder Relationships, Key Points of Suitability Management Supervision, and Integrity Risk Identification and Prevention"

“實控關係、適當性管理監管要點與廉潔從業風險排查防控工作” 專題培訓

In December 2025, the Company conducted a special training session on "Controlling Shareholder Relationships, Key Points of Suitability Management Supervision, and Integrity Risk Identification and Prevention." Focusing on interpretation of laws and regulations, dissemination of supervisory requirements, practical risk prevention, and illustrative case studies, the training combined theoretical instruction with case analysis to guide participants in clearly recognizing integrity risks, effectively strengthening employees' self-discipline and awareness, and reinforcing a mindset supporting the Company's sound operations.

2025 年 12 月，公司開展“實控關係、適當性管理監管要點與廉潔從業風險排查防控工作” 專題培訓。聚焦法律法規解讀、監管要求宣貫、風險防控實務及典型案例警示，通過理論講解與案例剖析相結合的方式，引導參訓人員清醒認識廉潔風險隱患，切實強化員工廉潔自律自覺，為公司穩健經營築牢思想防線。



Special Training on "Controlling Shareholder Relationships, Key Points of Suitability Management Supervision, and Integrity Risk Identification and Prevention"  
“實控關係、適當性管理監管要點與廉潔從業風險排查防控工作” 專題培訓

Integrity Supervision Mechanism  
廉潔監督機制

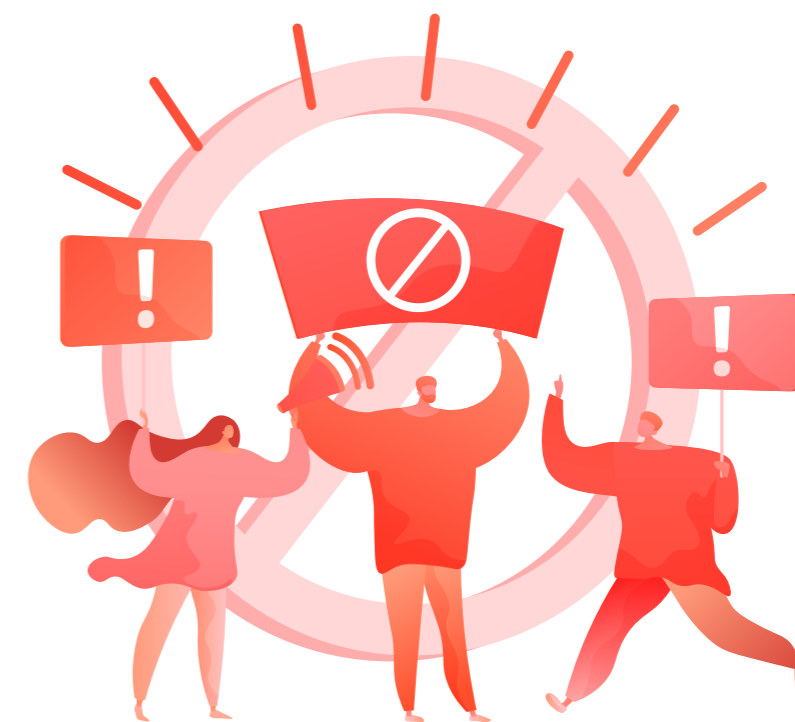
The Company integrates integrity requirements throughout the supplier management process, embedding integrity clauses in all contracts signed with suppliers. Suppliers are explicitly required to comply with applicable laws and regulations, fulfill their fiduciary duties, and prevent any form of bribery or unfair competition. In addition, the Company has established dedicated public channels, including reporting email and hotline, as well as anonymous reporting mechanisms and reporting boxes. While strictly protecting the confidentiality of whistleblowers and safeguarding their legal rights, employees and related parties are encouraged to report improper benefit transfers, commercial bribery, and other violations, thereby fostering a company-wide integrity supervision culture with active participation.

公司將廉潔要求嵌入供方管理全過程，與供應商簽署的合同均納入廉潔條款，明確要求供應商在業務活動中必須遵守相關法律法規、踐行信義義務，杜絕任何形式的賄賂和不正当競爭行為。同時，公司設立舉報郵箱、舉報熱線等公開專門渠道，建立匿名舉報機制，設置舉報箱，在嚴格保護舉報人信息、切實保障其合法權益的基礎上，鼓勵員工及相關人員檢舉不正当利益輸送、商業賄賂等違規違紀行為，充分發揮員工監督作用，營造全員參與、齊抓共管的廉潔監督氛圍。

Anti-unfair Competition  
反不正当競爭

Holly Futures strictly complies with the Anti-Monopoly Law, the Anti-Unfair Competition Law of the People's Republic of China, and other applicable laws and regulations. The Company resolutely opposes all forms of unfair competition and effectively safeguards a fair, just, and orderly market environment. During the Reporting Period, no significant litigation related to unfair competition or anti-monopoly matters occurred.

弘業期貨嚴格遵守《中華人民共和國反壟斷法》《中華人民共和國反不正当競爭法》等相關法律法規，堅決抵制各類不正当競爭行為，切實維護公平公正、規範有序的市場競爭秩序。報告期內，公司未發生與不當競爭及反壟斷相關的重大法律訴訟事件。





# P

## racticing Low-carbon Development to Build a Beautiful China

## 02 踐行低碳發展 共築美麗中國

SDGs Addressed in This Section  
本章所回應 SDGs



ESG Material Topics Covered in This Section  
本章所涉及的 ESG 重要議題

- Climate Change Response ○  
應對氣候變化
- Environmental Compliance Management ○  
環境合規管理
- Energy Utilization ○  
能源利用
- Water Utilization ○  
水資源利用
- Pollutant Emissions ○  
污染物排放
- Waste Management ○  
廢棄物處理
- Circular Economy ○  
循環經濟
- Green Finance ○  
綠色金融

# Climate Change Response

## 應對氣候變化

### Climate Change Governance

#### 氣候變化治理

In response to the increasingly severe global climate challenges and China's ongoing "dual-carbon" objectives, Holly Futures deeply implements the development philosophy that "lucid waters and lush mountains are invaluable assets." Aligning with the strategic goals of carbon peaking and carbon neutrality, the Company systematically addresses climate change risks and seizes opportunities in green transformation by improving energy utilization efficiency and conducting energy-saving and emission-reduction practices, steadfastly pursuing sustainable development. The Company has established a comprehensive three-tier top-down climate change governance structure, systematically improving risk identification processes and response strategies, and objectively presenting climate performance during the Reporting Period through key indicators.

面對日益嚴峻的全球氣候挑戰與持續深化的中國“雙碳”目標，弘業期貨深入踐行“綠水青山就是金山銀山”的發展理念，緊扣碳達峰、碳中和戰略目標，通過提升能源利用效率、開展節能減排實踐，系統應對氣候變化風險，精準把握綠色轉型機遇，堅定不移走可持續發展道路。公司建立健全自上而下的三層氣候變化治理架構，系統完善風險識別流程與應對策略，並通過關鍵指標客觀呈現報告期內的氣候績效表現。

Climate Change Governance Structure

氣候變化治理架構

Organizational Level 組織層級	Governance Body 組織機構	Responsibilities 職責內容
Decision-making Level 決策層	Strategy and ESG Committee 戰略與 ESG 委員會	Responsible for formulating the Company's vision and strategic plans for addressing climate change, and reviewing the related governance structure; 負責制定公司應對氣候變化的願景與戰略規劃，審議相關組織架構；
		Tracks developments, risks, opportunities, and policy dynamics in the field of climate change, conducts targeted research, and provides recommendations; 跟蹤氣候變化領域的發展趨勢、風險機遇與政策動態，開展專項研究並提出建議；
		Also responsible for reviewing climate change-related reports and reporting to the Board of Directors. 同時負責審議氣候變化相關報告，並向董事會彙報。
Management Level 管理層	General Manager Office 總經理室	Directly participates in the daily management and overall coordination of climate change initiatives, supervises the implementation and progress of related tasks, and leads cross-departmental collaboration to form an integrated management effort. 直接參與氣候變化的日常管理與統籌協調，監督各項工作的推進與落實，統領多部門協同聯動，形成管理合力。
Execution Level 執行層	Party and Administration Office 黨政辦公室	Responsible for collecting and verifying foundational data, organizing the implementation of energy-saving and emission-reduction measures, and ensuring the effective execution of climate-related actions. 負責底層數據的收集與核算，組織落實節能減排相關措施，確保各項氣候行動落地見效。



## Climate Change Strategy 氣候變化戰略

The Company systematically identifies and assesses climate change-related risks and opportunities, develops differentiated response strategies based on their financial impact and likelihood, and ensures effective implementation through continuous monitoring and overall coordination.

公司系統識別並評估氣候變化相關風險與機遇，基於其財務影響與發生概率，制定差異化的應對策略；同時，通過持續監督與統籌協調，確保各項措施有效落地。

Risk Type 風險類型	Risk Description 風險描述	Likelihood 發生可能性	Impact 影響程度	Time Horizon of Impact 影響時間範圍	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序排序	Potential Financial Impact 財務影響說明	Response Measures 應對措施
Physical Risk 物理風險	<b>Acute Risk 急性風險</b>  Frequent extreme weather events such as typhoons, floods, droughts, and snow-ice storms may affect operational continuity, resulting in business interruptions and property losses.  颱風、洪水、乾旱、雨雪冰凍等極端天氣頻發，可能影響公司運營連續性，導致業務中斷及財產損失。	Low 低	High 高	Short term 短期	Operations; downstream 運營、下游	Medium 中	Increase in operating costs and decrease in operating revenue 運營成本增加、營業收入減少	Strengthen business continuity management by establishing special procedures such as the "Disaster Recovery and Switching Process" to ensure uninterrupted core operations during extreme weather events and maintain high service standards;  強化業務連續性管理，制定《災備切換流程》等專項制度，保障極端天氣下核心業務不中斷，維持服務高標準；  Promote digitalization and diversification of service channels to ensure clients can access services conveniently and efficiently;  推進服務渠道線上化與多元化，保障客戶業務辦理便捷可達；  Establish a regular emergency drill mechanism to enhance the team's emergency response and handling capabilities.  健全應急演練常態化機制，提升團隊應急回應處置能力。
	<b>Chronic Risk 慢性風險</b>  The sustained increase in average temperatures due to climate change may lead to higher cooling energy consumption and reduced employee productivity. In addition, the resulting sea level rise poses potential flood risks.  氣候變化帶來的平均氣溫持續上升，將導致公司制冷能耗增加及員工效率下降；同時，由此引發的海平面上升，也帶來了潛在的水災風險。	Medium 中	Low 低	Long term 長期	Operations 運營	Medium 中	Increase in operating costs 運營成本增加	Dynamically monitor environmental and climate risks at operating locations, continuously upgrade energy efficiency of outdated and inefficient equipment, and mitigate heat stress and potential flood risks for employees.  動態追蹤運營所在地的環境與氣候風險，持續推進老舊低效設備設施的能效升級，降低員工中暑及潛在水災風險影響。
Transition Risk 轉型風險	<b>Policy and Legal Risk 政策及法律風險</b>  With the implementation of carbon neutrality and green finance policies, market demand for climate-friendly products and services has surged. If the Company's or clients' operations fail to meet new regulatory requirements, significant compliance risks may arise.  隨著碳中和、綠色金融等政策的落地，市場對氣候友好型產品與服務的需求激增，若公司或客戶的業務未能滿足新的監管要求，將面臨巨大的合規風險。	Low 低	Medium 中	Long term 長期	Operations 運營	Medium 中	Increase in operating costs 運營成本增加	Closely monitor climate-related regulations and policies, proactively adjust business and management processes, effectively respond to compliance requirements, and mitigate regulatory risks.  密切跟蹤氣候變化相關法規和政策動向，主動調整業務與管理流程，以有效應對合規要求，規避監管風險。

Risk Type 風險類型	Risk Description 風險描述	Likelihood 發生可能性	Impact 影響程度	Time Horizon of Impact 影響時間範圍	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序排序	Potential Financial Impact 財務影響說明	Response Measures 應對措施
Transition Risk 轉型風險	<p><b>Market Risk 市場風險</b></p> <p>In the context of strong national carbon reduction policies, the market demand for climate-friendly products and services continues to rise. Failure to respond to societal and client expectations may weaken the Company's competitiveness.</p> <p>在國家大力推動碳減排政策背景下，氣候友好型產品與服務的市場需求不斷攀升，若公司未能回應社會及客戶的期待，將面臨競爭力被削弱的風險。</p>	Low 低	Medium 中	Long term 長期	Downstream 下游	Medium 中	Decrease in operating revenue 營業收入減少	<p>Vigorously develop green finance business and expand the range of products such as polysilicon futures to build a responsible and environmentally conscious corporate brand and to expand the green finance market.</p> <p>大力發展綠色金融業務，擴大多晶矽期貨等綠色金融產品種類，以此塑造負責任、重環保的企業品牌形象，拓展綠色金融市場。</p>
	<p><b>Reputational Risk 聲譽風險</b></p> <p>Faced with mandatory disclosure requirements for climate-related financial information, insufficient historical data and precise calculation methods may affect overall disclosure quality.</p> <p>面對監管對氣候相關財務信息的強制披露要求，企業缺乏足夠歷史數據及精準核算方法，進而影響整體披露品質。</p>	Low 低	Medium 中	Long term 長期	Operations 運營	Low 低	Decrease in operating revenue 營業收入減少	<p>Strengthen the environmental data foundation, accurately calculate and disclose greenhouse gas emissions, and implement green operations to reduce consumption and emissions at the source.</p> <p>夯實環境數據基礎，精準核算並披露溫室氣體排放信息；推行綠色運營，從源頭降耗減排。</p>

Opportunity Type 機遇類型	Opportunity Description 機遇描述	Likelihood 發生可能性	Impact 影響程度	Time Horizon of Impact 影響時間範圍	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序排序	Potential Financial Impact 財務影響說明	Response Measures 應對措施
Product and Service Opportunities 產品與服務機遇	<p>The Company continuously expands its green finance portfolio centered on carbon futures, leveraging professional risk management services to support the green transformation and sustainable development of real economy enterprises.</p> <p>公司持續拓展以碳期貨為核心的綠色金融版圖，通過專業風險管理服務，助力實體企業綠色轉型與可持續發展。</p>	Medium 中	High 高	Long term 長期	High 高	Operations 運營	Increase in Operating Revenue 營業收入增加	<p>Strengthen professional capabilities in green finance, cultivate multi-disciplinary talents, and enhance the research and service capabilities of green futures; closely follow national and local policy guidance to promote the development of green futures business and support the green transformation of real economy enterprises.</p> <p>加強綠色金融專業能力建設，培育複合型人才，提升綠色期貨研發與服務水準；緊跟國家及地方政策導向，推動綠色期貨業務發展，助力實體企業綠色轉型。</p>



## Impact, Risk and Opportunity Management 影響、風險和機遇管理

Holly Futures deeply integrates climate change-related risks into the Company's overall risk management culture and daily operational processes. The Company closely monitors domestic and international policies and regulations in the field of climate change, systematically collects and analyzes relevant regulatory requirements, and comprehensively identifies potential physical risks, transition risks, and opportunities in climate change management. Based on this assessment, the Company evaluates the potential financial, operational, and reputational impacts and their time horizons. It then establishes management priorities, ranks risks and opportunities based on their impacts, and develops targeted strategies to manage climate-related risks and opportunities. The aim is to systematically mitigate and prevent risks, proactively seize green development opportunities, effectively advance sustainable corporate transformation, and continuously enhance social recognition and long-term brand value.

弘業期貨將氣候變化相關風險深度融入公司整體風險管理文化與日常運營流程。公司密切跟蹤國內外氣候變化領域的政策法規動態，系統收集並分析相關監管要求，全面識別應對氣候變化工作中可能面臨的物理風險、轉型風險及潛在機遇。在此基礎上，公司評估相關風險與機遇在財務、運營及聲譽層面的潛在影響與時間範圍，明確管理優先順序，並依據影響程度進行排序分析，及時制定針對性的氣候風險與機遇管理策略，旨在系統性降低與防範風險、主動把握綠色發展機遇，切實推動企業可持續轉型，從而持續提升社會認同度與品牌長期價值。

The Company has established a climate risk identification and assessment mechanism, integrating climate change risks into the comprehensive risk management system and identifying the potential impacts of physical and transition risks on business operations; develops contingency plans for extreme weather events, conducts climate risk stress tests to enhance operational resilience, actively promotes green operations, implements energy-saving and emission-reduction measures, and contributes to achieving the "dual-carbon" targets.

公司建立氣候風險識別與評估機制，將氣候變化風險納入全面風險管理體系，識別物理風險與轉型風險對業務的潛在影響；制定極端氣候應急預案，開展氣候風險壓力測試，提升業務運營韌性；積極推進綠色運營，踐行節能減排，降低碳排放，助力實現“雙碳”目標。



## Metrics and Targets 指標與目標

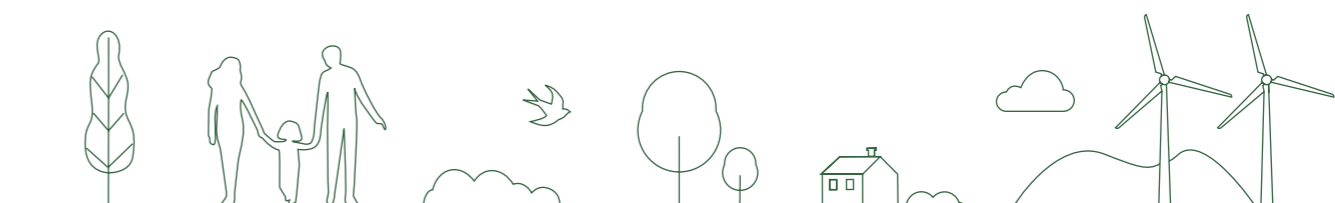
The Company's greenhouse gas (GHG) emissions primarily arise from direct emissions generated by gasoline consumption of owned vehicles and indirect emissions from purchased electricity, involving GHGs such as carbon dioxide, methane, and nitrous oxide. The Company actively implements diversified emission reduction initiatives, continuously improves energy utilization efficiency, and systematically promotes energy-saving and carbon-reduction efforts.

公司溫室氣體排放主要來自自有車輛汽油消耗所產生的直接排放，以及外購電力產生的間接排放，涉及的溫室氣體種類包含二氧化碳、甲烷和氧化亞氮。公司積極實施多元化減排舉措，持續提升能源利用效率，系統推進節能降碳工作。

2025 Greenhouse Gas Emissions 2025 年溫室氣體排放情況		
<b>Total Greenhouse Gas Emissions</b> 溫室氣體排放總量	tCO <sub>2</sub> e 噸二氧化碳當量	482.78
<b>Direct Greenhouse Gas Emissions (Scope 1)</b> 直接溫室氣體排放量 (範圍一)	tCO <sub>2</sub> e 噸二氧化碳當量	30.51
<b>Indirect Greenhouse Gas Emissions (Scope 2)</b> 間接溫室氣體排放量 (範圍二)	tCO <sub>2</sub> e 噸二氧化碳當量	452.27

**Accounting Standards:** Calculated in accordance with the "Guidelines for GHG Accounting and Reporting for Other Industrial Enterprises (Trial)", the "2023 CO<sub>2</sub> Emission Factor for Electricity", and Appendix 4 of the China Energy Statistical Yearbook referencing energy-to-standard coal conversion factors.

**核算標準:** 依據《工業其他行業企業溫室氣體排放核算方法與報告指南(試行)》《2023年電力二氧化碳排放因數》《中國能源統計年鑒-附錄4-各種能源折標準煤參考系數》標準計算。



# Implementing Green Management

## 踐行綠色管理

Holly Futures actively practices the green development philosophy, strictly adhering to the 3R environmental principle of "Reducing, Recycling, and Reusing." The Company comprehensively promotes energy conservation, pollutant emission reduction, and resource utilization of waste. Through regular communication and awareness campaigns, employees are guided to develop environmental consciousness, effectively embedding the concept of sustainable development.

弘業期貨積極踐行綠色發展理念，嚴格遵循“減量化 (Reducing)、再回收 (Recycling)、再利用 (Reusing)”的 3R 環保原則，全面推進節能降耗、污染物減排及廢棄物資源化利用，通過常態化宣貫引導員工樹立綠色環保意識，推動可持續發展理念落地生根。

### Energy Utilization

#### 能源利用

The Company's daily operational energy primarily comes from gasoline and purchased electricity. To standardize energy management, the Company strictly complies with the Energy Conservation Law of the People's Republic of China and other relevant national regulations. While ensuring compliant operations, it focuses on continuously improving energy efficiency, establishing a comprehensive green and low-carbon operational system, actively exploring new approaches to energy conservation, and practicing sustainable development in concrete actions.

弘業期貨日常運營所需能源以汽油和外購電力為主。為規範能源管理，公司嚴格遵守《中華人民共和國節約能源法》等國家法規及規章制度，在確保合規運行的基礎上，著力推進能源使用效率的持續提升，全面構建綠色低碳運營體系，積極探索節能降耗新路徑，以實際行動踐行可持續發展理念。



### Energy-saving Measures

#### 節能措施

#### Electricity Conservation

##### 節電

#### Source Control of Equipment:

##### 設備源頭管控:



Energy-efficient lighting is fully implemented in office spaces, and the use of high-power non-office equipment is strictly prohibited to reduce baseline energy consumption from hardware configuration.

辦公場所全面採用節能燈具，並嚴格禁止使用大功率非辦公設備，從硬件配置上降低基礎能耗。

#### Operation and Maintenance Assurance:

##### 運行維護保障:



Environmentally friendly air-conditioning equipment is procured, with regular inspections and maintenance of lighting and HVAC systems to ensure cooling and heating efficiency and prevent electricity waste due to equipment failures.

採購環保型空調設備，定期對照明及空調系統進行巡檢維護，及時清理保養以確保製冷與制熱效率，防止因設備故障造成電力浪費。

#### Behavioral Guidelines:

##### 行為規範引導:



Strictly enforce air-conditioning temperature standards, ensuring temperatures are no lower than 26°C in summer and no higher than 20°C in winter. Energy-saving awareness is continuously promoted through posters and slogans in public areas, fostering a culture of green office practices.

