



英皇證券集團有限公司 Emperor Capital Group Limited

Incorporated in Bermuda with limited liability (Stock Code: 717)
於百慕達註冊成立之有限公司 (股份代號: 717)



ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

環境、社會及管治報告

2020/2021

CONTENTS 目錄

1.	ABOUT THIS REPORT	關於本報告	1
2.	ENVIRONMENTAL PROTECTION	環境保護	5
3.	WORKPLACE QUALITY	工作場所質素	10
4.	OPERATING PRACTICE	經營常規	20
5.	COMMUNITY INVOLVEMENT	參與社區活動	27
6.	APPENDIX: HKEX ESG REPORTING GUIDE CONTENT INDEX	附錄：港交所環境、社會及管治報告指引內容索引	32



1. ABOUT THIS REPORT

關於本報告

Emperor Capital Group Limited (the “Company”) and its subsidiaries (collectively referred to as the “Group”) are principally engaged in the provision of financial services including (i) commercial and personal lending as well as margin and initial public offering financing; (ii) brokerage services, wealth management and asset management; (iii) placing and underwriting services for listed issuers; and (iv) corporate finance advisory services. It acknowledges the significance of effective environmental, social and governance (“ESG”) initiatives at operational level. By adopting environmental and social initiatives into its business operations, the Group can enhance its cost efficiency and risk management, and make informed decisions by engaging with the stakeholders of the Group. By so doing, the Group can operate in a responsible and sustainable manner.

This report describes the ESG values and initiatives of the Group for the financial year ended 30 September 2021 (the “Year”). The contents of this report provide its stakeholders with an overview of the Group’s efforts regarding ESG impacts arising from its daily operations. This report complies with the provision of the ESG Reporting Guide as set out in Appendix 27 of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited. It is recommended that this report is read in conjunction with the Company’s Annual Report 2020/2021, in particular the Corporate Governance Report and Directors’ Report sections therein.

This report is available on the website of the Company (<https://www.EmperorCapital.com>) and Hong Kong Exchanges and Clearing Limited (“HKEX”) news website (<https://www.hkexnews.hk>).

Board Statement

The board of directors of the Company (the “Board”) has the overall responsibility for ensuring effectiveness of the Company’s ESG strategy and reporting with an aim that the Group can operate its financial services businesses in a responsible and sustainable manner.

英皇證券集團有限公司(「本公司」)及其附屬公司(統稱為「本集團」)主要從事提供金融服務，包括(i)商業及個人貸款以及孖展及首次公開發售融資；(ii)經紀服務、財富管理及資產管理；(iii)為上市發行人提供配售與包銷服務；及(iv)企業融資顧問服務。其深明有效的環境、社會及管治舉措在經營層面的重要性。通過於業務營運實施環境和社會舉措，本集團將可提升其成本效益及風險管理，並透過與本集團利益持份者溝通以作出明智決策。藉此，本集團將可以負責任及可持續的方式營運。

本報告闡述本集團於截至2021年9月30日止財政年度(「本年度」)的環境、社會及管治價值及措施。本報告的內容為其持份者概述本集團在日常營運對環境、社會及管治方面的影響所作出的努力。本報告符合香港聯合交易所有限公司證券上市規則附錄27所載《環境、社會及管治報告指引》的條文。建議閣下將本報告與本公司2020/2021年報一併閱讀，尤其是其中的企業管治報告及董事會報告部分。

本報告可於本公司的網站(<https://www.EmperorCapital.com>)及香港交易及結算所有限公司(「港交所」)的披露易網站(<https://www.hkexnews.hk>)查閱。

董事會聲明

本公司董事會(「董事會」)全面負責及確保本公司環境、社會及管治策略和報告的有效性，以及本集團以負責任及可持續的方式營運其金融服務業務。

Our ESG processes and procedures focus on non-financial indicators that outline the Company's approach towards sustainability and has taken into account ESG-related issues covering different aspects including operations, legal and compliance, internal control, human resources, as well as marketing and communications. To reinforce the Board's ESG management approach and strategy as well as further enhance ESG governance, the Board has adopted a ESG Policy whereby the ESG Work Team (comprising executive directors and representatives from operations and supporting departments) and the Executive Committee of the Company ("Executive Committee") are delegated with the power and authority to handle all ESG-related matters. Their respective roles and functions are as follows:

ESG Work Team

- work through the key performance indicators and the right tools and resources to handle the ESG issues; and
- formulate and execute action plans and ensure execution by respective teams so as to achieve the ESG-related goals set by the Board and Executive Committee.

The ESG Work Team will report at least once per year to the Executive Committee on the progress of the above action plans.