嚴格執行空調溫度使用標準——夏季不低於 26°C、冬季不高於 20°C，並通過在公共區域張貼節約用電宣傳畫與標語，持續營造節能氛圍，推動綠色辦公理念深入人心。

#### Low-carbon

##### 低碳



#### Standardized Management of Official Vehicles

##### 公務用車規範化管理

The "Official Vehicle Management Measures" is formulated and implemented, prioritizing business within the city, province, and neighboring provinces. Vehicle usage frequency is strictly controlled, effectively reducing exhaust emissions through institutional management.

制定並落實《公車管理辦法》，明確公務用車以保障市區、省內及鄰近省份業務為主，嚴格控制用車頻次，從制度層面有效減少尾氣排放。



#### Promotion of Green Commuting

##### 綠色出行宣導

The Company actively encourages the use of public transportation for daily operations and encourages employees to prioritize public transit, cycling, or walking for commuting.

在日常經營中積極宣導公共交通出行，同時鼓勵員工通勤優先選擇公共交通、自行車或步行等綠色低碳方式。



#### Integration of Low-carbon Concepts into Daily Life

##### 低碳理念融入日常

The philosophy of green commuting is embedded into employees' work and life, fostering the development of habitual low-carbon behaviors through continuous guidance.

將綠色出行理念貫穿於員工工作與生活之中，通過持續引導推動低碳行為習慣養成。

Indicator 指標	Unit 單位	2025 2025 年
Gasoline 汽油	kL 千升	13.83
Purchased Electricity 外購電力	kWh 千瓦時	852,380
Total Energy Consumption 能源消耗總量	tce 噸標準煤	119.51

Accounting Standards: Total energy consumption is calculated in accordance with Appendix 4 of the China Energy Statistical Yearbook (conversion factors to standard coal for various energy types) and the General Principles for Calculating Comprehensive Energy Consumption (GB/T 2589-2020).

核算標準：能源消耗總量根據《中國能源統計年鑒 - 附錄 4- 各種能源折標準煤參考系數》《綜合能耗計算通則 (GB/T2589-2020)》標準計算。

## Water Resource Management 水資源管理

The Company's water usage primarily consists of domestic water consumption. Adhering to the principle of water conservation, the Company continuously improves its water resource management mechanisms, aiming to enhance utilization efficiency and ensure water safety. The Company conducts regular inspections of water supply equipment to prevent leaks, strictly enforces a "turn off faucets when not in use" policy, and leverages property cleaning systems to recycle wastewater for cleaning purposes. While maintaining a clean office environment, these measures effectively improve water utilization and integrate water-saving awareness into all aspects of daily operations.

公司用水主要為生活用水。公司秉持節水理念，持續完善水資源管理機制，著力提升利用效率、保障用水安全。公司定期檢查供水裝置杜絕跑冒滴漏，嚴格執行水龍頭隨用隨關制度，並依託物業保潔實現廢水迴圈用於清潔，在確保辦公環境整潔的同時，有效提高水資源利用率，將節水意識融入日常運營各環節。



### KPI 關鍵績效

During the Reporting Period, the Company's total water consumption was **3,230** tons.

報告期內，公司總耗水量 **3,230** 噸。

## Waste Management 三廢管理

The 15th Five-Year Plan clearly promotes the green transformation of the economy and society, outlining initiatives such as the Blue Sky, Clear Water, and Clean Land campaigns and the comprehensive management of solid waste, providing guidance for environmental management across industries. As a financial industry enterprise, Holly Futures consistently integrates sustainable development and green finance concepts throughout its operations, upholding regulatory compliance as the baseline. The Company strictly follows the Air Pollution Prevention and Control Law, the Water Pollution Prevention and Control Law, the Law on the Prevention and Control of Environmental Pollution by Solid Waste of the People's Republic of China, and other relevant environmental laws, regulations, and industry standards, fully implementing environmental management responsibilities. Based on the operational characteristics of a financial enterprise, the Company focuses on pollutant control and efficient resource use in office settings, establishing a comprehensive environmental management system. It actively implements standardized management of exhaust emissions, wastewater, and waste, effectively reducing the environmental footprint of operational activities and demonstrating the Company's environmental responsibility as a financial institution.

“十五五”規劃明確推進經濟社會綠色轉型，部署藍天、碧水、淨土保衛戰及固體廢物綜合治理等任務，為各行業環境管理指明方向。弘業期貨作為金融行業企業，始終將可持續發展與綠色金融發展理念貫穿企業運營全過程，以合規經營為底線，嚴格遵循《中華人民共和國大氣污染防治法》《中華人民共和國水污染防治法》《中華人民共和國固體廢物污染環境防治法》等相關環保法律法規及行業規範，全面落實環境管理責任。基於金融企業運營特性，公司聚焦辦公場景污染物管控及資源高效利用，構建全流程環境管理體系，扎實推進廢氣、廢水、廢棄物規範化管控，有效降低運營環節環境足跡，切實彰顯金融企業的環境責任與擔當。



### KPI 關鍵績效

During the Reporting Period, the Company did not incur any penalties for violations of environmental laws, regulations, or regulatory requirements.

報告期內，公司未發生因違反環境領域相關法律法規及監管而受到處罰事件。

## Exhaust Emissions Management 廢氣管理

Due to the operational characteristics of a financial enterprise, the Company has a single source of exhaust emissions, primarily exhaust from office vehicles, with no industrial emissions. Air emissions management focuses on regulating vehicle exhaust to minimize impacts on the surrounding air environment. To enhance air emissions management, the Company has formulated the "Official Vehicle Management Measures" to optimize vehicle allocation and promote green commuting, reducing unnecessary vehicle trips and controlling exhaust emissions at the source. Regular maintenance of office vehicles is conducted to ensure engines operate properly, guaranteeing compliant exhaust emissions, fulfilling air pollution prevention responsibilities, and protecting regional air quality.

由於金融企業無工業生產環節的經營特點，公司廢氣排放來源單一，主要為辦公車輛日常使用過程中產生的尾氣，無工業廢氣排放，廢氣管控工作重點圍繞辦公車輛尾氣排放規範開展，全力降低尾氣排放對周邊大氣環境的影響。為強化廢氣管控成效，公司制定《公車管理辦法》，合理調配車輛資源、宣導綠色出行，減少不必要的車輛行駛頻次，從源頭控制尾氣排放量；同時定期組織辦公車輛檢修保養，確保車輛發動機處於良好運行狀態，保障尾氣達標排放，切實落實大氣污染防治責任，守護區域空氣品質。

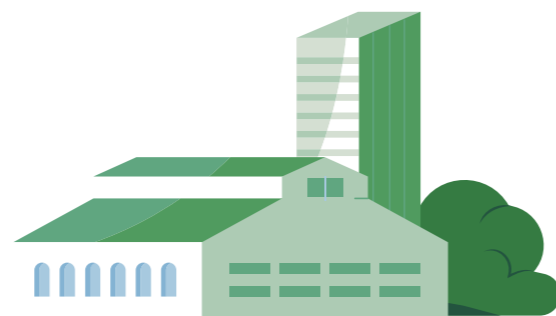
Indicator <sup>2</sup> 指標 <sup>2</sup>	Unit 單位	2025 2025 年
Nitrogen Oxides (NO <sub>x</sub> ) 氮氧化物 (NO <sub>x</sub> )	kg 千克	14.48
Sulfur Oxides (SO <sub>x</sub> ) 硫化物 (SO <sub>x</sub> )	kg 千克	0.20
Particulate Matter (PM) 顆粒物	kg 千克	1.07

<sup>2</sup>Calculation Method: Pollutant calculations refer to Appendix II of the Hong Kong Stock Exchange "Guide on Reporting Environmental Key Performance Indicators in ESG Reports".

<sup>2</sup> 污染物计算方法参考香港联交所《如何编制环境、社会及管治报告附录二：环境关键绩效指标汇报指引》

## Wastewater Management 廢水管理

The Company's wastewater generation is limited to office operations, consisting entirely of domestic wastewater, with no industrial effluents. The Company has established a comprehensive domestic wastewater management system, clearly defining treatment processes and responsibilities. All wastewater generated in office areas is directed into the municipal sewer network and transported to designated urban wastewater treatment plants for centralized, non-hazardous treatment. Through full-process closed-loop management, the Company ensures wastewater disposal complies with national and local environmental standards, effectively preventing potential impacts on surrounding water environments.



公司廢水產生僅限於日常辦公場景，全部為生活廢水，無工業廢水排放。公司建立健全生活廢水處置管理體系，明確處置流程與責任分工，將辦公區域產生的全部生活廢水統一納入市政污水管網，由市政污水管網輸送至指定城市污水處理廠進行集中無害化處理，通過全流程閉環管理，確保生活廢水處置符合國家及地方環保標準，有效防範生活廢水無序排放對周邊水環境造成的潛在影響。

## Waste Management 廢棄物管理

Guided by the principles of "resource recycling, harmless disposal, and source reduction," and considering the characteristics of office-generated waste, the Company has established a categorized and targeted waste management system, comprehensively improving the professional management of waste. During the Reporting Period, the Company's waste mainly comprised non-hazardous and hazardous waste. Non-hazardous waste primarily included office paper and daily office refuse, while hazardous waste mainly consisted of discarded toner cartridges and similar office equipment waste. Waste types were clearly defined and disposed of in compliance with regulations.

公司以“資源化迴圈、無害化處置、源頭化減量”為核心導向，結合辦公場景廢棄物產生特徵，建立分類管控、精準施策的廢棄物管理體系，全面提升廢棄物管理專業化水準。報告期內，公司產生的廢棄物主要分為無害廢棄物與有害廢棄物兩大類，其中無害廢棄物以辦公廢紙、日常生活垃圾為主，有害廢棄物主要為辦公設備產生的廢棄硒鼓等，廢棄物種類清晰、處置合規。

Waste Type 廢棄物類型	Disposal Measures 處置措施
Non-hazardous Waste 無害廢棄物	Implement waste classification management, provide sorting facilities in office areas, and guide employees to dispose of waste properly; Engage qualified property management service providers for centralized collection and processing, maximizing resource recycling. 推行垃圾分類管理，在辦公區域佈設分類回收設施，引導員工規範投放； 委託專業物業管理單位統一清運、集中處理，最大化實現資源化迴圈利用。
Hazardous Waste 有害廢棄物	Strictly follow hazardous waste management standards and establish dedicated management records; Entrust qualified professional organizations for collection, disposal, and recycling, with full traceability to prevent secondary pollution. 嚴格執行危險廢物規範化管理要求，建立專項管理台賬； 委託具備相應資質的專業機構進行回收、處置及再利用，全程追溯處置流程，杜絕二次污染。

	Indicator <sup>3</sup> 指標 <sup>3</sup>	Unit 單位	2025 2025 年
Hazardous Waste 有害廢棄物	Toner Cartridges 硒鼓	pc 個	125
	Fluorescent Tubes 燈管	unit 支	25
	Electronic Equipment 電子設備	unit 臺	421

<sup>3</sup>Office paper and other domestic waste are collected and disposed of by the property management service, and the generation quantities cannot be quantified. Based on the Company's business nature, no packaging materials associated with manufactured products are used, and their disclosure is therefore not applicable.

<sup>3</sup> 废纸等办公垃圾由物业统一清运，无法统计产生量，且基于公司业务性质，未涉及实体制品生产相关的包装材料使用，包装物数据的披露亦不适用。

## Green Office 綠色辦公

Holly Futures attaches great importance to promoting a green development philosophy and cultivating employees' environmental awareness. Focusing on resource conservation, low-carbon operations, and environmentally friendly practices, the Company enhances the OA system, advances online and paperless operations, standardizes paper usage, reduces disposable consumables, and continuously reinforces employee awareness of environmental protection. Through systematic and routine initiatives, the Company steadily promotes green office practices, effectively integrating the concept of sustainable development into all aspects of daily operations.

弘業期貨高度重視樹立綠色發展理念、培育員工綠色環保意識，以節約資源、低碳運營、環保踐行為核心，深化 OA 系統應用，推進業務線上化、無紙化辦公，規範紙張使用，減少一次性耗材消耗，並持續強化員工環保意識宣貫。通過系統化、常態化舉措扎實推進綠色辦公建設，公司切實將可持續發展理念融入日常運營全過程。

# Green Finance 綠色金融

## Green Finance Governance Framework 綠色金融治理體系

### Overview 綜述

As a fully licensed futures company with comprehensive business qualifications and a well-established integrated financial services platform, Holly Futures leverages industry trends and its own advantages to position green finance as a core focus. The Company actively aligns with national strategies and regional high-quality development initiatives, and leverages the strengths of Suhao Holdings' commodity trading platform while fully utilizing its professional futures expertise. Building on these advantages, Holly Futures focuses on green industry risk management, provides green support for rural revitalization, and facilitates the development of a regional low-carbon economy. It strives to become a green derivatives service provider and trader with distinct Jiangsu brand characteristics. At the same time, the Company has established a green finance governance structure with clearly defined departmental responsibilities and authorities, supported by a comprehensive end-to-end supervision and assessment mechanism. Leveraging its professional capabilities and service strengths, Holly Futures utilizes its core futures functions to facilitate the green and low-carbon development of the real economy, continuously enhancing ESG governance capacity and green finance performance, and contributing to the establishment of a green and sustainable development framework.

作為具備全面業務資格、構建起綜合金融服務平臺的全牌照期貨公司，弘業期貨立足行業發展趨勢與自身優勢，以綠色金融為核心抓手，主動融入國家戰略與區域高質量發展佈局，依託蘇豪控股大宗商品貿易平臺優勢，充分發揮期貨專業功能，聚焦綠色產業風險管理、鄉村振興綠色保障、區域低碳經濟賦能，全力打造具有江蘇品牌特色的綠色衍生品服務商與交易商。同時公司構建各部門分工落實、權責清晰的綠色金融治理結構，配套完善全流程的監督考核機制，依託專業能力與服務優勢，發揮期貨核心功能，助力實體經濟綠色低碳發展，持續提升 ESG 治理能力與綠色金融表現力，為構建綠色可持續發展格局貢獻期貨力量。



18th China Best Futures Institutions Awards — Outstanding Contribution to Green Financial Services  
第十八屆中國最佳期貨經營機構評選——綠色金融服務卓越貢獻獎

### Professional Capability Training 專業能力培訓

The Company regularly conducts specialized training on green products to support the national "dual-carbon" targets and green industry development. Trainings have covered polysilicon, palladium, platinum, aluminum alloys, and other new energy and green metals, systematically explaining product fundamentals, industry chain structures, supply and demand patterns, futures contracts, delivery rules, and market outlooks. These programs help employees and industry clients understand the price stabilization mechanism of polysilicon as a core upstream photovoltaic material, the low-carbon value of palladium in automotive and hydrogen fuel cell applications, the key role of platinum in chemical and clean energy catalysis, and the industrial significance of aluminum alloys using recycled aluminum to reduce carbon emissions in high-energy-consumption industries. They clarify the role of futures tools in smoothing cyclical fluctuations, guiding industries from unregulated competition to risk management, technology upgrades, and collaborative development. By integrating green derivatives concepts and practical skills into business processes, professional training enhances green finance service capabilities, providing expert support for the stable development of green industries such as photovoltaics, hydrogen, and recycled resources, and advancing national clean energy initiatives.

公司圍繞服務國家“雙碳”目標與綠色產業發展需求，常態化開展綠色品種專題培訓，先後組織多晶硅、鈹、鉑、鋁合金等新能源與綠色金屬系列培訓，系統講解品種基礎、產業鏈結構、供需格局、期貨合約、交割規則與後市展望等核心內容，幫助員工與產業客戶深刻理解多晶硅作為光伏上游核心原料的價格穩定機制、鈹在汽車及氫燃料電池領域的低碳價值、鉑在化工與清潔能源催化中的關鍵作用、鋁合金以再生鋁為原料助力高耗能行業降碳增效的產業意義，明確期貨工具在平抑週期波動、引導產業從無序競爭轉向風險管理、技術升級與協同發展的重要功能，推動綠色衍生品理念與實操能力深度融入業務全流程，以專業化培訓賦能綠色金融服務能力提升，為光伏、氫能、再生資源等綠色產業穩健發展與國家清潔能源建設提供專業支撐。

## Risk Management 風險管理

To further standardize the Company's green finance operations, strengthen risk management capabilities, and precisely prevent various inherent risks in green finance, the Company has established an end-to-end risk control system tailored to green finance policy requirements, the characteristics of the futures industry, and operational realities, ensuring the stable operation of green futures and related derivative products.

為進一步規範弘業期貨綠色金融業務開展、強化風險管理能力，精準防範綠色金融領域各類特有風險，保障綠色期貨及相關衍生業務穩健運營，公司結合綠色金融政策要求、期貨行業特性及具體實際，構建全流程風控體系。

### Risk Identification 風險識別

Risk identification covers the full lifecycle of green finance operations, focusing on core risk points such as green qualifications, environmental compliance, and policy changes. Using policy analysis, multi-party coordination, and categorized identification methods, potential risks across the entire green finance value chain are accurately recognized, ensuring no key risks are overlooked.

貫穿綠色金融業務全生命週期，聚焦綠色資質、環保合規、政策變動等核心風險點，採用政策研判、多方聯動、分類識別等方法，精準識別綠色金融業務全鏈條中可能存在的潛在風險，杜絕遺漏關鍵風險點。



### Risk Assessment 風險評估

Considering the leveraged and time-sensitive nature of futures business, identified green finance risks are assessed using a multi-method approach. Risk levels, impact severity, likelihood, and transmission paths are determined, providing a scientific basis for risk ranking and mitigation measures.

結合期貨業務杠杆性、時效性特點，對排查出的各類綠色金融風險採用多方法結合的評估模式，明確風險等級、影響程度、發生概率及傳導路徑，為風險排序、風險處置提供科學依據。

### Risk Response 風險應對

For different levels and types of green finance risks, differentiated and targeted management and mitigation measures are implemented, with the core objectives of resolving risk exposures, reducing potential losses, preventing risk escalation, and ensuring the stable conduct of green finance operations.

針對不同等級、不同類型的綠色金融風險，採取差異化、針對性的管理與處置措施，核心是化解風險隱患、降低風險損失，防範風險擴大傳導，確保綠色金融業務穩健開展。

## Green Finance Operations 綠色金融業務

Leveraging its full business qualifications, Holly Futures strategically plans its green finance operations with a focus on supporting national "dual-carbon" targets, promoting green and low-carbon development, and facilitating rural revitalization. The Company deeply explores the green content and core value of each business segment, integrating the green development philosophy with business growth. The Company fully leverages the core functions of futures and derivatives markets in price discovery and risk management, focusing on "Insurance + Futures" projects and product innovation. Through professional and precise futures services, it strives to achieve coordinated progress in green and low-carbon development, improvement of real economy sectors, and enhancement of public welfare. With the launch of polysilicon futures, the number of new energy products traded by Holly Futures on the Guangzhou Futures Exchange has increased to three, supporting the development of the new energy sector.


弘業期貨依託全業務資質優勢，以服務國家“雙碳”目標、推動綠色低碳發展、助力鄉村振興為核心導向，精準謀劃綠色金融業務佈局，深度挖掘各業務板塊的綠色內涵與核心價值，推動綠色發展理念與經營發展深度融合。公司充分發揮期貨及衍生品市場價格發現、風險管理的核心功能，聚焦“保險+期貨”專案及產品創新等業務，以專業化、精細化的期貨服務為紐帶，著力實現綠色低碳發展、實體產業提質、民生福祉提升的協同推進。隨著多晶硅期貨的上市，弘業期貨在廣州期貨交易所交易的新能源品種已增加至三個，為新能源發展培育提供助力。

Centering on the "Insurance + Futures" model, the Company focuses on green agriculture and ecological industries, aligning with the development needs of ecological core areas and remote regions. This approach stabilizes agricultural product prices, safeguards business revenues, and simultaneously guides the green upgrading of industries, creating a replicable green finance model to support farmers. By the end of the Reporting Period, the Company's various "Insurance + Futures" projects had served over 120,000 farming households. While supporting rural revitalization and safeguarding farmer incomes, professional assistance initiatives have guided farmers to adopt green production practices, promoted the green upgrading of rural industries, and achieved an integrated outcome of finance, livelihoods, and ecological sustainability.

公司以“保險+期貨”為核心抓手，聚焦綠色農業與生態產業，對接生態核心區、偏遠地區發展需求，平抑農產品價格波動，保障經營收益，同步引導產業綠色升級，形成可複製的綠色金融助農模式。截至報告期末，公司各類“保險+期貨”專案累計服務農戶超 12 萬戶，在助力鄉村振興、保障農戶增收的同時，通過專業幫扶等舉措，引導農戶樹立綠色生產理念，推動鄉村產業綠色升級，實現金融、民生與生態的有機統一。



Case Study  
案例

 Natural Rubber "Insurance + Futures" Project  
天然橡膠 “保險 + 期貨” 專案

Natural rubber, as a green and renewable resource, offers both ecological protection and livelihood benefits. To address its high price volatility and the "low rubber prices harming farmers" issue, Holly Futures partnered with an insurance company under the guidance of the Shanghai Futures Exchange, leveraging dedicated support funds to implement the natural rubber "Insurance + Futures" project. The project has been carried out for three consecutive years in the Hainan Baisha national ecological core area, helping farmers mitigate price fluctuation risks. In 2025, the project covered 3,000 tons of rubber, benefiting nearly 27,000 farmers, effectively ensuring farmer income, protecting ecological barriers, and promoting green industrial upgrading.

天然橡膠作為綠色可再生資源，種植兼具生態保護與民生保障價值，針對其價格波動大、“膠賤傷農”的痛點，弘業期貨聯合保險公司在上期所指導下，依託專項幫扶資金佈局天然橡膠“保險+期貨”專案，並在海南白沙國家級生態核心區連續三年實施專案，幫助農戶規避價格波動風險。2025年，該專案覆蓋橡膠3,000噸、惠及膠農近2.7萬戶，同時公司依託專項資金在海南等主產區持續推進“保險+期貨”專案，切實保障膠農增收、守護生態屏障、推動產業綠色升級。

Case Study  
案例

 Apple "Insurance + Futures" Project  
蘋果 “保險 + 期貨” 專案

In 2025, the Company, together with China Pacific Property Insurance Co., Ltd., successfully implemented the first apple "Insurance + Futures" price insurance project in Feng County, Xuzhou, supported by the Zhengzhou Commodity Exchange. This project provided market-based risk management tools for the apple industry in Feng County, supporting the green and sustainable development of specialty agriculture. To address the "high yield but low income" issue caused by apple price volatility, the project covers the critical periods of apple ripening and sales, and adopts a diversified premium-sharing mechanism combining government subsidies, exchange support, and farmer contributions. This innovative integration of green finance and rural revitalization offers replicable practices for modern agricultural development.

2025年，公司聯合中國太平洋財產保險股份有限公司，在徐州市豐縣成功落地江蘇省首單由鄭州商品交易所支持的蘋果“保險+期貨”價格保險專案，為豐縣蘋果產業提供市場化風險管理工具，助力特色農業綠色可持續發展。針對蘋果市場價格波動導致的“豐產不豐收”困境，公司專案保障週期覆蓋蘋果成熟及銷售關鍵期，並通過“財政補貼+交易所支持+農戶自擔”的多元保費分擔機制，創新融合綠色金融與鄉村振興，為農業現代化發展提供可複製經驗。



## Communication and Collaboration 交流與合作

Holly Futures adheres to using green finance to serve the real economy and promote high-quality development across industrial chains, actively building a multi-level, broad, and platform-based collaboration ecosystem. The Company continuously advances cross-platform strategic collaborations, focusing on key categories such as agricultural products, energy and chemical commodities, and green bulk commodities. It has signed cooperation agreements with multiple state-owned enterprises, leading industry companies, and trading firms to provide green finance and futures services to real economy enterprises, strengthening supply chain resilience and risk mitigation capabilities. At the same time, the Company actively aligns with local development strategies, leveraging regional industrial bases and logistics advantages, deepening government-enterprise collaboration, optimizing the business environment interface, and promoting the precise allocation of financial resources to real economy sectors to facilitate regional green transformation and enhanced economic efficiency.

弘業期貨堅持以綠色金融服務實體經濟與產業鏈高質量發展，積極構建多層次、寬領域、平臺化合作生態。公司持續推動跨平臺戰略合作升級，聚焦農產品、能源化工、綠色大宗商品等重點品類，已與多家省屬企業、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，強化產業鏈韌性與抗風險能力。同時，公司主動對接地方發展戰略，依託區域產業基礎與物流優勢，深化政企協同，優化營商環境對接，推動金融資源與實體產業精準匹配，助力區域綠色轉型與經濟提質增效。



# D

## Driving Product Upgrading and Empowering Customer Services

### 03 驅動產品升級 賦能客戶服務

SDGs Addressed in This Section  
本章所回應 SDGs



ESG Material Topics Covered in This Section  
本章所涉及的 ESG 重要議題

- Innovation ○  
創新驅動
- Product and Service Safety and Quality ○  
產品和服務安全與品質
- Data Security and Customer Privacy Protection ○  
數據安全與客戶隱私保護
- Serving the Real Economy ○  
服務實體經濟
- Supply Chain Management ○  
供應鏈管理
- Technology Ethics ○  
科技倫理
- Fair Treatment of SMEs ○  
平等對待中小企業

# Innovation 創新驅動

## Innovation Governance 創新治理

Holly Futures consistently adheres to an innovation-driven development strategy and upholds the service philosophy of "stability, efficiency and innovation." The Company systematically advances technological and service innovation, leveraging sustained and stable innovation capabilities to support the high-quality development of the real economy. The Company has established institutions such as the Financial Research Institute and the Information Technology Center to conduct innovation research. It has also taken the lead in the industry by establishing a national-level postdoctoral research workstation. Focusing on industry development and market demand, the Company carries out product innovation research, service model optimization and technological innovation practices, continuously strengthening its innovation governance system. In addition, the Company has established a "Reform and Innovation Suggestion Box" to encourage employees to actively contribute ideas and suggestions, harness collective wisdom across the organization, and drive the Company's steady development and value enhancement through continuous innovation practices.

弘業期貨始終堅持創新驅動發展戰略，以“穩健、高效、創新”為服務理念，系統推進科技創新、服務創新，以持續穩定的創新能力賦能實體經濟高質量發展。公司設立金融研究院、信息科技中心等機構開展創新研究，並在行業內率先建立了國家級博士後工作站，聚焦行業發展與市場需求，開展產品創新研究、服務模式優化與技術創新實踐，持續夯實創新治理體系。同時，公司設立“改革創新建議箱”，鼓勵員工積極建言獻策，廣泛彙聚全員智慧，以持續迭代的創新實踐驅動企業穩健發展與價值提升。



### KPI 關鍵績效

During the Reporting Period, the Company had **18** R&D personnel, accounting for **3.17%** of the total number of employees. Among them, employees with bachelor's degrees accounted for **33.33%**, and those with master's degrees or above accounted for **66.67%**.

報告期內，公司研發人員 **18** 人，占員工總人數 **3.17%**，其中本科學歷人數占比 **33.33%**，碩士及以上學歷人數占比 **66.67%**。

The statistics include Research Institute of Finance and IT Department.  
該數據的統計口徑包含金融研究院與 IT 部門。

## Innovation Initiatives 創新舉措

### Digital Transformation and Upgrading 數位化轉型升級

Holly Futures actively responds to the digital transformation trend in the industry by continuously increasing investment in technology research and development and resources, and steadily advancing the development of intelligent service platforms. The Company has upgraded and optimized the Hongyuntong App, the Holly Futures App and the Company's official website, while actively promoting the development of the HarmonyOS version of the Holly Futures App, thereby building an efficient, integrated, secure and stable online trading service system. The Company operates 3 independent data centers and continues to upgrade and improve its core business systems. It successfully launched the Hundsun single-stock options system, further strengthening the security of the trading system and enhancing operational efficiency. Meanwhile, leveraging its online cloud service platform, the Company has introduced innovative service formats such as video briefings and live-streaming programs. It regularly provides investors with practical information including financial calendars and market insights, continuously expanding service touchpoints and enhancing market communication and industry influence.

弘業期貨積極順應行業數位化發展趨勢，持續加大技術研發與資源投入，穩步推進智能化服務平臺建設。公司對弘運通 APP、弘業期貨 APP、弘業期貨官網進行升級優化，並積極推進弘業期貨鴻蒙版 APP 開發，構建高效、綜合、安全、穩定的線上交易服務體系。公司建有 3 個獨立的數據中心，持續升級完善核心業務系統，成功上線恒生個股期權系統，進一步築牢交易系統安全防線、提升系統運行效能。與此同時，公司依託線上雲服務平臺創新服務形式，推出視頻播報、視頻直播等特色欄目，定期向投資者推送財經月曆、市場熱點解讀等實用信息，不斷拓寬服務觸達渠道，有效提升市場傳播力與行業影響力。

### Innovation in Management Models 管理模式創新

The Company has innovatively adopted the FOF/MOM portfolio management model, deepening cooperation with private fund institutions to broaden investment channels and strategy sources. At the same time, it strengthens comprehensive cooperation with banks, securities firms and trust institutions to expand client coverage, improve service systems and enhance the brand influence of its asset management business. In response to a complex and evolving market environment, the Company leverages its clear business positioning, professional asset management capabilities and strong channel collaboration to consolidate its leading industry position, demonstrating strong development resilience and value creation potential.

公司創新運用 FOF/MOM 組合管理模式，深化與私募基金機構合作，拓寬投資渠道與策略來源；同時加強與銀行、券商、信託等機構全方位合作，擴大客群覆蓋、完善服務體系，提升資管品牌效應。面對複雜多變的市場環境，公司憑藉精準的業務定位、專業的資產管理能力及全面的渠道協同，鞏固行業領先地位，展現出強勁的發展韌性與價值創造潛力。

## Innovation in Business Models

### 業務模式創新

The Company builds on the core functions of the futures industry and leverages model innovation as a key driver, focusing on the development of agriculture, rural areas, and farmers, as well as the needs of the real economy. It creates innovative business models with industry-leading demonstration value, enhancing the quality and efficiency of financial services. In terms of innovation under the "Insurance + Futures" model, the Company continues to explore multi-party collaboration mechanisms, breaking traditional service boundaries and launching several pioneering and benchmark projects in the industry. Among these initiatives, the Company successfully implemented Jiangsu Province's first rapeseed "Insurance + Futures" project in Nanjing and Taizhou, filling the gap in risk management tools for the regional rapeseed industry. It also launched its first "Insurance + Futures" red date project in Xinjiang, precisely aligning with the development needs of local specialty agricultural products and supporting improvements in the quality and efficiency of specialty agriculture. In addition, the Company promoted innovative fish feed-related projects in Xuzhou and Lianyungang. The Xuzhou project was the first "Insurance + Futures + Bank" fish feed project in China. Through collaboration among futures companies, insurers and banks, the project established a comprehensive risk management and financing support system, providing integrated services for upstream and downstream participants across the agricultural industry chain. Meanwhile, the Company successfully participated for the first time in the soybean "Bank + Futures + Insurance" innovative project of the Dalian Commodity Exchange. Building on the "Insurance + Futures" model, the project introduced banks and purchasing enterprises, achieving a new breakthrough in service models. In addition, the apple "Insurance + Futures" project implemented in Feng County, Xuzhou, was the first project of its kind in Jiangsu Province supported by the Zhengzhou Commodity Exchange, further expanding the coverage and influence of this innovative model.

公司立足期貨核心職能，以模式創新為抓手，聚焦“三農”發展與實體經濟需求，打造具有行業示範意義的創新業務模式，推動金融服務提質增效。在“保險+期貨”模式創新方面，公司持續探索多方聯動的創新路徑，打破傳統服務邊界，打造了多個首單、首創標杆專案。其中，在南京、泰州成功落地江蘇省首單油菜“保險+期貨”專案，填補了區域油菜產業風險管理工具的空缺；在新疆首次開展紅棗“保險+期貨”專案，精準匹配當地特色農產品發展需求，助力特色農業提質增效；在徐州、連雲港創新推進魚飼料相關專案，其中徐州專案為全國首單魚飼料“保險+期貨+銀行”創新專案，通過期貨、保險、銀行三方聯動，構建全方位的風險管理與融資支持體系，為農業產業鏈上下游提供綜合服務。同時，公司首次成功參與大商所大豆“銀期保”創新專案，在“保險+期貨”基礎上，引入銀行和收購企業，實現服務模式新突破；在徐州豐縣開展的蘋果“保險+期貨”專案，是江蘇省首單鄭商所支持的同類項目，持續擴大創新模式的覆蓋面與影響力。

## Intellectual Property Protection

### 知識產權保護

Holly Futures attaches great importance to intellectual property management and strictly complies with relevant laws and regulations, including the Patent Law of the People's Republic of China, the Copyright Law of the People's Republic of China, and the Trademark Law of the People's Republic of China. The Company has established and improved its intellectual property management system, lawfully registers software copyrights, and protects the outcomes of independently developed information systems. The Company has formulated the Administrative Measures for the Use of Licensed Software to regulate the entire lifecycle of software procurement, installation and use, thereby ensuring compliant software usage. During the Reporting Period, the Company did not experience any material intellectual property infringement incidents, and its intellectual property management remained compliant and orderly.

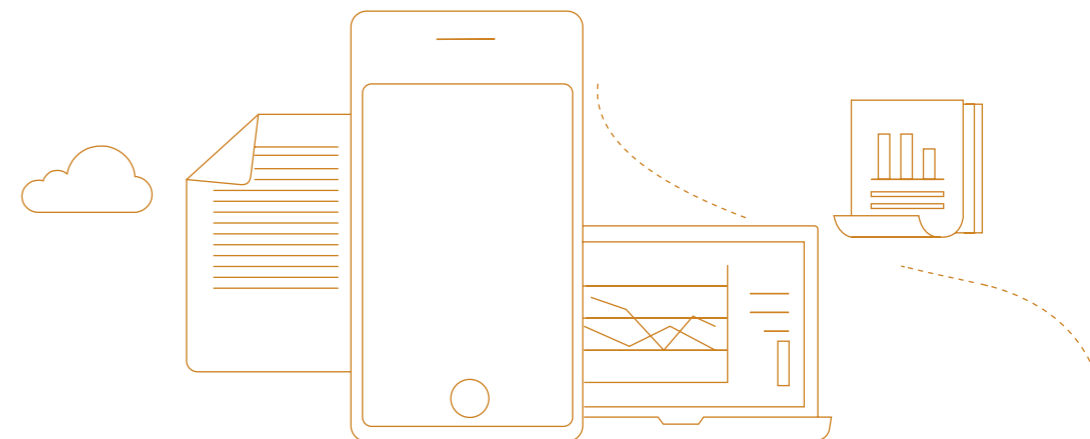
弘業期貨高度重視知識產權管理，嚴格遵守《中華人民共和國專利法》《中華人民共和國著作權法》《中華人民共和國商標法》等法律法規，建立健全知識產權管理體系，依法登記軟體著作權，保護自主開發的信息系統成果。公司制定《軟體正版化工作管理辦法》，對軟體採購、安裝、使用等環節實施全過程規範管理，切實保障軟體合規使用。報告期內，公司未發生重大知識產權侵權事件，知識產權管理合規有序。

## Technology Ethics

### 科技倫理

Holly Futures strictly complies with national laws, regulations and industry standards related to technology ethics. The Company adheres to compliant operations and integrity as fundamental principles and regulates all research, development and innovation activities accordingly. During the Reporting Period, the Company did not engage in any activities that violated technology ethics and was not subject to any regulatory penalties in this regard.

弘業期貨嚴格遵守國家科技倫理相關法律法規及行業準則，始終以合規經營、誠信自律為根本遵循，規範各類研發創新活動。報告期內，公司不存在違反科技倫理的情形，未受到監管機關相關處罰。



## Product and Service Quality

### 產品和服務品質

## Product and Service Governance

### 產品和服務治理

Holly Futures continues to enhance its intelligent customer service system and improve its product and service management framework. The General Manager Office, as the management body, is responsible for coordinating internal and external cooperation resources, overseeing the service supervision system, addressing major complaints, supervising the implementation of work across departments and reporting to the Board of Directors. Meanwhile, several departments, including the Trading Operations Center, the Customer Service Department and the Compliance and Legal Department, collaborate at the execution level. The Trading Operations Center strictly manages service quality, the Customer Service Department collects customer feedback, and the Compliance and Legal Department conducts legal and regulatory reviews of complaint-related matters, jointly ensuring effective product quality assurance and customer service responsiveness.

弘業期貨持續深化智能化客戶服務體系建設，不斷完善產品與服務管理體系，其中總經理室作為管理層，負責協調內外部合作資源、統籌服務監督體系、關注重大問題投訴、監督各部門執行情況並向董事會彙報；交易運營中心、客戶服務部、合規法律部等多部門作為執行層協同發力，交易運營中心嚴格把控服務品質環節，客戶服務部負責客戶回饋收集工作，合規法律部對投訴相關事項進行合法合規性審查，共同推動產品品質保障與客戶服務回應落地。

## Product and Service Strategy 產品和服務戰略

Holly Futures actively advances the "Technology-driven Holly Futures" strategy by deeply integrating advanced technologies with its futures business. The Company proactively identifies potential risks and opportunities in product quality management and customer services, promptly detects potential issues and formulates corresponding response measures to continuously improve product quality.

弘業期貨積極推進“科技弘業”戰略，深度融合前沿科技與期貨業務。公司積極識別在產品品質管理和客戶服務過程中可能存在的風險和機遇，及時發現潛在的問題，並制定相應的應對措施，以持續優化產品品質。

Type of Risk / Opportunity 風險 / 機遇類型	Description of Risk / Opportunity 風險 / 機遇描述	Likelihood 發生可能性	Impact 影響程度	Time Horizon of Impact 影響時間範圍	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序排序	Potential Financial Impact 財務影響說明	Response Measures 應對措施
Investment Advisory Service Risk 投資諮詢服務風險	<p>Market analysis, price forecasts and investment advice provided by the Company may become inaccurate, incomplete or delayed due to market fluctuations, potentially leading to client investment errors and financial losses. In addition, insufficient communication at the initial stage may result in an inadequate understanding of the client's risk tolerance, investment objectives and financial situation, causing investment recommendations to mismatch the client's circumstances and potentially exposing clients to losses beyond their risk tolerance.</p> <p>公司提供的市場分析、行情預測、投資建議等信息可能因市場變化存在不準確、不完整或滯後的情形，導致客戶投資失誤、資金受損；前期溝通不足，未能充分瞭解客戶風險承受能力、投資目標、財務狀況等，投資建議與客戶實際情況不匹配，使客戶面臨超風險承受損失。</p>	Low 低	Medium 中	Short term 短期	Operations; downstream 運營、下游	Medium 中	Decrease in revenue 收入減少	<p>The Company has comprehensively reviewed its business lines including futures brokerage, asset management, fund distribution and investment advisory services. It clearly defines operational procedures, responsible personnel, departmental responsibilities, fund flows and information transmission paths across each business segment, enabling precise identification of potential risks at key stages from account opening, order placement and trade execution to settlement and delivery, thereby providing a solid basis for risk prevention and control.</p> <p>公司全面梳理期貨經紀、資產管理、基金銷售、投資諮詢等各項業務，明確各業務環節的操作流程、責任人員、部門分工、資金流向及信息傳遞路徑，精準識別從客戶開戶、交易指令下達、交易執行、結算到交割等關鍵節點的潛在風險，為風險防控提供依據。</p>
Client Communication and Feedback Risk 客戶溝通與回饋風險	<p>If the Company fails to respond promptly to client inquiries and complaints, or delays in releasing important market information and risk alerts, clients may be unable to obtain critical information in a timely manner, which may interfere with their decision-making and risk management, potentially leading to incorrect decisions and adversely affecting client satisfaction.</p> <p>公司若未能及時回應客戶的諮詢、投訴等信息，或在重要市場信息發佈、風險提示等方面存在滯後，將使客戶難以及時掌握關鍵信息，進而干擾其決策與風險把控，甚至導致錯誤決策，影響客戶滿意度。</p> <p>If employees fail to promptly accept and handle customer complaints, or if the handling process is excessively delayed, it may aggravate customer dissatisfaction, potentially leading to more serious disputes and even resulting in customer loss.</p> <p>員工如果對客戶的投訴無法及時受理和處理，拖延時間過長，會加重客戶的不滿情緒，可能引起更嚴重的爭端，甚至造成客戶流失。</p>	Low 低	Medium 中	Short term 短期	Operations; downstream 運營、下游	Medium 中	Decrease in revenue 收入減少	<p>The Company conducts comprehensive risk assessments of clients, covering aspects such as risk tolerance, investment experience, financial condition and trading objectives. Through questionnaires, interviews and data analysis, the Company obtains a clear understanding of clients' basic information and investment preferences. For clients with relatively low risk tolerance who participate in high-risk futures trading, the Company remains alert to potential risks of client losses and the associated risks of complaints and disputes that may arise.</p> <p>公司對客戶開展全方位風險評估，涵蓋客戶的風險承受能力、投資經驗、財務狀況及交易目的等內容。借助問卷調查、面談交流、數據分析等手段，掌握客戶的基本信息與投資傾向。針對風險承受能力不高的客戶，若其參與高風險期貨交易，公司則需察覺可能存在的客戶虧損風險以及隨之而來的客戶投訴、糾紛等風險。</p>

Type of Risk / Opportunity 風險 / 機遇類型	Description of Risk / Opportunity 風險 / 機遇描述	Likelihood 發生可能性	Impact 影響程度	Time Horizon of Impact 影響時間範圍	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序排序	Potential Financial Impact 財務影響說明	Response Measures 應對措施
Digital Transformation Opportunity 數位化轉型機遇	<p>By deepening the innovative application of advanced technologies such as artificial intelligence and big data across the entire customer service chain, the Company can achieve precise identification of customer needs, intelligent matching of service solutions and real-time response to risk alerts, thereby comprehensively enhancing the accessibility, convenience and personalization of services.</p> <p>通過深化人工智能、大數據等前沿技術在客戶服務全鏈條的創新應用可實現客戶需求精準識別、服務方案智能匹配、風險預警即時回應，全面提升服務的可及性、便捷性與個性化水準。</p>	Medium 中	Medium 中	Short term 短期	Downstream 下游	Medium 中	Increase in revenue 收入增加	<p>The Company actively advances the integration of "AI + Big Data", leveraging the strengths of artificial intelligence and big data analytics to build an intelligent business support system that enables smart risk control, precision marketing and trading decision support. At the same time, the Company has comprehensively upgraded its intelligent customer service system and launched a 24/7 online intelligent customer service platform, effectively improving service efficiency and customer experience while steadily enhancing customer satisfaction.</p> <p>公司深入推進“AI+ 大數據”融合應用，整合人工智能與大數據分析技術優勢，構建智能化業務支撐體系，實現智能風控、精準行銷和交易輔助決策。同時，全面升級智能客戶服務體系，推出 7×24 小時線上智能客服系統，有效提升服務效率與客戶體驗，持續推動客戶滿意度穩步提升。</p>

## Product and Service Risk Management Process 產品和服務風險管理流程

Holly Futures has formulated the Risk Control System and established a professional risk identification team. Focusing on core business segments such as futures brokerage, the Company clearly defines risk identification objectives and conducts thorough reviews of potential risks associated with products and services. It clarifies the scope of risk identification and strengthens departmental responsibilities. The Company collects internal and external information through multiple channels and continuously improves its full-process risk management system, ensuring compliant and stable business operations.

弘業期貨制定《風險控制制度》，組建專業風險識別團隊，圍繞期貨經紀等核心業務板塊明確風險識別目標，深入排查產品與服務潛在風險；清晰界定風險識別範圍，壓實相關部門責任，通過多渠道收集內外部信息，持續完善全流程風險管理體系，築牢業務合規穩健運行的防線。

## Metrics and Targets 指標與目標

The Company will continue to deepen digital and intelligent service innovation, optimize its customer service system, expand service channels and application scenarios, and enhance service quality and efficiency. At the same time, the Company regularly conducts a variety of investor education activities to promote financial literacy and strengthen investors' risk awareness. By establishing a service system featuring tiered services, diversified products and technology support, the Company strives to become a long-term trusted financial partner for investors and clients through more efficient, convenient and professional services, thereby contributing to the high-quality development of the industry. During the Reporting Period, the Company conducted various investor protection and education activities, summarized<sup>4</sup> as follows:

公司將持續深化數智服務創新，優化客戶服務體系，拓展服務渠道與場景，提升服務質效。同時，公司常態化開展形式多樣的投資者宣教活動，切實普及金融知識，強化投資者風險意識。通過構建服務分層、產品多元、科技支撐的服務體系，公司以更高效、更便捷、更專業的服務，成為投資者及客戶長期信賴的金融夥伴，助力行業高質量發展。報告期內，公司開展各類投資者保護宣教活動的活動數據<sup>4</sup>如下：

<sup>4</sup>The statistics include activities conducted under the "May 15 National Investor Protection Publicity Day" and "World Investor Week 2024".