Executive Committee

- recommend to the Board on setting ESG-related goals in relation to the Group's businesses as well as management approach and strategy;
- oversee formulation and implementation of action plans by the ESG Work Team;
- monitor and evaluate effectiveness of action plans in achieving ESG-related goals relating to the Group's businesses including the key performance indicators; and
- review effectiveness of ESG risk management and internal control systems and make recommendation to the Board.

我們的環境、社會及管治流程和程序專注於非財務指標，概述了本公司就可持續發展的方法，並已考慮與環境、社會及管治相關議題，涵蓋多個方面，包括營運、法律合規、內部監控、人力資源以及營銷和通訊。為了加強董事會的環境、社會及管治管理方法及策略，並進一步提升對環境、社會及管治的管治，董事會採納了環境、社會及管治政策，並授予環境、社會及管治工作小組(由執行董事以及營運及支援部門的代表組成)及本公司執行委員會(「執行委員會」)權力及權限處理所有與環境、社會及管治相關的事宜。其各自的角色和職能如下：

環境、社會及管治工作小組

- 通過關鍵績效指標及正確的工具和資源來處理環境、社會和治理事宜；及
- 制定及實施執行計劃，並確保各團隊的執行以達致董事會及執行委員會制定的環境、社會和管治相關目標。

環境、社會及管治工作小組將至少每年向執行委員會報告一次上述執行計劃的進展情況。

執行委員會

- 就本集團業務的環境、社會及管治相關目標的設定，以及管理方式和策略向董事會提出建議；
- 監督由環境、社會及管治工作小組制定及實施的執行計劃；
- 監測和評估執行計劃在達致與本集團業務有關的環境、社會和管治相關目標方面的有效性，包括關鍵績效指標；及
- 檢視環境、社會及管治風險管理和內部監控系統的有效性，並向董事會提出建議。

The Executive Committee will report at least once per year to the Board on the implementation and the progress made towards achieving ESG objectives.

執行委員會將至少每年向董事會報告一次就達致環境、社會及管治目標的執行及進展情況。

Based on the recommendation from the Executive Committee, the Board will review the progress made towards achieving the ESG-related goals as well as effectiveness of the management approach and strategy.

根據執行委員會的建議，董事會將檢視在達致環境、社會及管治相關目標方面取得的進展，以及管理方法及策略的有效性。

1.1 Stakeholders Engagement and Materiality Assessment


The Group is committed to making proactive efforts to continuously interact with key stakeholder groups. The Group maintains active engagement with its stakeholders, and collects their feedback through various communication channels to understand and address their concerns in order to improve the Group's operation and practices correspondingly.

1.1 持份者之參與及重要性評估

本集團致力與主要持份者群組進行持續互動。本集團與其持份者保持緊密聯繫，並透過各種溝通渠道收集其反饋意見，了解與回應其關注點，從而改善本集團的營運和實踐。

Major Communication Channels 主要溝通渠道

Customers
顧客



- Onsite communications
現場溝通
- Social media
社交媒體
- Emails
電郵
- Customer service hotlines
顧客服務熱線

Employees
員工



- Performance appraisal interviews
績效評估訪談
- Employee engagement surveys
員工參與度調查問卷
- Staff activities
員工活動
- Daily communications
日常交流

Shareholders and Investors
股東及投資者



- General meetings
股東大會
- Corporate websites
企業網站
- Meetings and conference calls
會議及電話會議
- Corporate communication documents
公司通訊文件

Business Partners and Suppliers
商業夥伴及供應商



- Daily communications
日常交流
- Assessments
評估
- Meetings
會議

Community
社區



- Community services
社區服務
- Corporate websites
企業網站
- Social media
社交媒體

Government and Regulatory Bodies
政府及監管機構



- Regular dialogues
定期對話
- Meetings
會議
- Forums and conferences
論壇和會議

Based on the stakeholders' feedback, the material issues were identified as follows. The Group's performance regarding these issues are discussed in this report.

根據持份者的意見，以下為已識別之重要議題。本集團就該等議題的表現將於本報告內討論。

Material Topics 重要議題

Environment 環境	<ul style="list-style-type: none"> • Energy conservation 能源節約 • Waste management 廢物管理 • Waste recycling 廢物循環利用
Workplace 工作場所	<ul style="list-style-type: none"> • Employment and labour practices 僱傭及勞工慣例 • Diversity and equal opportunities 多元共融和平等機會 • Training and development 培訓和發展 • Occupational health and safety 職業健康與安全 • Work-life balance 工作與生活的平衡
Operating Practices 經營常規	<ul style="list-style-type: none"> • Services quality 服務質素 • Customer privacy protection 客戶私隱保護 • Anti-corruption/Anti-money laundering 反貪污／反洗錢 • Compliance with laws and regulations 遵守法例及法規
Community 社區	<ul style="list-style-type: none"> • Employee volunteering 員工志願服務 • Community fundraising 社區籌款

2. ENVIRONMENTAL PROTECTION 環境保護

2.1 Environmental Policies

During the Year, the Group continued making its best endeavours to protect the environment in its business activities and workplace. The Group also educates its employees on their awareness of promoting a green environment. The Group seeks to identify and manage environmental impacts attributable to its operations, in order to minimise these impacts if possible. Various measures have been adopted to reduce energy and other resource use, minimise waste and increase recycling, and promote environmental protection in its supply chain and marketplace. These measures are discussed in section 2.2 “Use of Resources” of this report.