<sup>4</sup> 该数据的统计口径包含了“5·15 全国投资者保护宣传日”活动和“2024 年世界投资者周”活动。

Number of Original Investor Education Products 原創投教產品種數	22	Total Distribution of Non-original Physical Investor Education Materials 非原創實物投教產品總發放件數	252
Total Distribution of Original Physical Investor Education Materials 原創實物投教產品總發放件數	0	Total Clicks of Non-original Digital Investor Education Products 非原創電子投教產品總點擊量	10,791
Total Clicks of Original Digital Investor Education Products 原創電子投教產品總點擊量	17,355	Number of Events 活動場次	32
Number of Non-original Investor Education Products 非原創投教產品種數	118	Number of Participants 活動參加人次	11,687

Case Study  
案例



"May 15 Investor Protection Publicity Day"  
"5·15 投資者保護宣傳日" 活動

To effectively safeguard the legitimate rights and interests of investors and enhance investment risk awareness among clients and the general public, the Company organized the "May 15 Investor Protection Publicity Day" themed event on May 15, 2025. The Company established a dedicated task force to coordinate both online and offline communication resources, releasing themed posters, articles and live-stream content through multiple channels including the Company's official website, APP, WeChat official account, video account and Weibo. Meanwhile, branch offices were organized to conduct on-site outreach through the distribution of informational leaflets and the establishment of consultation booths, comprehensively promoting investor education and fulfilling the social responsibilities of a financial institution.

為切實維護廣大交易者合法權益，提升公司客戶與社會公眾投資風險意識，公司於 2025 年 5 月 15 日開展“5·15 投資者保護宣傳日”主題活動。公司成立專項工作小組，統籌線上線下宣傳資源，在公司官網、APP、微信公眾號、視頻號、微博等多渠道發佈主題海報、推文及直播內容；同時組織分支機構深入一線，通過發放宣傳單頁、設立諮詢展臺等形式，全方位推進投資者教育工作，切實履行金融機構社會責任。



## Customer Services 客戶服務

### Customer Service Management 客戶服務管理

To enhance customer service quality and satisfaction and to uphold a customer-centric service philosophy, the Company has formulated the Measures for Handling Customer Complaints. The measures clearly define management principles, responsible entities, complaint acceptance and classification, handling procedures, follow-up mechanisms and information confidentiality requirements. This ensures that complaint handling follows standardized procedures with clear responsibilities and closed-loop management, continuously improving service experience and strengthening the foundation of customer service management.

為切實提升客戶服務品質與滿意度，踐行以客戶為中心的服務理念，高效妥善化解客戶訴求，維護客戶合法權益與公司品牌形象，公司制定《客戶投訴處理辦法》，明確投訴處理管理原則、責任主體、受理分類、處置流程、後續跟進及資料保密等全流程規範，確保客戶投訴工作有章可循、權責清晰、閉環管理，不斷優化服務體驗，夯實客戶服務管理基礎。

### Customer Complaint Handling Management 客戶投訴處理管理

Management Principles and Responsible Entities  
管理原則與責任主體

Customer complaint handling follows the principles of effectiveness, factual accuracy, unified leadership, hierarchical responsibility and designated handling. The Customer Service Department serves as the dedicated complaint handling department responsible for the entire process, including complaint acceptance, assignment, feedback, follow-up and reporting. Department heads serve as the primary responsible persons for complaint handling within their respective departments, while functional departments such as the Compliance and Legal Department participate in the process according to their responsibilities.

客戶投訴處理遵循實效性、實事求是及統一領導、分級負責、對口承辦原則，客戶服務部為投訴專屬受理部門，統籌投訴受理、分發、回饋、回訪及統計報送等全流程工作，各部門負責人為本部門投訴處理第一責任人，合規法律部等職能部門按職責協同參與相關工作。

Complaint Acceptance and Classification Management  
投訴受理與分類管理

The Company has established standardized complaint acceptance mechanisms, requiring complainants to provide relevant information such as identity details, claims and factual grounds. Complaints from non-clients or unauthorized representatives may be declined in accordance with laws and regulations with appropriate explanations. An investor complaint register is maintained to record all relevant details. Complaints are categorized into major complaints and general complaints, and may also be further classified by dimensions such as technology, business operations and service quality.

建立規範的投訴受理機制，可要求投訴人提供身份、訴求、事實理由等相關材料，對非公司客戶、無委託授權代理等情形的投訴依法依規不予受理並說明理由；建立投資者投訴台賬完成全要素登記，將投訴劃分為重大投訴與一般投訴兩類，同時可按技術、業務、服務等維度開展細分管理。

Complaint Channels and Handling Mechanism  
投訴渠道與處理機制

The Company ensures smooth complaint channels by establishing complaint hotlines, email addresses and petition channels, which are publicly disclosed on the Company's website. A hierarchical handling mechanism is implemented. General complaints are handled by the department concerned, while those that cannot be resolved are transferred to the Customer Service Department and reported to the responsible management. Major complaints are jointly handled by the relevant department, the Customer Service Department and the Compliance and Legal Department. Complaints requiring cross-department coordination are addressed under the overall coordination approved by the Company's senior management. For major complaints, investigation results are reported in accordance with relevant requirements. Where responsibility lies with the Company, remedial measures are implemented in accordance with established procedures. Complaints involving violations of laws or regulations, or those that may give rise to collective or serious incidents, are reported to regulatory authorities by the Compliance and Legal Department in accordance with regulations. The Compliance and Legal Department is also responsible for handling complaint matters that require regulatory reporting or may lead to litigation or arbitration.

保障客戶投訴渠道暢通，設立投訴電話、電子郵件、信訪等投訴途徑並通過公司網站公示；實行分級處理機制，一般投訴由被投訴部門就地處置，無法處理的轉交客戶服務部並上報分管領導，重大投訴由被投訴部門、客戶服務部協同合規法律部聯合處理，需多部門協助的投訴經公司主要領導審批後統籌協調；重大投訴按要求完成調查情況回饋，確屬公司責任的按流程落實處置措施，涉及違法違規或可能引發群體性、惡性事件的，由合規法律部按規定上報監管機構，合規法律部同步負責處理需向監管報告或引發訴訟、仲裁的投訴相關事宜。

Follow-up and Statistical Review  
後續跟進與統計復盤

The Company has established a complaint follow-up mechanism. Within 2 working days after complaint resolution, customer follow-up is conducted. Unresolved issues will be accepted as secondary complaints. A regular statistical reporting mechanism has also been established. The Customer Service Department compiles a monthly summary of complaints and reports it to the Company's senior management within 2 working days of the following month, forming a closed-loop complaint management system.

建立投訴處理回訪機制，投訴處理完畢後2個工作日內完成客戶回訪，未解決問題轉為二次投訴受理；建立定期統計匯總機制，客戶服務部每月完成投訴情況匯總，於次月2個工作日內向公司主要領導彙報，形成投訴處理閉環管理。

Documentation Management and Confidentiality  
資料管理與保密

Complaint documentation is managed in a standardized manner. The Customer Petition Registration Form is completed accurately and archived properly, and original complaint materials are retained for a period of twenty years. Strict confidentiality obligations are implemented. Personnel responsible for receiving and handling complaints, along with relevant staff, must maintain confidentiality of all complaint information.

規範投訴資料管理，據實填寫《客戶信訪登記表》並裝訂保管，投訴原始材料保存期限為二十年；嚴格落實保密責任，投訴受理人、處理人及相關工作人員對投訴內容承擔保密義務。

## Responsible marketing 負責任行銷

Holly Futures strictly complies with national laws and regulations, including the Consumer Rights Protection Law of the People's Republic of China and the Administrative Measures for the Protection of Financial Consumers' Rights and Interests issued by the People's Bank of China. The Company ensures that marketing and promotional materials are truthful and credible and that customers are not misled throughout the entire business process. In its internal management, the Company strictly implements requirements such as the Margin Management System and has established a sound risk assessment mechanism for financial products. Based on professional and comprehensive risk rating assessments for each product, the Company clearly discloses trading risks to clients. At the same time, the Company applies professional methods to assess clients' risk tolerance and recommends products that match their risk profiles through a risk-matching process, striving to provide compliant, secure and suitable financial services.

弘業期貨嚴格遵循《中華人民共和國消費者權益保護法》《中國人民銀行金融消費者權益保護實施辦法》等國家法律法規，堅守行銷宣傳內容真實可信，確保業務全流程不誤導客戶；內部管理嚴格落實《保證金管理制度》等相關要求，構建科學完善的金融產品風險評估機制，在對每款產品開展專業詳盡的風險等級評定基礎上，以清晰明確的方式向客戶充分揭示交易風險，同時運用專業方法評估客戶風險承受能力，通過風險匹配流程為客戶推薦與其風險承受程度相契合的產品，全力提供合規、安全、適配的金融服務。

Case Study  
案例



### Campaign on Preventing Illegal Securities and Futures Activities 防非宣傳活動

On June 16, 2025, Holly Futures completed the implementation of the 2025 Publicity Month on Preventing Illegal Securities, Futures and Fund Activities. The campaign, themed "Beware of Stock Market Manipulators and Avoid Illegal Stock Recommendations," the campaign adopted responsible marketing as its guiding principle. Through coordinated planning by multiple departments at headquarters, diversified online communications, and coordinated online and offline promotion by branch offices, the Company designed original themed posters, produced educational infographics and case analyses on fraud prevention, and released a series of investor education articles. In addition, offline activities such as exhibition displays, leaflet distribution and investor education booths were organized to widely disseminate knowledge on preventing illegal stock recommendation schemes. While promoting professional investment knowledge and enhancing investors' awareness of risk prevention, the Company adhered to the principles of compliant operations and fulfilled its responsibility for investor education and protection through responsible financial communication, effectively safeguarding the legitimate rights and interests of investors.

2025年6月16日，弘業期貨完成2025年防範非法證券期貨基金宣傳月專項活動相關工作，本次活動緊扣“警惕股市黑嘴，遠離非法荐股”主題，以負責任行銷為核心導向，通過總部多部門聯動策劃、互聯網平臺多元宣傳、各分支機構線上線下協同推進的方式，原創設計主題海報、製作防騙科普長圖與案例解析內容、發佈系列投教推文，同時結合線下設展宣傳、派發傳單、投教圍地布展等形式，廣泛傳播非



Campaign on Preventing Illegal Financial Activities  
防非宣傳活動

法薦股防範知識，在普及專業投資知識、提升投資者風險防範意識的同時，堅守合規經營底線，以負責任的金融宣傳踐行投資者教育與保護責任，切實將投資者合法權益保護落到實處。

# Data Security and Customer Privacy Protection

## 數據安全與客戶隱私保護

### Data Security Governance

#### 數據安全治理

To ensure the security and reliability of the Company's information systems, promote business development, strengthen information security management and improve information security protection capabilities, Holly Futures strictly complies with relevant laws and regulations including the Cybersecurity Law of the People's Republic of China and the Personal Information Protection Law of the People's Republic of China. The Company has formulated a series of internal policies, including the Network and Information Security Management Measures and the Network Security Incident Management Measures, to ensure the secure, efficient and stable construction and operation of its information systems.

為確保公司信息系統的安全、可靠，促進各項業務的發展，加強公司信息安全管理，提高信息安全保障工作水準，公司嚴格遵循《中華人民共和國網路安全法》《中華人民共和國個人信息保護法》等一系列相關法律法規，為切實保障信息安全，制定《網路和信息安全管理辦法》《網路安全事件管理辦法》等一系列內部管理制度，確保信息系統的建設和運行安全高效穩定。

The Company follows the principle of "accountability lies with both overseers and operators", establishing a comprehensive information security accountability framework and clearly defining information security management responsibilities across departments and positions. The Company's Information Technology Committee oversees overall information security management and major decision-making. The Information Technology Center is responsible for the organization, implementation and daily management of information security, while branch offices and relevant positions perform their respective responsibilities in a coordinated manner, establishing a well-structured information security framework with clearly defined roles and responsibilities. During the Reporting Period, the Company obtained multiple classified cybersecurity protection certifications, and no incidents involving data security breaches or customer privacy leakage occurred.

公司遵循“誰主管誰負責，誰運營誰負責”的原則，建立健全信息安全責任體系，明確各部門與崗位的信息安全管理職責。公司信息技術委員會統籌信息安全總體管理與重大決策，信息科技中心負責信息安全具體組織實施與日常管理，各分支機構及相關崗位各司其職、協同落實，形成層級清晰、權責對等的信息安全管理架構。報告期內，公司通過多項網路安全等級保護認證，未發生數據安全與客戶隱私洩露事件。



Classified Cybersecurity Protection Level II Certificate for the Distributed Futures Integrated Trading System  
分佈式期貨綜合交易系統二級網路安全等級保護證書



Classified Cybersecurity Protection Level II Certificate for the APP Integrated Trading Platform  
APP 綜合交易平臺二級網路安全等級保護證書



Classified Cybersecurity Protection Level II Certificate for the Stock Options Integrated Trading System  
股票期權綜合交易系統二級網路安全等級保護證書



Classified Cybersecurity Protection Level III Certificate for the Chairman Integrated Trading System  
主席綜合交易系統三級網路安全等級保護證書



Classified Cybersecurity Protection Level II Certificate for the Official Website of Soho Holly Futures Co., Ltd.  
蘇豪弘業期貨股份有限公司官網二級網路安全等級保護證書



## Data Security Strategy

### 數據安全戰略

Type of Risk / Opportunity 風險 / 機遇類型	Description of Risk / Opportunity 風險 / 機遇描述	Likelihood 發生概率	Impact Level 影響大小	Time Horizon of Impact 影響時間範圍	Affected Value Chain Segment 影響價值鏈環節	Priority Ranking 優先順序排序	Potential Financial Impact 財務影響描述	Response Measures 應對措施
<b>Technical Risk</b> 技術風險	<p>If the Company's information systems experience operational disruptions or data damage or leakage due to various internal or external factors, the systems may fail to consistently ensure stable, efficient and secure trading and business management in terms of business functionality, response speed, processing capability and data encryption, potentially resulting in losses to the Company.</p> <p>若因各種內、外部原因造成公司信息系統運行異常或者數據毀損、洩露，導致系統在業務實現、回應速度、處理能力、數據加密等方面不能持續保障交易與業務管理穩定、高效、安全地進行，將為公司帶來損失。</p>	Low 低	High 大	Short term 短期	Operations 運營	Medium 中	Decrease in operating revenue and increase in operating costs 營業收入減少、運營成本增加	<p>Increase investment in information technology, improve information technology risk management systems and procedures, strengthen IT quality control, enhance IT risk identification and remediation, and improve monitoring systems to further enhance the effectiveness of risk management. Improve IT risk emergency response plans and conduct regular emergency drills.</p> <p>加大信息技術投入，完善信息技術風險管理制度與流程，加強信息技術品質控制，加強信息技術風險排查與治理，完善監控體系，風險管理成效進一步提升。完善信息技術風險應急預案，定期進行應急演練。</p>
<b>Data Security Risk</b> 數據安全風險	<p>As the Company's data volume continues to grow, data storage devices may experience failures, damage or insufficient capacity. If the data storage architecture is improperly designed, such as lacking effective data backup and recovery mechanisms, the risk of data loss may increase.</p> <p>隨著公司的數據量不斷增長，數據存儲設備可能出現故障、損壞或容量不足的情況。如果數據存儲架構設計不合理，如缺乏有效的數據備份和恢復機制，也會增加數據丟失的風險。</p>	Medium 中	Medium 中	Long term 長期	Operations 運營	Medium 中	Increase in operating costs 運營成本增加	<p>Deploy dedicated computers connected to the Company's internal network, use portable storage media or devices where necessary, and conduct regular and appropriate data backups. 配置特定的、連接公司內網的專用電腦，使用移動存儲介質或設備，並定期合理備份。</p>
<b>Reputational Risk</b> 聲譽風險	<p>Customers' personal information and transaction records may be exposed due to cybersecurity vulnerabilities or inadequate internal management. This may lead to fraud against customers and financial losses, while also exposing the Company to legal and reputational risks.</p> <p>客戶的個人信息、交易記錄等數據可能因網路安全漏洞、內部管理不善等原因被洩露。這可能導致客戶遭受詐騙，造成經濟損失，同時也會使公司面臨法律風險和聲譽風險。</p>	Medium 中	High 高	Medium- to long-term 中、長期	Operations 運營	Medium 中	Decrease in operating revenue 營業收入減少	<p>Strengthen information security education and training for employees and clients to ensure that relevant personnel understand their security responsibilities and obligations, thereby mitigating human-related risks. Establish standardized operational procedures, clearly define operational responsibilities and enhance operational management, with a focus on strengthening controls in areas such as data security, data backup, cybersecurity, media security, information exchange security and monitoring.</p> <p>強化對公司員工與客戶的信息安全教育及培訓，保證相關人員瞭解自身安全責任與義務，降低人為風險。制定規範的操作流程，清晰界定運營職責，提升運營管理水準，著重落實數據安全、數據備份、網路安全、介質安全、信息交換安全以及監控等方面的管理工作。</p>
<b>Reputational Opportunity</b> 聲譽機遇	<p>A stable and reliable system with faster response times and fewer failures can effectively enhance customer experience and satisfaction, enhance customer loyalty and brand trust, and create favorable conditions for market expansion and word-of-mouth promotion.</p> <p>系統穩定可靠、回應更快、故障更少，能有效提升客戶使用體驗與滿意度，增強客戶黏性與品牌信任度，為市場拓展與口碑傳播創造有利條件。</p>	High 高	High 高	Short- and medium-term 短、中期	Operations 運營	High 高	Increase in operating revenue 營業收入增加	<p>Improve cybersecurity management systems, strengthen network perimeter protection, intrusion detection and access control, and conduct regular vulnerability scanning and security risk inspections. Strengthen data security and personal information protection, standardize account access management, and implement data backup and emergency response mechanisms.</p> <p>健全網路安全管理制度，強化網路邊界防護、入侵檢測與訪問控制，定期開展漏洞掃描與安全隱患排查。加強數據安全與個人信息保護，規範帳號許可權管理，落實數據備份與應急處置機制。</p>

## Management of Data Security Impacts, Risks and Opportunities 數據安全影響、風險和機遇管理

### Risk Management 風險管理

The Information Technology Committee of Holly Futures is responsible for formulating IT risk management strategies and related policies, as well as conducting information system compliance checks and IT risk assessments. The Company has established and improved its internal IT audit mechanism and advances both internal and external audits in parallel. Special audits are conducted on the development and operation of key IT projects, and qualified external institutions are engaged to perform IT audits and IT risk assessments. Through these measures, the Company effectively identifies risk sources throughout the entire data security management process, assesses potential impacts and scope, and formulates targeted mitigation measures to ensure risks remain under control. During the Reporting Period, the Company conducted 1 internal audit and 1 external audit.

弘業期貨信息技術委員會負責制定 IT 風險管理策略與相關制度，開展信息系統合規性檢查及 IT 風險評估工作。公司建立健全內部 IT 審計機制，同步推進內部審計與外部審計，對重要 IT 專案的建設、運行實施專項審計，並委託具備相應資質的外部機構開展 IT 審計與 IT 風險評估，全面有效識別數據安全管理全流程中的風險來源、可能造成的影響及影響範圍，並制定針對性措施，確保風險可控。報告期內，公司組織開展 1 次內部審計及 1 次外部審計工作。

### Emergency Management 應急管理

In accordance with relevant laws and regulations, including the Emergency Response Law of the People's Republic of China, the Cybersecurity Law of the People's Republic of China, and the Administrative Measures for Network and Information Security in the Securities and Futures Industry, and taking into account its operational circumstances, Holly Futures has formulated the Emergency Response Plan for Network and Information Security Incidents. The plan establishes an emergency response system characterized by unified command, close coordination, rapid response, systematic handling, and timely reporting. The Company has established a Network and Information Security Incident Emergency Response Leading Group. Under its overall coordination, departments clearly define their responsibilities, collaborate effectively and maintain smooth communication, forming an efficient and orderly mechanism for handling network and information security incidents and comprehensively enhancing cybersecurity risk prevention and emergency response capabilities.

弘業期貨根據《中華人民共和國突發事件應對法》《中華人民共和國網路安全法》《證券期貨業網路和信息安全管理辦法》等法律法規，結合公司實際情況，制定《網路與信息安全事件應急預案》，構建統一指揮、密切協同、快速反應、科學處置、及時報告的應急工作體系。公司成立網路與信息安全事件應急領導小組，在領導小組統籌部署下，各部門分工明確、協同聯動、信息暢通，形成高效規範、穩妥有序的網路與信息安全事件處置機制，全面提升網路安全風險防控水準與應急處置能力。

### Case Study 案例



### Trading System Emergency Drill 交易系統應急演練

On June 1, 2025, the Company organized a trading system emergency drill involving senior management and relevant personnel from various business departments. The drill focused on key scenarios such as exchange line switching at the primary trading center, emergency switchover in the event of a failure of the main trading system, and automatic network equipment switching within the disaster recovery system. It comprehensively tested the operability of the emergency response plan, enhanced cross-departmental coordination and emergency response effectiveness, and effectively ensured business continuity and the quality of customer services.

2025 年 6 月 1 日，公司組織公司高層管理人員及各業務部門相關人員開展交易系統應急演練。本次演練圍繞主交易中心交易所線路切換、主交易系統故障應急切換及災備系統網路設備自動切換等核心場景展開，全面檢驗應急預案的可操作性，提升跨部門協同處置能力與應急回應效率，切實保障業務連續性和客戶服務水準。

## Data Security Indicators and Targets 數據安全指標與目標

To fully comply with relevant cybersecurity laws, regulations and industry standards, strengthen data security protection capabilities and ensure the security of data throughout its lifecycle, the Company set a core target of passing the classified cybersecurity protection assessment by 2025. During the Reporting Period, the Company fully achieved this core target.

為全面落实網路安全相關法律法規及行業規範要求，強化數據安全防護能力，保障數據全生命週期安全，公司設定核心目標為 2025 年通過網路安全等級保護測評。報告期內，公司已圓滿達成核心目標。

Indicator 指標	Unit 單位	2025 2025 年
Number of Data Security and Customer Privacy Protection Training Sessions 數據安全 / 客戶隱私保護相關培訓場次	session 次	1
Total Hours of Data Security and Customer Privacy Protection Training 數據安全 / 客戶隱私保護相關培訓總時長	hour 小時	796
Number of Participants in Data Security and Customer Privacy Protection Training 參與數據安全 / 客戶隱私保護相關培訓的人數	person 人	398

## Data Security Management Measures 數據安全管理措施

### Development of the Data Security Governance System 數據安全治理體系建設

The Company places great importance on data security and personal information protection. It has established a comprehensive security governance system covering information assets, business operations and investor rights and interests. Through systematic management, full lifecycle control, and standardized operations, the Company continuously strengthens its data security governance capabilities and reinforces the safeguards for information security and compliance management.

公司高度重視數據安全與個人信息保護，構建覆蓋信息資產、業務運營、投資者權益的全方位安全治理體系，通過系統化管理、全流程管控與規範化運行，持續提升數據安全治理能力，切實築牢信息安全與合規管理防線。



### Information Asset and Core Data Security Management 信息資產與核心數據安全管控

The Company implements classified management of its information assets, with a focus on safeguarding the data security of core information systems. Data security management is integrated throughout daily operations, supported by corresponding security controls and full-process monitoring.

對公司信息資產實施分級管理，重點保障核心信息系統數據安全，將數據安全管理融入日常運營全流程，同步做好配套安全管控與全流程監控。



### Data Operation Audit Management 數據操作審計管理

The Company has established a comprehensive data operation audit mechanism to ensure traceability of core business activities and critical operation and maintenance processes. Audit records are maintained with integrity and authenticity, preventing unauthorized alteration, deletion or overwriting.

建立完善的數據操作審計機制，實現核心業務及重要運維操作可追溯，保障審計記錄的完整性、真實性，防止被篡改、刪除或覆蓋。



### Development of the Investor Personal Information Protection System 投資者個人信息保護體系建設

The Company has established a robust investor personal information protection system, clearly defining management mechanisms and responsibilities. The processing of investor personal information strictly follows the principles of legality, legitimacy, necessity and integrity.

構建健全的投資者個人信息保護體系，明確管理機制與崗位職責，嚴格遵循合法、正當、必要和誠信原則開展投資者個人信息處理工作。



### Supplier Security Management 供應商安全管理

The Company has formulated the Administrative Measures for the Evaluation of Information Technology Service Providers to regulate supplier admission, evaluation and supervision procedures. Supplier information is regularly collected and updated, and multiple departments conduct on-site inspections and exchanges to comprehensively assess suppliers' qualifications and capabilities. Contracts clearly specify requirements for technical support response, liabilities for breach, confidentiality obligations, product compliance commitments and regulatory cooperation responsibilities. These measures strengthen the confidentiality and security management of information and data, ensuring both supplier service quality and information security.

公司制定《信息技術服務商評估管理辦法》，規範供應商准入、評估與監督流程。定期收集更新供應商信息，組織多部門開展實地考察與現場交流，全面評估供應商資質能力。在合同中明確技術支持回應要求、違約責任、保密義務、產品合規承諾及監管配合責任，加強信息數據保密性與安全性管理，確保供應商服務品質與信息安全。



### Operational Management of Business Data Handling 業務數據操作運維管理

The Company strengthens standardized operational management of business data handling by defining operational guidelines and prohibited practices, thereby mitigating data security risks arising from improper operations.

強化業務數據操作的運維規範管理，明確操作準則與禁止性要求，從操作層面規避違規行為引發的各類數據安全風險。



## Data Security Training 數據安全培訓

To strengthen the Company's cybersecurity defense and enhance employees' awareness of data security and compliance responsibilities, the Company organizes specialized cybersecurity awareness training sessions on a regular basis. These initiatives aim to improve overall information security protection capabilities and safeguard the security of the Company's information assets and business operations.

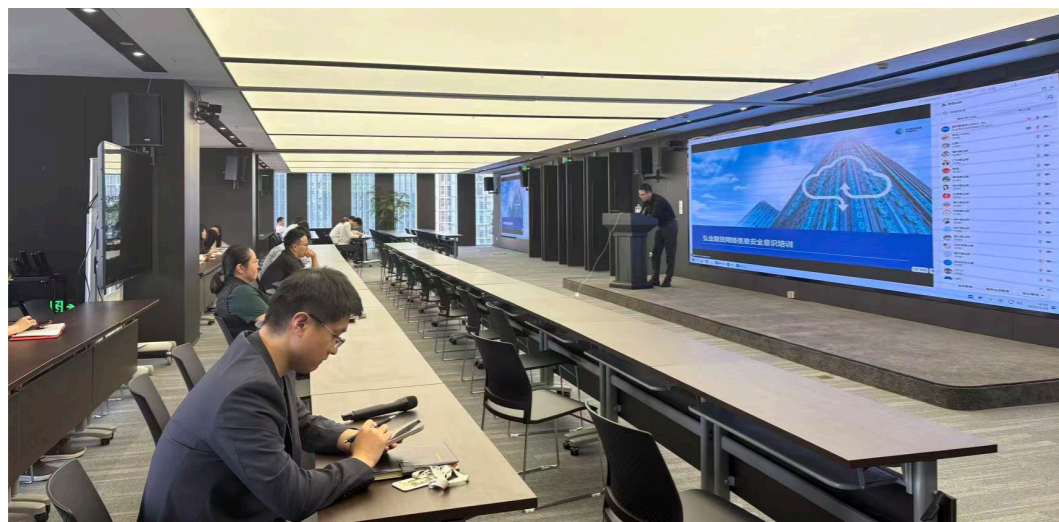
為切實築牢公司網路信息安全防線，強化全員數據安全意識與合規責任，提升整體信息安全防護水準，保障企業信息資產與業務運營安全，公司不定期組織開展網路信息安全意識專題培訓。

### Case Study 案例

#### Cybersecurity Awareness Training 網路信息安全意識培訓

On May 28, 2025, the Company organized a "Cybersecurity Awareness Training" session for employees through a hybrid online-offline format to enhance employees' cybersecurity awareness and compliance capabilities. The training focused on key topics including data security management, personal information protection and cyberattack prevention, supplemented by in-depth explanations based on real-world cases. Live streaming channels were simultaneously provided to ensure participation by employees working remotely or stationed outside the headquarters. Through this training, the Company further clarified employees' information security responsibilities and enhanced their practical capability to respond to cybersecurity threats, laying a solid foundation for strengthening the Company's information security defenses.

2025 年 5 月 28 日，公司採用線上線下相結合的方式，組織員工開展“網路信息安全意識培訓”，旨在強化全員信息安全防護意識與合規履職能力。培訓圍繞數據安全管理、個人信息保護、網路攻擊防範等核心內容，結合典型案例進行深度講解；線上同步開放直播通道，確保駐外及遠程辦公員工全員覆蓋。通過此次培訓，公司進一步明確了全員信息安全責任，提升了應對網路安全威脅的實操能力，為築牢信息安全防線奠定了堅實基礎。



Cybersecurity Awareness Training  
網路信息安全意識培訓

## Customer Privacy Protection Measures 客戶隱私保護措施

The Company places customer privacy protection at the core of its operations. In strict compliance with applicable laws, regulations and regulatory requirements, it has established a comprehensive lifecycle management system for customer information. By improving institutional frameworks, strengthening technical safeguards, enforcing strict access controls and standardizing data usage, the Company ensures that the collection, storage, transmission and use of customer information remain secure and controllable, thereby protecting customers' legitimate rights and interests and earning their trust through professional and responsible practices.

公司始終將客戶隱私保護置於核心位置，嚴格遵守法律法規及監管要求，建立健全客戶信息全生命週期管理體系。通過完善制度規範、強化技術防控、嚴格許可權管理、規範數據使用，確保客戶信息收集、存儲、傳輸、使用各環節安全可控，切實維護客戶合法權益，以專業、嚴謹、負責的態度贏得客戶信賴。

#### Full-process Management of Investor Personal Information 投資者個人信息全流程管理

The Company processes investors' personal information strictly in accordance with laws, regulations and contractual obligations, strictly controlling the scope of information collection and use to prevent risks such as information leakage, tampering or loss.

嚴格按照法律法規及合同約定規範投資者個人信息處理，嚴控信息收集與使用範圍，全面防範個人信息洩露、篡改、丟失等安全風險。

#### Provision and Protection of Investor Personal Information 投資者個人信息對外提供與防護

The Company standardizes procedures for the external provision of investor personal information, strengthens security measures for data processing outside cybersecurity boundaries, and applies dedicated anonymization or masking techniques for sensitive personal information.

規範投資者個人信息對外提供流程，強化網路安全防護邊界外的信息處理安全措施，對投資者敏感個人信息採取專項脫敏保護手段。

#### Management of Biometric Information Use 生物特徵信息使用管理

The Company prudently applies biometric information in customer identity verification and has established a dedicated risk assessment mechanism. The mandatory collection of biometric information or its use as the sole authentication method is strictly prohibited.

審慎開展生物特徵信息在客戶身份認證中的應用，建立專項風險評估機制，嚴禁強制收集生物特徵信息、將其作為唯一身份認證方式。

# Responsible Supply Chain 負責任供應鏈

## Supply Chain Management System 供應鏈管理體系

The Company has formulated policies including the Administrative Measures for the Evaluation of Information Technology Service Providers and the Procurement Management Measures. Adhering to the principles of transparency, fairness, and impartiality, the Company conducts procurement activities in accordance with the requirements of competition, merit-based selection and efficiency. It clearly defines procurement responsibilities for each position, standardizes the applicable criteria for four procurement methods including tendering and competitive negotiation, and establishes oversight mechanisms such as supplier credit management and violation handling.

公司制定《信息技術服務提供商評估管理辦法》《採購管理辦法》等檔案，堅持公開、公平、公正原則，遵循競爭、擇優、效益要求開展採購工作，明確各崗位採購職責，規範招標、競爭性談判等四種採購方式的適用標準，同時建立供應商信用管理、違規處理等監督機制。

### Procurement Management Organizational Structure 採購管理組織架構



As the primary responsible entity for procurement, it is fully responsible for implementing the entire procurement process, fulfilling contractual obligations and properly maintaining procurement documentation.

為採購責任主體，全權負責採購全流程落地，履行合同義務，妥善保存採購檔案。

The Information Technology Department is responsible for the management of IT-related procurement, while the Party and Administration Office is responsible for the procurement management of non-IT equipment and other related items.

信息技術部負責 IT 類採購管理，黨政辦公室負責非 IT 類設備等採購管理工作。

The Legal Department is responsible for reviewing procurement methods, contract texts and procurement documents, while the Finance Department is responsible for reviewing procurement budgets and participating in tender evaluation.

法務部門負責審核採購方式、合同文本及採購檔案；財務部門負責審核採購預算，參與招標評標。



## Supplier Lifecycle Management 供應商全生命週期管理

In the management of information technology service providers, the Company has defined full-process management requirements covering supplier selection, contract execution, periodic evaluation and service management. Led by the Information Technology Center, annual supplier evaluations are conducted from multiple dimensions including product and service quality, contract performance, service response efficiency and pricing rationality. These measures continuously optimize the Company's IT supply chain management system and promote efficient coordination and standardized development of the supply chain.

在信息技術服務提供商管理方面，公司明確供應商選擇、合同簽署、定期評估、服務管理全流程管理要求，由信息科技中心牽頭從產品及服務品質、合同履行情況、服務回應效率、價格合理性等維度開展供應商年度評估，持續優化信息技術供應鏈管理體系，推動供應鏈高效協同、規範有序發展。

### Administrative Measures for Information Technology Service Providers 信息技術服務提供商管理辦法

01

During the selection stage, comprehensive supplier information is collected and updated. On-site investigations may be conducted, and suppliers are selected through open, fair and impartial procedures.

選擇階段需收集更新供應商全維度信息，可現場調研並通過公開公平公正方式選定。



02

During the contract signing stage, rights and responsibilities as well as service requirements are clearly defined. Core system suppliers are required to provide 24/7 technical support, while key clauses including confidentiality, security compliance and data interface standards are stipulated. Suppliers are also required to accept extended regulatory inspections.

合同簽署階段需明確權責、服務要求，核心系統供應商需提供 7\*24 小時技術支持，同時約定保密、安全合規、數據介面等關鍵條款，明確供應商接受監管延伸檢查的義務。

03

During the evaluation stage, the Information Technology Center leads at least one annual assessment of cooperating suppliers, producing written evaluation reports covering qualifications, operational conduct and other relevant aspects. Based on the results, decisions are made regarding the continuation of cooperation and the follow-up of rectification measures.

評估階段由信息科技中心牽頭，每年至少開展一次合作供應商評估，形成含資質、經營行為等內容的書面報告，根據結果決定合作存續並跟蹤整改情況。

04

During the service management stage, on-site service approvals and the full lifecycle management of outsourced operations and maintenance are strengthened. Meanwhile, a supplier service contact list is established and regularly updated.

服務管理階段強化現場服務審批管控與運維外包全流程管理，同時建立並定期更新供應商服務聯繫人列表。

## Sustainable Supply Chain Development 供應鏈可持續發展

### Transparent Procurement 陽光採購

The Company has established a transparent and institutionalized procurement control mechanism covering the entire procurement process. Integrity clauses are clearly stipulated in procurement contracts, strictly prohibiting both parties from offering or accepting improper benefits in the form of cash gifts, presents, travel arrangements or hospitality. The Company has also established reporting and complaint channels as well as accountability mechanisms for breaches of contract. These measures strengthen safeguards against integrity risks at the institutional level, ensuring that procurement activities are conducted in a fair, impartial and compliant manner, safeguarding the legitimate rights and interests of both the Company and its partners, and promoting the sustainable and transparent development of the supply chain.

公司構建全流程透明化、制度化的採購管控機制，通過在採購合同中明確廉潔條款，嚴禁雙方人員以禮金、禮品、旅遊、宴請等方式輸送或謀取不正當利益，並建立舉報投訴渠道與違約追責機制，從制度層面築牢廉潔風險防線，保障採購活動公平、公正、合規開展，切實維護公司與合作方的合法權益，推進供應鏈可持續陽光發展。



#### KPI 關鍵績效

The signing rate of integrity agreements with the Company's suppliers was **100%**.

公司供應商廉潔協議簽署率為 **100%**。

### Responsible Supply Chain 責任供應鏈

Guided by the concept of sustainable development, the Company has established a comprehensive supplier evaluation system covering all suppliers, incorporating environmental and social indicators such as environmental protection and labor standards into the scope of annual supplier assessments. From an environmental perspective, the Company has established a supplier environmental assessment mechanism, encouraging suppliers to adopt green operations and promote production processes with improved environmental performance, thereby continuously building a low-carbon and sustainable green supply chain. From a social perspective, the Company guides suppliers to strengthen the fulfillment of social responsibilities in their operations and jointly build a trustworthy and compliant supply chain ecosystem. During the Reporting Period, all cooperating suppliers successfully passed the annual assessment, and no significant or potential negative environmental or social impacts or violations were identified.

公司以可持續發展理念引領供應鏈建設，建立覆蓋所有供應商的全面評估體系，將環境保護、勞工準則等環境與社會維度指標納入供應商年度審核範疇。在環境維度，構建供應商環境評估機制，鼓勵供應商踐行綠色運營，推動實施環境效益更優的生產流程，持續打造低碳可持續的綠色供應鏈體系；在社會維度，引導供應商強化運營中的社會責任踐行，攜手打造誠信合規的供應鏈生態。報告期內，公司合作供應商均順利通過年度審核，未發現其在環境及社會方面存在重大及潛在負面影響或違規事件。

### Supply Chain Capability Building 供應鏈能力建設

Holly Futures regards industry exchange and experience sharing as an important driver for strengthening supply chain resilience. The Company actively participates in industry communication activities, sharing practical experience with peers and exchanging forward-looking insights. By continuously drawing on advanced industry concepts and best practices, the Company broadens its supply chain development perspective and optimizes cooperation approaches with suppliers, injecting new momentum into collaborative partnerships and enabling the upgrading of the supply chain system with industry-oriented insights, thereby steadily enhancing overall supply chain resilience and sustainable development capabilities.

弘業期貨將行業交流與經驗互鑒作為供應鏈韌性建設的重要抓手，積極投身行業交流活動，通過與同行分享實踐、交流前沿見解，持續汲取行業先進發展理念與實踐經驗，不斷拓寬供應鏈發展視野、優化供應鏈合作思路，為公司與供應商的協同合作注入新活力，以行業視野賦能供應鏈體系升級，穩步提升供應鏈整體韌性與可持續發展能力。

#### Case Study 案例

#### Exchange Visit by Soho Zhongjin 蘇豪中錦到訪交流

On August 21, 2025, a delegation led by the Party Secretary and Chairman of Soho Zhongjin visited Holly Futures. The two parties conducted in-depth discussions on topics including the integration of futures and spot markets, innovation in risk management, and the upgrading of industry services.

2025年8月21日，蘇豪中錦黨委書記、董事長一行到訪弘業期貨，雙方圍繞期現融合、風險管理創新、產業服務升級等議題開展深度交流。

As a leading enterprise in the timber trading industry, Soho Zhongjin ranks among the top in China in terms of log import volume and has developed mature practices in market analysis, delivery operations and capital risk control. Leveraging key resources such as log futures delivery warehouses, both parties jointly explored business models including exchange of futures for spot and warehouse receipt transfers. These initiatives aim to enhance market liquidity and price discovery in the log futures market and support the green and standardized development of the timber industry.

蘇豪中錦作為木材貿易龍頭企業，原木進口規模位居全國前列，在行情研判、交割運營、資金風控等方面形成成熟實踐。雙方依託原木期貨交割庫等核心資源，共同探索期轉現、倉單轉讓等業務模式，提升原木期貨市場流動性與價格發現功能，助力木材產業綠色化、規範化發展。



Exchange Visit by Soho Zhongjin  
蘇豪中錦到訪交流

#### Case Study 案例

#### Research and Exchange Visit to Materials Industrial Zhongda Group 赴物產中大集團調研交流

On January 2, 2025, Holly Futures conducted a research and exchange visit to Materials Industrial Zhongda Group. During the visit, the two parties engaged in in-depth discussions on commodity trading and integrated industry chain services, sharing experience and promoting collaborative innovation in areas such as risk management, integration of futures and spot markets, and industry services, thereby supporting higher-quality and more efficient business development for both sides.

2025年1月2日，弘業期貨赴物產中大集團開展專題調研交流。在物產中大集團，雙方圍繞大宗商品貿易、產業鏈綜合服務深入交流，在風險管控、期現結合、產業服務等領域互學互鑒、協同創新，助力雙方業務發展提質增效。



Research and Exchange Visits to Materials  
Industrial Zhongda Group  
赴物產中大集團調研交流

### Equal Treatment of Small and Medium-sized Enterprises 平等對待中小企業

Guided by the principles of fairness and equality in cooperation and development, the Company applies the same standards throughout the entire procurement cooperation process. It strictly prohibits the establishment of unreasonable thresholds or discriminatory practices, fully safeguards the legitimate cooperation rights of small and medium-sized enterprises (SMEs), and actively creates a fair and orderly cooperation environment to promote coordinated development and mutual growth between SMEs and the Company. During the Reporting Period, the Company had no overdue payments to small and medium-sized enterprises.

公司秉持公平公正的合作發展理念，在採購合作全流程堅守同等標準，杜絕設置不合理門檻與差異化對待，充分保障中小企業的合法合作權益，積極為中小企業營造公平有序的合作環境，助力中小企業與企業自身協同發展、共同成長。報告期內，公司未發生任何中小企業款項逾期未支付的情況。



# Safeguarding Employee Well-being and Building a Harmonious Society

## 04 保障員工福祉 建設和諧社會

SDGs Addressed in This Section  
本章所回應 SDGs



ESG Material Topics Covered in This Section  
本章所涉及的 ESG 重要議題

- Occupational Health and Safety ○  
職業健康安全
- Employee Rights Protection ○  
員工權益保護
- Social Contribution ○  
社會貢獻
- Rural Revitalization ○  
鄉村振興

# Employee Rights and Interests Protection

## 員工權益保障

### Employee Recruitment

#### 員工招聘

Guided by a people-oriented development philosophy, the Company strictly complies with applicable laws and regulations, including the Labor Law of the People's Republic of China and the Law of the People's Republic of China on the Protection of Minors, and the Provisions on the Prohibition of Using Child Labor. The Company has formulated an Employee Handbook and established a comprehensive employment management system, aiming to build strong employment relationships and foster a healthy, harmonious workplace. The General Manager Office serves as the management body responsible for overseeing and reporting on employee management. The Human Resources Department and the Safety Management Department function as the executive bodies responsible for implementing employee management practices. Specifically, the Human Resources Department oversees recruitment, training and performance management, while the Safety Management Department is responsible for occupational health and safety management. The Company integrates legal and compliance requirements throughout the entire employment lifecycle, including recruitment, onboarding and employment management. During the recruitment and selection process, the Company adheres to open and transparent procedures and scientific evaluation standards for talent selection, upholds the principles of equal pay for equal work and equal employment opportunities, and strictly prohibits any form of employment discrimination, child labor or forced labor. Through standardized and regulated recruitment management mechanisms, the Company strengthens the foundation of compliant employment practices and ensures fairness and compliance throughout the recruitment process.



Campus Recruitment Event  
校園招聘現場

公司堅持以人為本發展理念，嚴格遵守《中華人民共和國勞動法》《中華人民共和國未成年人保護法》《禁止使用童工規定》等法律法規，制定《員工手冊》，構建完善的用工管理體系，致力於與員工建立良好的僱傭關係，營造健康和諧的職場環境。公司總經理室作為管理層，統籌負責員工管理工作的監督與彙報；人力資源部、安全管理部等部門作為執行層，具體推動員工管理工作落實，其中人力資源部負責招聘、培訓、績效等管理工作，安全管理部負責員工職業健康與安全保障管理工作。公司將合法合規要求貫穿員工招聘、入職辦理、在職管理全流程，在招聘選拔階段，堅持以公開透明的流程與科學評估標準遴選人才，恪守同工同酬與平等僱傭原則，杜絕任何形式的就業歧視、僱傭童工及強迫勞動行為，以規範化、標準化的招聘管理機制，築牢用工合規管理根基，切實保障招聘環節的公平性與合規性。



#### KPI 關鍵績效

During the Reporting Period, the Company had a total of **568** employees, including **10** employees from ethnic minority groups. A total of **47** new employees were recruited, and more than **50** recruitment interviews and campus recruitment activities were conducted.