Besides, the Group has placed surplus fund through a green deposit programme offered by bank, to support environmentally beneficial projects and businesses that promote the transition to a low-carbon, climate-resilient and sustainable economy.

2.2 Use of Resources

2.2.1 Energy Saving

Global warming and climate change are among the major environmental concerns in every part of the world. In an effort to reduce carbon footprint and mitigate emissions, the Group actively promotes efficient use of energy and adopts green technologies in its head office at 23rd and 24th Floor, Emperor Group Centre, 288 Hennessy Road, Wan Chai, Hong Kong (“Hong Kong Office”) and its branches.

Electricity consumption is the primary source of carbon emissions in the Group’s operation. Several measures have been or will be adopted to reduce its energy consumption:

- Gradually replace low efficiency traditional lights with high efficiency new lights
- Higher priority will be given to purchasing electrical appliances with high energy efficiency grades
- Apply energy-saving modes by default for all electrical appliances

2.1 環境政策

於本年度，本集團繼續致力在業務活動及工作場所實踐環境保護。本集團亦教育其僱員提升對綠色環境的意識。本集團努力辨識及管理其業務對環境造成之影響，務求將該等影響盡可能減至最低。本集團已採取多項措施以降低能源及其他資源消耗、減廢及增加循環再用，並在其供應鏈及市場中推行環保。該等措施載於本報告第2.2「資源使用」章節。

此外，本集團將剩餘資金存放於由銀行提供的綠色存款計劃，以支持有利於環境的項目和業務，促進低碳、能適應氣候和可持續經濟的轉型。

2.2 資源使用

2.2.1 能源節約

全球暖化及氣候變化已成為全球各地關注的主要環境議題。為降低碳足跡及減少排放，本集團在其位於香港灣仔軒尼詩道288號英皇集團中心23樓及24樓的總辦公室（「香港辦公室」）及分行積極推行節能並採納綠色科技。

在本集團的營運中，電力消耗為最主要的碳排放來源。為減少能源消耗，本集團有若干項措施已被或計劃執行：

- 逐步更換傳統式低功效照明系統，至新式高功效照明裝置
- 優先選購高功效的電器
- 所有電器均會被預設以電力節省模式來運作

- Staff are required to turn off the lights and air-conditioning in their zones after work
- Some passenger lifts are switched off after office hours
- Staff are regularly reminded to turn off unnecessary electrical appliances to save electricity
- Constant room temperature are maintained with thermostats in the air conditioning system
- Energy-efficient LED light tubes are adopted in the indoor area as well as the advertising panel
- LED advertising panels are switched off during non-business hours
- 同事下班後需關閉各自區域的燈光及空調
- 於辦公時間後關掉部分乘客升降機
- 定時提醒員工把不必要的電器關掉，以節省電力
- 透過冷氣系統的恆溫器維持穩定室溫
- 室內空間以及廣告牌內已採用節能LED光管
- 在非營業時間內關掉LED廣告牌

To identify opportunities for increasing energy efficiency, the Group monitors the energy consumption intensity across its operations from time to time.

本集團不時在其經營範圍監察能源消耗情況，以發掘提升能源效率的機會。

2.2.2 Waste Reduction and Management

The Group engages employees in their waste behaviours and encourages recycling practices in the workplace. In the office building, the building's property management company has appointed recycling contractor to collect and recycle used papers, plastic bottles, aluminium, glasses, fluorescent tubes and computer equipment. Recycled bags are also put in the Hong Kong Office to collect waste papers for recycling.

2.2.2 減少及管理廢物

本集團讓員工參與廢物處理，並鼓勵他們在工作場所進行回收。在辦公大樓，大廈之物業管理公司已委聘回收承包商收集及回收使用過的紙張、塑膠瓶、鋁、玻璃、光管以及電腦設備。香港辦公室並放置了回收袋以收集廢紙作循環利用。



2.2.3 Paper Reduction

Office paper is the main non-hazardous wastes produced in the Group's operations. The Group continues to encourage a paperless working environment which not only reduces environmental damage but also fits commercial goals, as it can save physical space, facilitate information sharing via IT networks, and reduce complicated documentation procedures. In recent years, the Group has implemented paperless internal human resources processing such as employee time sheets, payrolls, leave applications, surveys, assessment papers, inspection forms and many more. The Group encourages its staff to recycle waste paper if possible, and use laptops or tablets instead of paper for meetings.