報告期內，公司員工總數為 **568** 人，少數民族員工 **10** 人，新進員工 **47** 名，共組織了 **50** 餘場社會招聘面試及校園招聘。

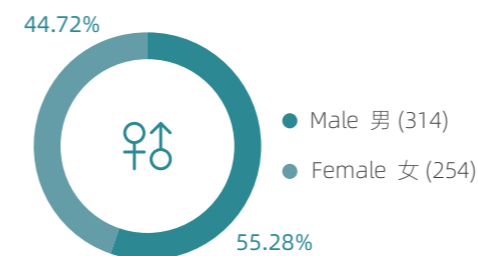
# Diversity, Equality and Inclusion

## 多元化、平等與包容性

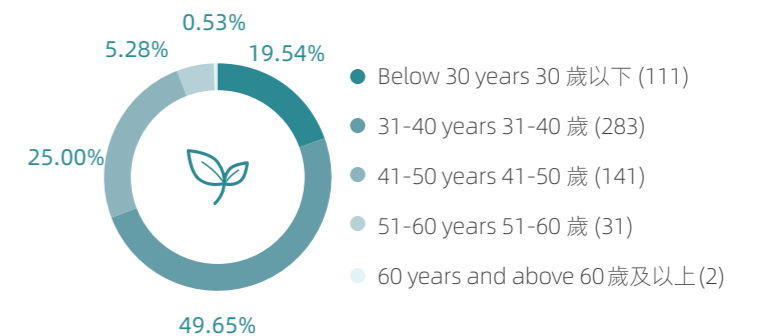
Holly Futures continuously optimizes its workforce structure and promotes diversity across multiple dimensions including gender, age and ethnicity. The Company respects the beliefs and special needs of different groups and fosters an inclusive workplace ensuring equal employment opportunities. At the same time, the Company places strong emphasis on the well-being of female employees by establishing comprehensive leave policies such as maternity leave, female employee leave and nursing leave, while ensuring lawful salary and benefits during leave periods. Activities are also organized on occasions such as International Women's Day to promote a fully inclusive workplace culture.

弘業期貨持續優化員工結構，推動性別、年齡、民族等維度的多元化發展，理解並尊重不同群體的信仰及特殊需求，營造包容共進的職場環境，切實保障員工平等就業權利；同時聚焦女性員工關懷，建立健全產假、女工假、哺乳假等休假制度，依法保障休假期間薪酬待遇，並在三八婦女節等特殊節日開展活動，構建全維度包容的職場生態。

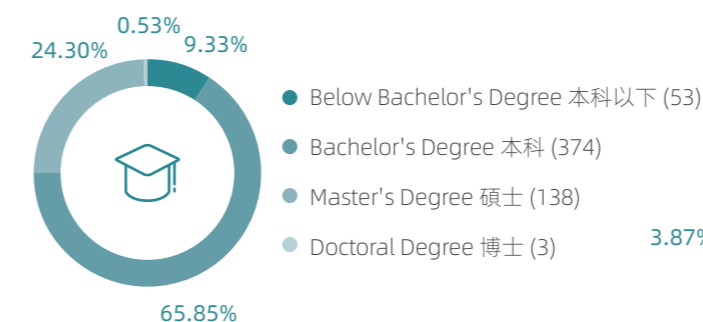
#### By Gender 按性別划分



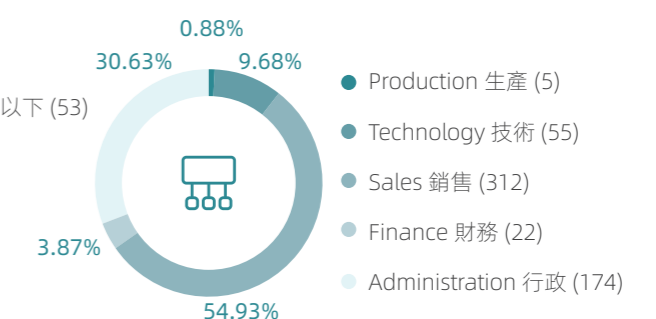
#### By Age 按年齡划分



#### By Education Level 按學歷划分



#### By Function 依據職能划分



#### KPI 關鍵績效

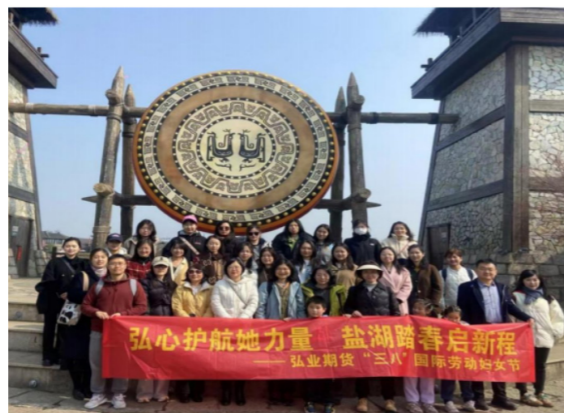
During the Reporting Period, a total of **218** employees took female employee leave, and the return-to-work rate of employees after maternity leave was **100%**.

報告期內，公司休女工假的員工總數 **218** 人，享受產假員工返崗率 **100%**。

Case Study  
案例

International Women's Day Event  
“三八” 婦女節主題活動

On March 8, 2025, marking the 115th International Women's Day, the Company organized a cultural outing themed "Empowering Women, Embracing a New Journey at Salt Lake," inviting employees to visit and experience the Oriental Salt Lake Resort. The event included themed performances such as "Maoshan Spiritual Exercise" and "Auspicious Salt Land," sachet making and paper-cut handicrafts, as well as tasting local specialty foods. These activities enriched the cultural and recreational lives of female employees and demonstrated the Company's commitment to employee care and well-being.



Cultural Spring Outing Event "Empowering Women and Embarking on a New Journey at the Salt Lake"  
“弘心护航她力量，盐湖踏春启新程” 文化踏青活動

2025 年 3 月 8 日，在第 115 個“三八”國際勞動婦女節來臨之際，公司組織開展“弘心护航她力量，盐湖踏春启新程”文化踏青活動，組織員工赴東方鹽湖城參觀體驗。通過觀看“茅山靈氣操”“吉鹽聖地”主題表演、參與香囊製作和刻紙手工作品嘗地方特色美食等多種活動，豐富女性員工精神文化生活，展現公司人文關懷。

Training and Development  
培訓與發展

Holly Futures attaches great importance to employee growth and career development. The Company has formulated the Administrative Measures for Education and Training and established a systematic talent development framework. By improving training systems and integrating internal and external learning resources, the Company has built a multi-dimensional learning and development platform covering compliance and risk management, professional skills, business innovation and professional certification. These initiatives continuously enhance employees' professional competence and overall capabilities, support their long-term career development and empower the Company's sustainable development through talent development.

弘業期貨高度重視員工成長與職業發展，制定《教育培訓管理辦法》

》，建立系統化人才培育機制，通過完善教育培訓制度、整合內外部學習資源，搭建覆蓋合規風控、專業技能、業務創新及資質認證等多維度的學習發展平臺，持續強化員工專業素養與綜合能力，助力員工實現長期職業成長，以人才賦能推動企業可持續發展。



培訓體系 Training System		
New Employee Training 新員工培訓	General Training 通用培訓	The human resources management department organizes training covering the Company's development history, internal rules and regulations, employee code of conduct, corporate culture, professional ethics and business etiquette. 人力資源管理部門組織培訓，包括公司的發展史、規章制度、職工行為規範、企業文化、職業素養及商務禮儀等內容。
	Professional Position Training 專業崗位培訓	Job-specific training is provided for new employees to equip them with the skills required for their positions. Professional guidance is delivered in areas including job responsibilities, work processes and relevant policies, with clear training objectives established and training plans formulated. 對新員工進行崗位技能方面的適崗培訓，從職責內容、工作流程、相關制度等方面進行專業輔導，確定培養目標並制定培訓計畫。
On-the-job Training 在職培訓	Management Training 管理類培訓	Training programs are provided for both middle- and senior-level management as well as general management staff, aiming to enhance employees' operational and management capabilities. 分為中高層管理人員和一般管理人員培訓，旨在提高員工經營管理能力。
	Technical Training 技術類培訓	These programs focus on improving job-related technical skills and include job skills training and professional qualification training. 側重提升培訓對象的崗位技能水準，分為崗位技能培訓和專業職業資質培訓。
	Business Development Training 業務發展培訓	Training focuses on the professional knowledge required for the development of the Company's business segments, market trends, sales skills, experience sharing and communication skills, and is primarily provided to business-related personnel. 培訓圍繞公司各業務板塊發展所需的專業知識、市場熱點、銷售技能、經驗分享、溝通能力等維度展開，培訓對象為業務相關人員。
	Party and Governance Training 黨政類培訓	Such training is organized by the Party Affairs Department and focuses on Party theory education, thematic Party and government education, and Party spirit education. 培訓由黨建工作部開展，圍繞黨的理論教育、黨政專題教育、黨性教育等內容展開。



KPI 關鍵績效

During the Reporting Period, the Company organized **182** employee training sessions, with a total of **16,447** participant attendances and an aggregate training duration of **20,009** hours.

報告期內，共開展員工培訓 **182** 場，接受培訓總人次 **16,447** 人次，培訓總時長 **20,009** 小時。

Case Study  
案例



2025 "First Lesson of the New Year" Training Series  
2025 年“新春第一課”系列培訓

In February 2025, to enhance the professional capabilities of all employees, the Company invited the heads of the Financial Research Institute, Information Technology Center and Financial Development Division to serve as lecturers. Focusing on three key dimensions—market analysis, technology empowerment and client management—they delivered three training courses entitled "Opportunities in the Commodity Market in 2025," "Introduction to Mature FinTech-enabled Solutions for Business Development," and "Development and Maintenance of Industrial Clients." These courses aimed to help employees better understand industry trends and master innovative tools. They also sought to enhance service capabilities, while incorporating assessments to ensure effective learning and practical application, thereby further strengthening the Company's talent pipeline development.

2025 年 2 月，為提升全員專業能力，公司特邀金融研究院、信息科技中心、金融拓展總部負責人擔任講師，圍繞市場研判、科技賦能、客戶經營三大維度，分別講授《2025 年大宗商品市場機遇》《金融科技賦能業務發展相關成熟產品方案介紹》《產業客戶的開發與維護》三門課程，旨在幫助大家把握行業動態、掌握創新工具、提升服務能力並開展相關考核，確保學有所獲、學以致用，切實推進人才梯隊建設。



"First Lesson of the New Year" Training Series  
“新春第一課”系列培訓

## Compensation and Benefits Management 薪酬與福利管理

### Performance Management 績效管理

Holly Futures adheres to the management philosophy of fair employment and scientific incentives. The Company has formulated policies such as the Assessment Plan for Business Personnel and the Performance Management Measures for Functional Departments, establishing a comprehensive and well-structured performance evaluation system. Through a differentiated, quantitative and transparent evaluation framework, the Company clearly defines job objectives and responsibilities while strengthening positive incentives and appropriate performance discipline. The Company maintains open performance appeal channels and ensures employees' voices can be expressed through mechanisms such as employee reporting boxes, thereby establishing a fair and transparent supervision and feedback mechanism.

弘業期貨秉持公正用人、科學激勵的管理理念，制定《業務人員考核方案》《職能部門績效管理辦法》等檔案，建立科學完善的績效考核機制，以差異化、量化透明的考核體系明確崗位目標與權責，強化正向激勵與合理約束。公司暢通績效申訴渠道，通過設立員工舉報箱等方式保障員工訴求表達，構建公正透明的監督與回饋機制。

On this basis, the Company has introduced the Implementation Rules for Promoting Flexible Appointment and Removal of Mid-level Management Personnel, establishing a flexible talent management mechanism that allows managerial appointments and adjustments based on performance. Evaluation results are effectively linked to compensation and position adjustments, creating a professional environment with clear responsibilities and fair career development opportunities, thereby stimulating organizational vitality and employee motivation.

在此基礎上，公司制定《推進中層管理人員能上能下實施細則》，建立管理人員能上能下、人員能進能出的靈活用人機制，將考核結果與薪酬、崗位調整有效銜接，為員工營造權責清晰、公平發展的職業環境，充分激發組織活力與員工工作熱情。



## Compensation and Benefits System 薪酬福利體系

Guided by the principles of transparency, fairness and reasonableness, Holly Futures has established a comprehensive compensation incentive and benefits protection system. The Company strictly follows its compensation management policies and performance evaluation plans, closely linking performance assessment results with compensation allocation to ensure timely, accurate and standardized remuneration. Meanwhile, the Company continuously optimizes its incentive mechanisms and has established a comprehensive benefits system to enhance employee satisfaction and loyalty, thereby strengthening team cohesion and improving overall work efficiency.

弘業期貨以規範透明、公平合理為導向，構建健全的薪酬激勵與福利保障體系。公司嚴格依據薪酬管理辦法以及考核方案，將績效考核結果與薪酬分配緊密掛鉤，確保薪酬兌現及時、精準、規範；同時公司持續優化激勵機制，建立全面優厚的福利體系，提升員工滿意度與忠誠度，不斷提升團隊凝聚力與工作效能。

### Benefits System 福利體系

#### Statutory Benefits 法定福利

The Company contributes to social insurance and housing provident funds for all employees in a timely and full manner to ensure the protection of employees' statutory rights and interests.

為每一位員工及時、足額地繳納社保、公積金，確保員工法定權益保障。

#### Insurance Benefits

The Company provides commercial insurance for employees, including health protection funds, one-year comprehensive insurance and lifetime critical illness insurance. In addition, the Company also cares for the health protection of retired employees and employees' children by arranging relevant commercial insurance coverage.

為在職人員辦理商業保險，涵蓋健康保障基金、一年期綜合險以及終身重疾險等多種險種；關懷退休人員和職工子女的健康保障，為其辦理相關商業保險。

#### Other Benefits

The Company provides additional benefits such as communication allowances. For employees stationed outside their primary workplace, external assignment allowances are provided in consideration of their working conditions and living costs.

提供通訊費等福利專案；對於駐外員工，充分考慮其工作環境與生活成本提供駐外補貼。

#### Leave Benefits 休假福利

The Company provides a range of leave entitlements, including paid annual leave, personal leave, sick leave, work-related injury leave, marriage leave, maternity leave, nursing leave, breastfeeding leave, family planning leave and bereavement leave.

保障帶薪年休假、事假、病假、工傷假、婚假、產假、護理假、哺乳假、計劃生育假和喪假等多種假期。

## Employee Care 員工關懷

Holly Futures provides comprehensive employee care and adopts multiple initiatives to safeguard employees' physical and mental well-being. First, the Company improves the office environment by upgrading office facilities, installing professional ventilation and purification equipment, and creating comfortable rest areas. Second, it promotes mental health by organizing dedicated mental health lectures to help employees relieve stress. Third, it enriches employees' cultural and recreational life by establishing a well-equipped staff activity center through the labor union, enhancing employees' quality of life and well-being. Fourth, the Company shows care for retired employees by establishing a regular visitation and greeting mechanism to convey organizational care and holiday wishes, thereby enhancing employees' sense of belonging, fulfillment and overall well-being.

弘業期貨提供全方位員工關懷，多措并举守護員工身心健康。一是優化辦公環境，升級辦公設施、配備專業通風淨化設備、打造舒適休息區；二是關注心理健康，開設心理健康專題講座，幫助員工緩解壓力；三是豐富文體生活，依託工會建成設施完備的職工活動中心，提升員工生活品質與幸福感；四是關愛退休職工，建立常態化慰問機制，傳遞組織關懷與節日祝福，切實增強員工的歸屬感、獲得感與幸福感。

### Case Study 案例



#### Visiting and Extending Greetings to Retired Employees 慰問公司退休幹部

On January 25, 2025, in order to promote the traditional virtue of respecting and caring for the elderly, the Company organized visits to retired employees, extending New Year greetings and showing organizational care. During the visits, the Company inquired about their living conditions and health status. It also expressed gratitude for their contributions to the Company's development. During the visits, the Chairman introduced the Company's recent achievements in business expansion, reform advancement and risk management, and carefully listened to the valuable suggestions of retired employees. They were encouraged to continue leveraging their experience and insights to contribute ideas for the Company's high-quality development.

2025年1月25日，為弘揚尊老敬老優良傳統，公司開展退休幹部走訪慰問活動，為他們送上新春祝福與組織關懷，細緻詢問生活、健康情況，感謝其為公司發展作出的貢獻。走訪中，公司董事長詳細介紹了近年來在業務拓展、改革深化、風險防控等方面取得的發展成果，認真傾聽老同志的意見建議，希望他們繼續發揮經驗優勢，為公司高質量發展建言獻策。



Visiting and Extending Greetings to Retired Employees  
慰問公司退休幹部

## Democratic Management

### 民主管理

Holly Futures adheres to the principles of democratic management and employee participation in governance. The Company has established sound mechanisms for collecting employee opinions and protecting employees' rights and interests. Through multiple communication channels, employees are able to express their concerns and suggestions, including the establishment of a "Reform and Innovation Suggestion Box" to effectively align corporate decision-making with employees' needs. To ensure effective implementation of suggestions, the Company has established feedback and time-bound resolution mechanisms to promptly respond to employee concerns and continuously optimize management practices.

弘業期貨秉持民主管理與員工共治理念，健全員工意見徵集與權益保障機制，通過多元渠道暢通員工訴求表達，開設“改革創新建議箱”，推動企業決策與員工需求有效銜接。為確保建議有效落實，公司建立回饋與限時辦結機制，及時回應員工訴求、優化管理舉措。

Meanwhile, through the employee representative congress system, the Company safeguards employees' rights to participate in corporate governance and the review of institutional policies. This mechanism promotes in-depth communication between employee representatives and management, fostering an open, inclusive environment of co-governance and shared development, effectively safeguarding employees' rights and interests.

同時，公司依託職工代表大會制度，保障員工參與企業管理與制度審議的權利，促進職工代表與公司管理層深入溝通交流，營造開放包容、共治共用的良好氛圍，切實維護員工合法權益。

#### Case Study 案例



#### Employee Representative Congress 職工代表大會

On December 19, 2025, the Company convened an Employee Representative Congress to fully implement the system of democratic corporate management and effectively safeguard employees' lawful rights to exercise democratic participation. In accordance with the rules of procedure for the Employee Representative Congress, employee representatives conducted thorough deliberations and democratic voting to elect a new employee representative director. This reflects the Company's commitment to employee participation and demonstrates its democratic governance philosophy of democratic decision-making and scientific management.

2025年12月19日，公司召開職工代表大會，全面落實企業民主管理制度，切實保障職工依法行使民主權利。大會嚴格按照職工代表大會相關議事規則，經與會職工代表充分醞釀、民主投票表決，選舉出新的職工代表董事，充分體現了公司對職工主體地位的高度重視，彰顯了民主決策、科學管理的治理理念。



#### KPI 關鍵績效

During the Reporting Period, the Company convened **1** Employee Representative Congress, at which **2** proposals were reviewed and approved.

報告期內，公司共開展 **1** 次職工代表大會，審議通過 **2** 個專案。

## Occupational Health and Safety

### 職業健康與安全

#### Workplace Safety Management System

##### 安全生產管理體系

Holly Futures strictly complies with relevant laws and regulations, including the Work Safety Law of the People's Republic of China. Adhering to the management principle of "safety first, prevention foremost," the Company continuously improves its workplace safety management system. The Company strengthens the foundation of workplace safety management by improving its governance structure. Through optimizing emergency management mechanisms and implementing hazard identification and rectification measures, the Company continuously enhances operational safety, ensuring the Company's stable development and safeguarding the lives and property of employees.

弘業期貨嚴格遵守《中華人民共和國安全生產法》等相關法律法規要求，堅持“安全第一、預防為主”的管理方針，持續構建安全生產管理體系。公司從完善治理結構入手，全面夯實安全生產管理基礎，通過優化應急管理機制及落實隱患排查工作，持續提升安全運營水準，全力保障企業穩健發展與員工生命財產安全。

#### Workplace Safety Risk Management

##### 安全生產風險管理

#### Emergency Management

##### 應急管理

The Company has formulated the Emergency Response Plan for Work Safety Accidents. Based on the extent of casualties and property losses, accidents are classified into four levels: extraordinarily major, major, relatively major and general. The plan clarifies accident reporting procedures and requirements, standardizes emergency response mechanisms for incidents of different levels, and specifies arrangements for post-incident recovery risk assessment. In addition, through accident statistics and analysis, internal inspections and rectification, and lessons learned from typical cases, the Company continuously addresses management gaps and strengthens its workplace safety defenses.

公司制定《生產安全事故應急預案》，依據人員傷亡和財產損失情況，將事故劃分為特別重大、重大、較大及一般事故四個等級，明確事故報告的流程與要求，規範不同等級事故的應急處置機制，並對生產恢復風險評估等事項作出具體規定；同時通過事故統計分析、自查整改及典型案例舉一反三的相關舉措，補齊管理短板、築牢安全生產防線。



#### KPI 關鍵績效

During the Reporting Period, the Company conducted **2** emergency drills with the participation of **420** employees.

報告期內，公司開展應急演練 **2** 次，參與應急演練人數 **420** 人。

Case Study  
案例

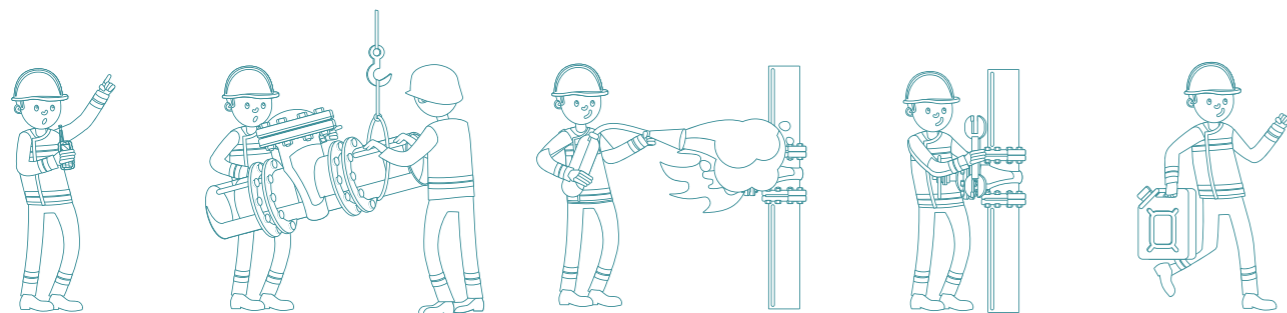
Fire Evacuation Emergency Drill  
消防疏散應急演練

On November 18, 2025, the Company organized a fire evacuation emergency drill to effectively enhance employees' fire safety awareness and emergency response capabilities. The drill was designed to simulate real scenarios and focus on practical effectiveness. Management took the lead in participating, and employees evacuated their respective work areas swiftly and orderly in accordance with the emergency plan. The exercise comprehensively tested the practicality and effectiveness of the emergency response plan, strengthened employees' fire safety awareness and self-rescue and mutual assistance capabilities, further improved the emergency coordination mechanism, and enhanced the Company's overall safety management level.

2025年11月18日，公司開展消防疏散應急演練，切實提升全員消防安全意識和應急處置能力。本次演練立足實戰、注重實效，領導班子帶頭回應，與員工嚴格按照應急預案，迅速有序地從各自辦公區域撤離，全面檢驗應急預案的科學性和可操作性，有效強化員工消防安全意識與自救互救能力，進一步健全應急聯動機制，提升公司安全管理水準。



Fire Evacuation Emergency Drill  
消防疏散應急演練



Hazard Rectification  
隱患整改

Holly Futures has established a comprehensive mechanism for hazard identification and rectification. The Company conducts comprehensive safety inspections focusing on key aspects of office premises, with particular attention to the adequacy of fire protection facilities and the safety of electrical wiring, aiming to eliminate potential risks at an early stage. On this basis, identified hazards are subject to checklist-based management and dynamic tracking. The Company strictly controls the quality and timeliness of rectification to ensure that all hazards are addressed promptly and resolved through a closed-loop management process, thereby continuously improving workplace safety management.

弘業期貨建立完善的安全隱患排查治理機制，聚焦辦公場所關鍵環節，開展全方位安全隱患排查，重點核查消防設施完備性、電氣線路安全性等核心要素，旨在將各類風險隱患扼殺在萌芽狀態。在此基礎上，公司對排查出的隱患實施清單化管理與動態跟蹤，嚴格把控整改品質與時限，確保各類隱患“發現即處置、整改即閉環”，持續提升安全生產管理水準。



KPI 關鍵績效

During the Reporting Period, the Company rectified **56** identified safety hazards, achieving a hazard rectification rate of **100%**.

報告期內，公司完成安全隱患整改**56**條，隱患整改率**100%**。

Safety Training  
安全培訓

The Company continues to develop a systematic safety training framework and regularly organizes activities such as Safety Awareness and Consultation Day, fire incident case-based training, and special training programs during Fire Safety Promotion Month. These initiatives are complemented by professional safety courses and expert-led sessions to enhance employees' safety awareness and emergency response capabilities, embedding safety principles into daily operations and strengthening the foundation for safe corporate operations.

公司持續構建系統化安全培訓體系，常態化開展安全宣傳諮詢日、火災案例警示培訓及消防宣傳月專項培訓等活動，配套專業安全課程與專家授課，全面提升員工安全意識與應急處置能力，推動安全理念深度融入日常工作，切實築牢企業安全運營的堅實防線。



KPI 關鍵績效

During the Reporting Period, the Company conducted **2** safety training sessions, with more than **800** total participants, totaling **800** training hours, an average of **1** hour of training per participant, and a training coverage rate of **80%**.

報告期內，公司開展安全培訓**2**次，培訓總人次為**800**餘人次，培訓總時長**800**小時，人均培訓時長**1**小時，培訓覆蓋率**80%**。

Case Study  
案例



Fire Safety Training during Fire Safety Promotion Month  
消防宣傳月安全生產培訓

On June 13, 2025, the Company's Safety Management Department, in collaboration with the management of Financial City Building, organized a fire safety training session. The training focused on topics such as fire escape routes, fire safety facilities, and evacuation procedures in emergencies. Participants also viewed fire safety awareness videos, effectively enhancing employees' fire safety awareness and emergency response capabilities. It also strengthened both the theoretical and practical foundations of workplace safety management.

2025年6月13日，公司安全管理部聯合金融城大廈物業，開展消防培訓。培訓活動緊密圍繞消防通道、消防設施、緊急情況下的逃生路線等內容展開，並組織觀看消防安全警示教育片，有效提升員工消防安全意識與應急處置能力，為安全生產工作築牢理論與實踐基礎。



Fire Safety Training  
消防培訓



Safety Consultation Day Activities  
安全諮詢日活動



Office Building Fire Case Awareness Training  
辦公樓火災案例警示培訓

## Occupational Health Management Measures 職業健康管理措施

Holly Futures strictly complies with relevant laws and regulations, including the Labor Law of the People's Republic of China and the Regulations on Work-Related Injury Insurance. As a financial services enterprise, the Company operates in an office environment that is generally free from common occupational hazards such as dust, noise and radioactive substances. Leveraging its low-risk working environment, the Company has established a comprehensive health protection system covering disease prevention and health monitoring by organizing diversified health training programs and professional medical examinations. These initiatives effectively safeguard employees' occupational health and support the Company's high-quality development.

弘業期貨嚴格遵循《中華人民共和國勞動法》《工傷保險條例》等法律法規，作為金融行業企業，公司辦公環境遠離粉塵、雜訊及放射性物質等常見職業病危害因素。依託低風險辦公環境，公司通過開展多元化健康培訓、組織專業體檢等舉措，構建覆蓋疾病預防與健康監測的全方位健康保障體系，切實守護員工職業健康，為企業高質量發展注入健康動能。



KPI 關鍵績效

During the Reporting Period, the employee medical examination coverage rate reached **100%**.

報告期內，員工體檢覆蓋率 **100%**。

## Community Engagement 社區公益

### Rural Revitalization 鄉村振興

Holly Futures actively responds to the national Rural Revitalization Strategy and fully leverages the professional strengths of the futures industry, actively contributing to rural revitalization through concrete initiatives. The Company promotes rural revitalization through diversified approaches, including paired assistance programs, professional support and consumption-based assistance, making tangible contributions to comprehensive rural development.

弘業期貨積極回應國家鄉村振興戰略，充分發揮期貨行業專業優勢，以實幹篤行的態度深度融入鄉村振興事業。公司通過結對幫扶、專業幫扶、消費幫扶等多元模式，扎實推進鄉村振興工作，以實際行動為鄉村全面振興貢獻力量。



Under the paired assistance program, the Company has engaged with 30 rural revitalization locations and signed 87 assistance agreements, continuously strengthening its targeted support mechanism. In terms of professional support, the Company leveraged its expertise in futures to provide 2 service projects for enterprises and individuals, involving a notional principal amount of RMB 360,000. It also organized 10 professional training sessions on futures knowledge with a total of 162 participants, continuously improving the risk management capabilities of agricultural stakeholders. In terms of consumption-based assistance, the Company signed 5 purchase and sales agreements, achieving procurement of assisted products valued at RMB 238,700, thereby supporting the development of rural industries via direct consumption. In addition, the Company actively promotes employment by recruiting 5 graduates and interns from assisted regions, contributing to the consolidation and expansion of poverty alleviation achievements through employment support.

在結對幫扶方面，公司積極對接鄉村振興工作地 30 個，簽訂幫扶協議 87 份，持續深化定點幫扶機制。在專業幫扶方面，依託期貨專業優勢為實體機構及個人提供服務專案 2 個，涉及名義本金 36 萬元；組織開展期貨專業知識培訓 10 場，累計參訓 162 人次，不斷提升涉農主體風險管理能力。在消費幫扶方面，通過簽署購銷合同 5 個，實現幫扶產品採購價值 23.87 萬元，以實際消費助力鄉村產業發展。此外，公司積極吸納就業，錄用幫扶地區畢業生、實習生共 5 名，以就業幫扶鞏固拓展脫貧攻堅成果。

Meanwhile, the Company continues to develop a comprehensive and well-functioning agricultural risk management service system and leverages the "Insurance + Futures" model to provide targeted support for agriculture, rural areas and farmers. The Company has implemented projects across multiple locations nationwide, enhancing economic benefits while supporting the development of rural agriculture. During the Reporting Period, the Company's "Insurance + Futures" programs covered 13 counties and districts across 7 provinces nationwide, providing price protection for 8 agricultural products and benefiting more than 30,000 farmers, effectively enhancing agricultural risk resilience and supporting stable income growth for farmers. In recognition of its contributions to rural revitalization, the Company was awarded the "2025 Jun Ding Award for Outstanding Rural Revitalization Futures Company in China".

與此同時，公司持續構建覆蓋廣泛、運行穩健、特色鮮明的農業風險管理服務體系，運用“保險+期貨”模式精準服務“三農”發展。公司已在全國多地實現專案落地，在提升經濟效益的同時，為鄉村農業發展保駕護航。報告期內，公司“保險+期貨”專案覆蓋全國 7 個省 13 個區縣，為 8 種農產品提供價格保障，服務農戶超 3 萬人，有效提升農業抗風險能力，助力農戶實現穩收增收。由於在服務鄉村振興領域的辛勤付出，報告期內，公司榮獲“2025 中國優秀鄉村振興期貨公司君鼎獎”。



2025 Jun Ding Award for Outstanding Futures Company in Rural Revitalization  
2025 中國優秀鄉村振興期貨公司君鼎獎

### Case Study 案例



### Paired Party Branch Collaboration Supporting Rural Revitalization 黨支部結對共建，助力鄉村振興

In April 2025, the Company's Third and Twenty-sixth Party Branches visited Xinyuan Town in Siyang County and carried out a paired collaboration initiative with the local Party branch, injecting new momentum into rural revitalization through joint Party-building activities. Meanwhile, Party members and officials of the Company visited local residents, extending their greetings and providing daily necessities and nutritional supplies. Through these practical actions, the Company demonstrated its commitment to its mission, contributed momentum to rural revitalization, and delivered warmth and care to local communities.

2025 年 4 月，公司第三黨支部與第二十六黨支部攜手走進泗陽縣新袁鎮，與當地黨支部開展了結對共建活動，以黨建聯建為鄉村振興注入新動能。同時，公司黨員幹部深入走訪慰問村民，並贈送生活及營養物資，以實際行動踐行初心使命，為鄉村振興增添動力，為基層群眾送去溫暖與關懷。

## Social Contribution 社會貢獻

The Company actively participates in charitable and public welfare initiatives, continuously carrying out activities such as supporting women and children, making public donations, and organizing voluntary blood donation campaigns. Guided by Party-building initiatives, the Company leverages the exemplary role of Party members and officials to encourage broad employee participation, building a shared corporate social responsibility framework and making meaningful contributions to society.

公司積極投身公益慈善事業，持續開展關愛婦女兒童、公益捐贈、無償獻血等系列活動。通過黨建引領，公司充分發揮黨員幹部先鋒模範作用，帶動員工廣泛參與，構建共建共用的社會責任體系，切實回饋社會。

### Case Study 案例



### "One-Day Charity Donation" Campaign “慈善一日捐活動”

On September 29, 2025, under the theme "Pooling Compassionate Strength to Build a Better Society," the Company organized a "One-Day Charity Donation" campaign across its headquarters and more than 30 branches nationwide. Employees were widely mobilized to participate through both online and offline channels. The Chairman and members of the Party leadership team took the lead in making donations. This initiative represents a vivid practice of the Company's "Hongxin Escort" Party-building brand in the field of public welfare. It demonstrates the mission and responsibility of a state-owned enterprise to "drive development through Party-building and safeguard the future with compassion," further fostering a corporate culture of solidarity, mutual support, and goodwill.

2025 年 9 月 29 日，公司以“彙聚愛心力量，共建美好社會”為主題，組織總部及全國 30 餘家分支機構開展“慈善一日捐”活動，以“線上+線下”形式廣泛動員幹部職工參與，公司董事長及黨委班子成員帶頭捐款。此次活動是公司“弘心護航”黨建品牌在公益領域的生動實踐，彰顯了國有企業“以黨建引領發展、以愛心護航未來”的使命擔當，進一步營造了團結互助、友愛向善的企業風尚。



"One-Day Charity Donation" Event  
“慈善一日捐”現場

## Outlook 未來展望

The year 2025 marks a critical milestone for the successful completion of China's 14th Five-Year Plan. Anchored in the strategic vision of becoming a leading domestic and internationally recognized comprehensive derivatives service provider, the Company focuses on strengthening its core businesses, enhancing service quality and refining technological capabilities. By deeply integrating ESG principles into its strategic planning and operational practices, the Company advances along three dimensions. It empowers sustainability through environmental initiatives, fosters shared development through social engagement, and reinforces strong governance foundations. These efforts build a diversified business structure and lay a solid foundation for the next stage of high-quality development.

2025 年為“十四五”規劃全面收官的關鍵之年，公司錨定“成為國內領先、國際知名的綜合衍生品服務商”的總體定位，緊扣“主業做強、服務做優、技術做精”的發展方向，將 ESG 理念深度融入戰略佈局與經營實踐，通過“環境賦能可持續、社會聚力共發展、治理夯實硬支撐”的三維發力，構築多元業務格局，為下一階段高質量發展築牢根基。

## Advancing Green Transformation and Empowering Sustainable Development 聚焦綠色轉型，賦能可持續發展

Guided by China's "dual carbon" goals, the Company promotes the deep integration of business development with environmental responsibility, contributing to the development of a green finance ecosystem. In terms of green business development, the Company has strengthened support for green industries by focusing on sectors such as new energy, energy conservation and environmental protection, and green agriculture. It develops customized derivatives hedging solutions to provide enterprises with professional price risk management services. In asset management, the Company enhances its investment strategies by prioritizing public and private fund products related to green and low-carbon development, gradually increasing the proportion of green assets in its portfolio and guiding social capital toward green industries. In advancing low-carbon operations, the Company incorporates green office practices and energy conservation into its refined management framework. By promoting digital and intelligent transformation, it reduces paper usage and energy consumption, standardizes energy management in office premises, and promotes energy-efficient equipment and green procurement, thereby effectively lowering carbon emissions in daily operations and fulfilling its commitment to sustainable development.

公司以“雙碳”目標為導向，推動經營發展與環境責任深度融合，助力綠色金融生態建設。在綠色業務佈局上，公司加大對綠色產業的支持力度，聚焦新能源、節能環保、綠色農業等領域開發定制化衍生品套保方案，為企業提供專業的價格風險管理服務；同時在資管業務中強化投資策略，優先篩選綠色低碳相關公募、私募基金，逐步提高綠色資產配置比例，引導社會資本持續流向綠色產業。在運營低碳化推進方面，公司把綠色辦公、節能降耗納入精細化管理體系，通過推進數位化與智能化轉型減少紙質檔案使用與能源消耗，規範辦公場所能耗管理並推廣節能設備與綠色採購，切實降低運營過程中的碳排放，以實際行動踐行可持續發展承諾。

## Deepening Value Sharing and Building Synergies for Development

### 深耕價值共用，凝聚發展合力

Adhering to the corporate philosophy of "Integrity, Excellence, Innovation and Win-Win Cooperation," the Company creates diverse social value through customer service, employee empowerment and collaborative ecosystem development. In upgrading its customer service system, the Company aims to enhance overall service quality by regularly organizing industry salons and providing tailored one-stop solutions. For small and medium-sized investors, it further expands communication channels and strengthens investor education and rights protection through online interactions and offline engagement activities, effectively safeguarding the legitimate rights and interests of all clients. In developing its talent ecosystem, the Company regards talent as a core strategic resource and improves the full-cycle talent management mechanism of "attracting, developing, utilizing and retaining talent." It precisely recruits high-caliber professionals in key areas such as financial asset investment, international business and digital transformation through diversified channels including executive search, industry-targeted recruitment and university collaboration programs. Meanwhile, the Company enhances its tiered training system, builds a capability development framework and clear career development pathways for employees, enabling their growth to resonate with the Company's development. It also promotes market-oriented compensation and incentive reforms, safeguards employees' legitimate rights and interests, and strengthens team cohesion and sense of belonging. To deepen ecosystem collaboration and win-win development, the Company strengthens internal coordination with its holding group to achieve resource sharing and complementary advantages in serving the real economy. Externally, it enhances cooperation with upstream and downstream partners in the industrial chain, financial institutions and third-party platforms, continuously expanding green finance service scenarios. At the same time, the Company actively fulfills its social responsibilities by participating in charitable initiatives and industry education activities, enhancing its corporate social image and promoting the healthy development of the industry through collective efforts.

公司堅持“誠信、卓越、創新、共贏”的企業理念，在服務客戶、賦能員工、協同生態中創造多元社會價值。在客戶服務體系升級上，公司以達成服務水準整體性提高為目標，常態化舉辦產業沙龍並量身定制一站式解決方案；在中小投資者方面則進一步拓寬溝通渠道，通過線上互動、線下交流等多種方式加強投資教育與權益保護，切實保障各類客戶的合法權益。在人才發展生態構築方面，公司將人才視為核心戰略資源，完善“引、育、用、留”全鏈條機制，圍繞金融資產投資、國際業務、數位化轉型等關鍵領域精準引進高端人才，通過“獵頭精準獵聘+行業定向邀約+高校聯合培養”等多元渠道彙聚行業精英；同時健全分層分類培訓體系，搭建員工能力提升矩陣與清晰職業發展通道，實現個人成長與公司發展同頻共振，深化市場化薪酬與激勵改革，保障員工合法權益，不斷增強團隊凝聚力與歸屬感。在生態協同共贏深化上，公司對內強化與控股集團的協同聯動，實現資源共用、優勢互補，共同服務實體經濟發展；對外加強與產業鏈上下游、金融同業、第三方平臺的合作，持續拓展綠色金融服務場景；同時積極履行社會責任，主動參與公益慈善、行業科普等活動，著力提升企業社會形象，凝聚多方合力共促行業健康發展。

## Deepening Institutional Innovation and Strengthening the Foundation for Development

### 深化機制革新，築牢發展根基

With a focus on standardization, market orientation and digitalization, the Company continuously improves its governance system and enhances governance efficiency to provide strong support for the implementation of its strategic objectives. In terms of standardization, the Company optimizes deliberation and decision-making processes to ensure effective coordination among governance bodies. In market-oriented reform, it deepens reforms in talent selection, appointment and incentive mechanisms to stimulate organizational vitality and internal momentum. In digital transformation, the Company establishes intelligent governance platforms to enhance the scientific basis of decision-making and improve execution efficiency. Meanwhile, the Company continuously strengthens compliance management and risk control, improves its internal audit and supervision systems, and ensures that operations proceed steadily along a law-based and standardized path, empowering high-quality development through high-quality governance.

公司以規範化、市場化、數位化為方向，持續完善治理體系，提升治理效能，為戰略落地提供堅實保障。在規範化建設方面，優化議事決策流程，確保各治理主體協同運轉；在市場化改革方面，深化選人用人與激勵約束機制改革，激發組織活力與內生動力；在數位化轉型方面，搭建智能化治理平臺，提升決策科學性與執行效率。同時，持續強化合規管理與風險防控，完善內部審計與監督體系，確保公司經營始終沿著法治化、規範化軌道穩健前行，以高質量治理賦能高質量發展。

Looking ahead, the Company will continue to be guided by ESG principles, focusing on strategic objectives and core priorities. It will deepen green development in the environmental dimension, strengthen value sharing in the social dimension, and reinforce governance foundations in the governance dimension. The Company will continue building a diversified business structure characterized by "futures brokerage as the foundation, risk management as the core, asset management and research as the wings, and cross-border services as the bridge." Through these efforts, the Company aims to create sustainable returns for shareholders, deliver high-quality services to clients, provide development opportunities for employees and contribute greater value to society, steadily progressing toward its vision of becoming a leading domestic and internationally recognized comprehensive derivatives service provider.

未來，公司將始終以 ESG 理念為引領，錨定戰略目標、聚焦核心任務，在環境維度深耕綠色發展、社會維度強化價值共用、治理維度夯實規範根基，持續構建“期貨經紀為基、風險管理為核、資管投研為翼、跨境服務為橋”的多元業務格局，為股東創造持續回報、為客戶提供優質服務、為員工搭建成長平臺、為社會貢獻更大價值，穩步向“國內領先、國際知名的綜合衍生品服務商”目標邁進。

# Appendix 附錄

## Key Performance Indicators 關鍵績效表

Environmental Performance <sup>5</sup> 環境績效 <sup>5</sup>					
	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Exhaust Emissions 廢氣排放	Nitrogen Oxides Emissions 氮氧化物排放量	kg 千克	15.71	13.16	14.48
	Sulfur Oxides Emissions 硫氧化物排放量	kg 千克	0.25	0.21	0.20
	Particulate Matter Emissions 顆粒物排放量	kg 千克	/	/	1.07
Greenhouse Gas Emissions 溫室氣體排放	Direct Greenhouse Gas Emissions (Scope 1) 直接溫室氣體排放量 (範圍一)	tCO <sub>2</sub> e 噸二氧化碳當量	44.77	32.27	30.51
	Indirect Greenhouse Gas Emissions (Scope 2) 間接溫室氣體排放量 (範圍二)	tCO <sub>2</sub> e 噸二氧化碳當量	540.60	475.09	452.27
	Total Greenhouse Gas Emissions 溫室氣體排放總量	tCO <sub>2</sub> e 噸二氧化碳當量	585.36	507.36	482.78
Waste Management 廢棄物管理	Total Toner Cartridges 硒鼓總量	pc 個	174	86	125
	Fluorescent Tubes 燈管	unit 支	0	0	25
	Electronic Equipment 電子設備	unit 臺	174	95	421
Energy Utilization 能源利用	Purchased Electricity Consumption 外購電力消耗量	kWh 千瓦時	947,916	885,364	852,380
	Gasoline Consumption 汽油消耗量	kL 千升	16.80	14.41	13.83
	Direct Energy Consumption 直接能源消耗	tce 噸標準煤	18.08	15.49	14.75
	Indirect Energy Consumption 間接能源消耗	tce 噸標準煤	116.50	108.81	104.76

Environmental Performance <sup>5</sup> 環境績效 <sup>5</sup>					
	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Energy Utilization 能源利用	Total Energy Consumption 能源消耗總量	tce 噸標準煤	134.58	124.30	119.51
	Total Water Consumption 總耗水量	tonne 噸	11,460	3,572	3,230

<sup>5</sup> Relevant data have been restated due to changes in data collection, measurement, and calculation methods..

<sup>5</sup> 因數據的採集、測量與計算方法有更改，對相關數據進行追溯調整。

Social Performance 社會績效					
	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Product and Service Safety and Quality 產品和服務安全與品質	Number of Customer Complaints 客戶投訴數量	session 次	11	8	17
	Number of Customer Complaints Resolved 客戶投訴解決數量	item 件	11	8	17
Data Security and Privacy Protection 數據安全與隱私保護	Total Number of Customer Privacy Violations 客戶隱私違法違規事件總數	item 件	/	/	0
	Number of Data Security Training Sessions 數據安全培訓次數	session 次	/	/	1
	Total Hours of Data Security Training 數據安全培訓總時長	hour 小時	/	/	796
Innovation 創新驅動	Number of Newly Obtained Software Copyrights 新增軟體著作權數量	item 件	/	/	1
Employee Structure and Rights 員工結構與權益	Total Number of Employees 員工總數	person 人	681	636	568
	Number of Female Employees 女性員工人數	person 人	314	294	254
	Number of Male Employees 男性員工人數	person 人	367	342	314
	Number of New Employees 新進員工總數	person 人	109	62	47

Social Performance  
社會績效

	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Employee Structure and Rights 員工結構與權益	Employee Turnover Rate 員工流失率	%	10.57	17.76	17.61
	Turnover Rate of Female Employees 女性員工流失率	%	4.41	6.90	18.98
	Turnover Rate of Male Employees 男性員工流失率	%	6.17	8.85	16.46
	Employee Turnover Rate - Under 30 Years Old 30 歲以下 (不含 30 歲) 員工流失率	%	4.26	4.96	26.52
	Employee Turnover Rate - Aged 30-39 30-40 歲 (含 30 歲, 不含 40 歲) 員工流失率	%	4.70	7.43	15.74
	Employee Turnover Rate - Aged 40-49 40-50 歲 (含 40 歲, 不含 50 歲) 員工流失率	%	0.44	0.71	13.58
	Employee Turnover Rate - Aged 50 and Above 50 歲及以上員工流失率	%	0.15	0	15.87
	Employees Aged Below 30 30 歲以下員工人數	person 人	174	153	111
	Employees Aged 31-40 31-40 歲員工人數	person 人	358	327	283
	Employees Aged 41-50 41-50 歲員工人數	person 人	113	124	141
Employees Aged 51-60 51-60 歲員工人數	person 人	35	32	31	
Employees Aged 60 and Above 60 歲及以上員工人數	person 人	1	0	2	
Below Bachelor's Degree 本科以下	person 人	74	58	53	
Bachelor's Degree 本科	person 人	462	422	374	
Master's Degree 碩士	person 人	140	151	138	
Doctoral Degree 博士	person 人	5	5	3	
Employee Training 員工培訓	Number of Training Sessions 員工培訓場次	session 場	164	209	182

 Social Performance  
社會績效

	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Employee Training 員工培訓	Total Training Attendance 接受培訓總人次	person-time 人次	/	/	16,447
	Total Training Hours 接受培訓總時長	hour 小時	14,367	21,550	20,009
	Training Participation Rate - Female Employees 女性員工受訓比率	%	100	100	100
	Training Participation Rate - Male Employees 男性員工受訓比率	%	100	100	100
	Training Hours - Female Employees 女性員工受訓時長	hour 小時	21.10	34.14	40.50
	Training Hours - Male Employees 男性員工受訓時長	hour 小時	21.10	34.14	40.50
	Training Participation Rate - Senior Management 高級管理層受訓比率	%	100	100	100
	Training Participation Rate - Middle Management 中級管理層受訓比率	%	100	93	100
	Training Participation Rate - Other Employees 其他員工受訓比率	%	100	88	100
Occupational Health and Safety 職業健康與安全	Employee Health Check-up Coverage 員工體檢覆蓋率	%	/	/	100
	Number of Safety Training Sessions 安全培訓場次	session 場	/	/	2
	Safety Training Attendance 安全培訓人次	person-time 人次	/	/	800
	Rectification Rate of Identified Safety Hazards 隱患排查整改率	%	/	/	100
	Total Hours of Employee Safety Training 員工接受安全培訓的總時數	hour 小時	/	/	800
	Number of work-related fatalities 因工作关系死亡人數	person 人	0	0	0
	Total number of work-related injuries 总工伤人数	person 人	0	1	0
Lost workdays due to work-related injuries 因工伤损失工作时数	hour 小時	0	/	0	

Social Performance  
社會績效

	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Occupational Health and Safety 職業健康與安全	Number of Emergency Drills 安全應急演練次數	session 次	/	/	2
	Emergency Drill Participants 安全應急演練參演人次	person-time 人次	/	/	420
Supply Chain 供應鏈	Total Number of Suppliers 供應商總數	unit 家	110	69	68
	Supplier Integrity Agreement Signing Rate 供應商廉潔協議簽署率	%	/	/	100
	Number of Suppliers in the Yangtze River Delta Region 長江三角洲地區供應商數	unit 家	61	49	53
	Number of Suppliers in the Pearl River Delta Region 珠江三角洲地區供應商數	unit 家	7	6	5
	Number of Suppliers in the Bohai Rim Region 環渤海地區供應商數	unit 家	11	4	2
	Number of Suppliers in the Central Region 中部地區供應商數	unit 家	9	6	5
	Number of Suppliers in the Northeast Region 東北地區供應商數	unit 家	6	4	2
	Number of Suppliers in the Western Region 西部地區供應商數	unit 家	12	0	1
	Number of Suppliers in Other Regions 其他地區供應商數	unit 家	4	0	0

 Governance Performance  
治理績效

	Indicator 指標名稱	Unit 單位	2023 2023 年	2024 2024 年	2025 2025 年
Governance Structure 治理結構	Number of Board Members 董事會人數	person 人	6	7	8
	Number of Independent Directors 獨立董事人數	person 人	3	3	3
	Number of Female Board Members 董事會中女性成員人數	person 人	0	1	1
	Number of Board Meetings 董事會召開次數	session 次	8	12	9
	Resolutions Approved by the Board 董事會審議通過事項	item 項	40	42	52
	Number of General Meeting 股東會召開次數	session 次	3	2	3
	Resolutions Approved by the General Meeting 股東會審議通過事項	item 項	16	16	18
Business Ethics and Anti-Corruption 商業道德與反腐敗	Total Number of Employees Participating in Anti-Bribery and Anti-Corruption Training 員工參加反商業賄賂及反貪污培訓的總人次	person-time 人次	/	/	651
	Total Hours of Anti-Corruption Training for Employees 員工接受反貪污培訓的總時數	hour 小時	/	/	809
Compliance Management 合規管理	Compliance Training Attendance 合規培訓人次	person-time 人次	/	/	4,800
	Compliance Training Hours 合規培訓時數	hour 小時	/	/	3,200
	Number of Compliance Training Sessions 合規培訓場次	session 場	/	/	18

## Index of Indicators 指標索引

Content Index - Environmental, Social and Governance Reporting Code of the Hong Kong Stock Exchange

香港聯交所《環境、社會及管治報告守則》內容索引

Key Content 主要內容	Category 範疇	Relevant Section in the Report 對應報告章節
A1: Emissions A1: 排放物 General Disclosure 一般披露	Information regarding air emissions, discharges to water and land, generation of hazardous and non-hazardous waste, including: (a) policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer. 有關廢氣排放、向水及土地的排汙、有害及無害廢棄物的產生等的：(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	Green Management Practices 踐行綠色管理
A1.1	Types of emissions and related emission data. 排放物種類及相關排放數據。	Green Management Practices / Key Performance Indicators 踐行綠色管理、關鍵績效表
A1.3	Total hazardous waste generated (in tons) and, where applicable, density (per unit of output or per facility). 所產生有害廢棄物總量（以噸計算）及（如適用）密度（如以每產量單位、每項設施計算）。	Green Management Practices / Key Performance Indicators 踐行綠色管理、關鍵績效表
A1.4	Total non-hazardous waste generated (in tons) and, where applicable, density (per unit of output or per facility). 所產生無害廢棄物總量（以噸計算）及（如適用）密度（如以每產量單位、每項設施計算）。	Green Management Practices / Key Performance Indicators 踐行綠色管理、關鍵績效表
A1.5	Describe the emission targets set and the measures taken to achieve these targets. 描述所訂立的排放量目標及為達到這些目標所採取的步驟。	Climate Change Response 應對氣候變化
A1.6	Describe the methods for handling hazardous and non-hazardous waste, as well as the waste reduction targets set and the measures taken to achieve these targets. 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。	Green Management Practices 踐行綠色管理

Key Content 主要內容	Category 範疇	Relevant Section in the Report 對應報告章節
A2: Use of Resources A2: 資源使用 General Disclosure 一般披露	Policy on 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。	Green Management Practices 踐行綠色管理
A2.1	Total direct and/or indirect energy consumption by type (e.g., electricity, gas, oil) (in thousand kWh) and density (per unit of output or 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）。	Green Management Practices / Key Performance Indicators 踐行綠色管理、關鍵績效表
A2.2	Total water consumption and density (per unit of output or per facility). 總耗水量及密度（如以每產量單位、每項設施計算）。	Green Management Practices / Key Performance Indicators 踐行綠色管理、關鍵績效表
A2.3	Describe the energy efficiency targets set and the measures taken to achieve these targets. 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。	Green Management Practices 踐行綠色管理
A2.4	Describe any issues encountered in sourcing water, as well as the water efficiency targets set and the measures taken to achieve these targets. 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。	Green Management Practices 踐行綠色管理
A2.5	Total amount of packaging materials used in finished products (in tons) and, where applicable, per production unit. 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。	Not applicable (financial institution, no physical products) 公司屬金融行業，不實際生產產品，不適用該指標
A3: Environmental and Natural Resources A3: 環境及天然資源 General Disclosure 一般披露	Policies to reduce 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。	Green Management Practices 踐行綠色管理
A3.1 A3.1	Describe the significant impacts of business activities on the environment and natural resources and the measures taken to manage these impacts. 描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	Green Management Practices 踐行綠色管理

### Environment 環境

Key Content 主要內容	Category 範疇	Relevant Section in the Report 對應報告章節
B1: Employment B1: 僱傭 General Disclosure 一般披露	Information regarding remuneration and dismissal, recruitment and promotion, working hours, leave, equal opportunities, diversity, anti-discrimination, and other benefits: (a) policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer. 有關薪酬及解雇、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的：(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	Employee Rights and Interests Protection / Key Performance Indicators 員工權益保障、關鍵績效表
B1.1	Total number of employees by gender, employment type (full-time or part-time), age group and 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。	Employee Rights and Interests Protection / Key Performance Indicators 員工權益保障、關鍵績效表
B1.2	Employee turnover rate by gender, age group and region. 按性別、年齡組別及地區劃分的雇員流失比率。	Key Performance Indicators 關鍵績效表
B2: Occupational Health and Safety B2: 健康與安全 General Disclosure 一般披露	Information regarding the provision of a safe working environment and the prevention of occupational hazards: (a) policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer. 有關提供安全工作環境及保障雇員避免職業性危害的：(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	Occupational Health and Safety 職業健康與安全
B2.1	Number and rate of work-related fatalities in the past three years (including reporting year). 過去三年（包括彙報年度）每年因工亡故的人數及比率。	Key Performance Indicators 關鍵績效表
B2.2	Lost workdays due to work-related injuries. 因工傷損失工作日數。	Key Performance Indicators 關鍵績效表
B2.3	Describe the occupational health and safety measures adopted, and the implementation and monitoring methods. 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。	Occupational Health and Safety 職業健康與安全

 Social  
社會

Key Content 主要內容	Category 範疇	Relevant Section in the Report 對應報告章節
B3: Training and Development B3: 發展及培訓 General Disclosure 一般披露	Policies on improving employees' knowledge and skills and 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。	Employee Rights and Interests Protection 員工權益保障
B3.1	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）劃分的受訓雇員百分比。	Key Performance Indicators 關鍵績效表
B3.2	Average training hours per trained employee by gender and category. 按性別及雇員類別劃分，每名雇員完成受訓的平均時數。	Key Performance Indicators 關鍵績效表
B4: Labor Standards B4: 勞工準則 General Disclosure 一般披露	Information regarding the prevention of child labor and forced labor: (a) policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer. 有關防止童工或強制勞工的：(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	Employee Rights and Interests Protection 員工權益保障
B4.1	Describe measures to review recruitment practices to avoid child and forced labor. 描述檢討招聘慣例的措施以避免童工及強制勞工。	Employee Rights and Interests Protection 員工權益保障
B4.2	Describe the steps taken to eliminate such practices upon identification. 描述在發現違規情況時消除有關情況所採取的步驟。	Employee Rights and Interests Protection 員工權益保障
B5: Supply Chain Management B5: 供應鏈管理 General Disclosure 一般披露	Policies to manage environmental and social risks in the supply chain. 管理供應鏈的環境及社會風險政策。	Responsible Supply Chain 負責任供應鏈
B5.1	Number of suppliers by region. 按地區劃分的供應商數目。	Key Performance Indicators 關鍵績效表
B5.2	Describe the practices in engaging suppliers, the number of suppliers covered, and the implementation and monitoring methods. 描述有關聘用供應商的慣例，向其執行有關慣例的供應商數目，以及相關執行及監察方法。	Responsible Supply Chain 負責任供應鏈

 Social  
社會

Key Content 主要內容	Category 範疇	Relevant Section in the Report 對應報告章節
B5.3	Describe practices for identifying environmental and social risks at each stage of the supply chain, and the implementation and monitoring methods. 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	Responsible Supply Chain 負責任供應鏈
B5.4	Describe practices to encourage the use of environmentally friendly products and services when selecting suppliers, and the implementation and monitoring methods. 描述在揀選供應商時促使多用環保產品及服務的慣例，以及相關執行及監察方法	Responsible Supply Chain 負責任供應鏈
B6: Product Responsibility B6: 產品責任 General Disclosure 一般披露	Information regarding the health and safety of products and services provided, advertising, labeling, privacy, and remedial measures: (a) policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer. 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：(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	Product and Service Quality 產品和服務品質
B6.1	Percentage of sold or shipped products recalled 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。	Not applicable (financial institution, no physical products) 公司屬金融行業，不實際生產產品，不適用該指標
B6.2	Number of complaints received regarding products and services and response measures. 接獲關於產品及服務的投訴數目以及應對方法。	Customer Service 客戶服務
B6.3	Describe practices for protecting and maintaining intellectual property. 描述與維護及保障知識產權有關的慣例。	Innovation 創新驅動
B6.4	Describe quality inspection and product recall procedures. 描述品質檢定過程及產品回收程序。	Not applicable (financial institution, no physical products) 公司屬金融行業，不實際生產產品，不適用該指標
B6.5	Describe policies and practices for consumer data protection and privacy, and implementation and monitoring methods. 描述消費者資料保障及私隱政策，以及相關執行及監察方法。	Data Security and Customer Privacy Protection 數據安全與客戶隱私保護

Social  
社會

Key Content 主要內容	Category 範疇	Relevant Section in the Report 對應報告章節
B7: Anti-Corruption B7: 反貪污 General Disclosure 一般披露	Information regarding the prevention of bribery, extortion, fraud, and money laundering: (a) policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer. 有關防止賄賂、勒索、欺詐及洗黑錢的：(a) 政策；及 (b) 遵守對發行人有重大影響的相關法律及規例的資料。	Business Ethics 商業道德
B7.1	Number and outcomes of concluded corruption cases involving the issuer or its employees during the reporting period. 於彙報期內對發行人或其雇員提出並已審結的貪污訴訟案件的數目及訴訟結果。	Business Ethics 商業道德
B7.2	Describe preventive measures and whistleblowing procedures, and related implementation and monitoring methods. 描述防範措施及舉報程序，以及相關執行及監察方法。	Business Ethics 商業道德
B7.3	Describe anti-corruption training provided to directors and employees. 描述向董事及員工提供的反貪污培訓。	Business Ethics 商業道德
B8: Community Investment B8: 社區投資 General Disclosure 一般披露	Policies for engaging with communities to understand their needs and ensure business activities consider community 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。	Community Engagement 社區公益
B8.1	Focus areas of contribution (e.g., education, environment, labor, health, culture, sports). 專注貢獻範疇（如教育、環境事宜、勞工需求、健康、文化、體育）。	Community Engagement 社區公益
B8.2	Resources deployed in focus areas (e.g., money or time). 在專注範疇所動用資源（如金錢或時間）。	Community Engagement 社區公益

Social  
社會

Topic Index - Self-Regulatory Guidelines No. 17 for Companies Listed on Shenzhen Stock Exchange-Sustainability Report (For Trial Implementation)

《深圳證券交易所上市公司自律監管指引第 17 號——可持續發展報告（試行）》議題索引

Dimension 維度	Topic 議題	Relevant Article 對應條款	Relevant Section in this Report 對應本報告的章節
Environment 環境	Climate Change Response 應對氣候變化	Articles 21-28 第二十一條至第二十八條	Climate Change Response 應對氣候變化
	Pollutant Emissions 污染物排放	Article 30 第三十條	Green Management Practices 踐行綠色管理
	Waste Management 廢棄物處理	Article 31 第三十一條	Green Management Practices 踐行綠色管理
	Ecosystem and Biodiversity Protection 生態系統和生物多樣性保護	Article 32 第三十二條	The Company's production and operations have not had any significant impact on ecosystems and biodiversity. 公司生產經營未對生態系統和生物多樣性造成重大影響
	Environmental Compliance Management 環境合規管理	Article 33 第三十三條	Green Management Practices 踐行綠色管理
	Energy Utilization 能源利用	Article 35 第三十五條	Green Management Practices 踐行綠色管理
	Water Resource Utilization 水資源利用	Article 36 第三十六條	
	Circular Economy 循環經濟	Article 37 第三十七條	Green Management Practices 踐行綠色管理
Social 社會	鄉村振興 Rural Revitalization	Article 39 第三十九條	Community Engagement 社區公益
	社會貢獻 Social Contribution	Article 40 第四十條	
	創新驅動 Innovation	Article 42 第四十二條	Innovation 創新驅動
	科技倫理 Technology Ethics	Article 43 第四十三條	
	供應鏈安全 Supply Chain Security	Article 45 第四十五條	Responsible Supply Chain 負責任供應鏈
	平等對待中小企業 Fair Treatment of SMEs	Article 46 第四十六條	
	產品和服務安全與品質 Product and Service Safety and Quality	Article 47 第四十七條	Product and Service Quality 產品和服務品質

Dimension 維度	Topic 議題	Relevant Article 對應條款	Relevant Section in this Report 對應本報告的章節
Social 社會	Data Security and Customer Privacy Protection 數據安全與客戶隱私保護	Article 48 第四十八條	Data Security and Customer Privacy Protection 數據安全與客戶隱私保護
	Employees 員工	Article 50 第五十條	Employee Rights and Interests Protection / Occupational Health and Safety 員工權益保障、職業健康與安全
Sustainability Governance 可持續發展相關治理	Due Diligence 盡職調查	Article 52 第五十二條	Responsible Supply Chain 負責任供應鏈
	Stakeholder Engagement 利益相關方溝通	Article 53 第五十三條	ESG Governance ESG 治理
	Anti-Bribery and Anti-Corruption 反商業賄賂及反貪污	Article 55 第五十五條	Business Ethics 商業道德
	Anti-Unfair Competition 反不正當競爭	Article 56 第五十六條	

Index of Indicators - GRI Sustainability Reporting Standards (GRI Standards)

《GRI 可持續發展報告標準 (GRI Standards) 》指標索引

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## Feedback 意見回饋

Dear Readers,

Thank you very much for reading this Report. We highly value and look forward to your feedback on this Report. Your opinions and suggestions are important references for us to continuously improve our ESG information disclosure and advance our ESG management and practices. We sincerely welcome and appreciate your valuable feedback.

尊敬的讀者：

非常感謝您閱讀本報告。我們非常重視並期望聆聽您對本報告的回饋意見。您的意見和建議，是我們持續提高企業 ESG 信息披露水準、推進企業 ESG 管理和實踐的重要依據。我們歡迎並由衷感謝您提出寶貴意見！

1. Your relationship with Holly Futures is:

對於弘業期貨來說，您的身份是：

- Employee  Client / Customer  Shareholder / Investor  Supplier  
 Government / Regulatory Authority  Media / Industry Association  Others (please specify)  
 員工  客戶與消費者  股東或投資人  供應商  政府及監管機構  媒體 / 行業協會  其他 (請註明)

2. How would you rate the Company's ESG Report overall?

您對公司 ESG 報告的總體評價是：

- Excellent  Good  Fair  Poor  Very Poor  
 非常好  好  一般  較差  差

3. How do you evaluate our performance in stakeholder engagement?

您認為我們在利益相關方溝通方面做得如何？

- Excellent  Good  Fair  Poor  Very Poor  
 非常好  好  一般  較差  差

4. How do you evaluate our performance in product responsibility?

您認為我們在產品責任方面做得如何？

- Excellent  Good  Fair  Poor  Very Poor  
 非常好  好  一般  較差  差

5. How do you evaluate our performance in environment, safety and occupational health?

您認為我們在環境、安全和職業健康方面做得如何？

- Excellent  Good  Fair  Poor  Very Poor  
 非常好  好  一般  較差  差

6. How do you evaluate our performance in employee responsibility?

您認為我們在員工責任方面做得如何？

- Excellent  Good  Fair  Poor  Very Poor  
 非常好  好  一般  較差  差

7. How do you evaluate the content structure and layout of this Report?

您認為本報告的內容安排和版式設計如何？

- Excellent  Good  Fair  Poor  Very Poor  
 非常好  好  一般  較差  差

8. Do you have any comments or suggestions regarding our ESG practices and this Report?

您對我們履行 ESG 及本報告有何意見和建議？

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You may contact us through the following channels:

您可通過以下方式聯繫我們：

Email: zqb@ftol.com.cn

郵箱: zqb@ftol.com.cn