Partnering with its printing solutions provider, the Group has adopted "Follow You" print solution in the Hong Kong Office, helping the Group becoming more cost efficient through smarter printing. The print solution enables the Group to achieve environmental objectives by reducing unclaimed printing, as printing is released only upon presentation of a staff card from that particular staff who gives the printing instruction. Moreover, duplex printing and copying has become the norm within the Group, greatly reducing paper consumption and saving costs. Usage data of office printing machines is regularly collected and assessed for monitoring the efficiency of the paperless environment.

2.2.3 減少用紙

於本集團的營運中，辦公用紙為其主要的無害廢棄物。本集團繼續鼓勵無紙化的工作環境，不僅可減少對環境的破壞，亦具有多重商業裨益，包括節省空間、促進資訊科技網絡信息共享及減省繁複的文書程序等。近年來，本集團已實行內部人力資源無紙化流程，例如僱員工時表、糧單、假期申請、意見調查、評估報告及檢查表格等。本集團鼓勵員工盡量把廢紙循環再用，並鼓勵員工於會議期間以平板或手提電腦。

本集團與列印方案供應商合作，在香港辦公室處採用「Follow You」列印方案，透過智能列印促使本集團達致更佳的成本效益。由於作出列印指示的指定員工於打印時需要出示員工證方能進行打印，因此可減少無人認領列印的情況，從而使本集團達到環保目的。另外，雙面列印及複印已成為本集團內部慣例，大大減少紙張消耗及節省成本。本集團定期收集及評估辦公室打印機使用數據，以監控無紙化環境之成效。

**THINK
BEFORE YOU
PRINT**



The Group aims to promote environmental awareness, not only within the organisation, but also through engaging customers, encouraging a co-operative approach to minimising its environmental impact. The formalities for opening a securities account involve a considerable amount of paperwork. In view of this, the account opening form has been modified to minimise paper usage. To encourage the migration of customers' account statements from a print format to electronic version, a surcharge is applied if clients opt to receive paper statements. As at 30 September 2021, the portion of customers adopting electronic statements increased to 90% (2020: 89%). In addition, the Group distributes the latest promotion information and notices via email and SMS instead of printed mails.

The Company strongly recommends shareholders to access its corporate communications, including financial reports, through the websites of the HKEX and the Company, instead of receiving printed form. By introducing electronic means of corporate communications to shareholders, the quantity of printed materials has been considerably reduced. This paperless practice thus helps to protect the environment, as well as save costs for stationery, printing and administrative charges, etc.

2.3 Climate Change Impact

The world's climate has changed significantly in the past decades — global temperatures have increased and extreme weather events are becoming more frequent and severe, which may cause disruptions to business operations globally, and in turn poses adverse effects to the macro economy.

The Group mainly engages in financial services business which does not involve production. The increase in temperature may lead to an increase in the energy consumption of the Group's offices and branches. The Group will continue to monitor the potential risks of climate change and its impacts on the Group's operations and customers, and devise and implement preventive and emergency measures accordingly. Besides, the Group will continue its efforts to control energy consumption and carbon emissions.

本集團旨在提升環保意識，不僅於公司內部，同時亦讓客戶參與其中，鼓勵共同協作減少對環境的影響。辦理開立證券賬戶涉及大量文書工作。有鑑於此，已改良開戶表格以減少紙張使用量。為鼓勵客戶將賬單由印刷版轉為電子版，倘客戶選擇收印刷賬單，將需繳付額外費用。於2021年9月30日，採用電子賬單之客戶佔比增加至90%（2020年：89%）。此外，本集團透過電子郵件及短訊而非印刷郵件發佈最新推廣資訊及通知。

本公司極力推薦股東利用港交所及本公司網站獲取公司通訊（包括財務報告）而非收取印刷文件。通過向股東引入電子版公司通訊，印刷量大幅減少。此無紙化的做法既可保護環境，亦可節約文儀用品、印刷及行政費用等。

2.3 氣候變化影響

世界氣候在過去數十年發生了重大變化—全球氣溫上升，極端天氣事件越趨頻繁及嚴重，這可能擾亂全球業務營運，從而對宏觀經濟構成不利影響。

本集團主要從事金融服務業務，並不涉及生產。氣溫上升可能會使本集團辦公室及分行的能源消耗有所提升。本集團將繼續監察氣候變化的潛在風險及對本集團的營運和客戶的影響，並制定及推行相應的預防和緊急應對措施。此外，本集團亦會繼續致力於控制能源消耗及碳排放。

2.4 Environmental Performance Summary

To illustrate the Group's sustainability performance, quantitative data has been collected from its Hong Kong Office, which occupies a gross floor area of 1,732 square metres. The relevant data is as follows:

2.4 環境保護績效概要

本集團於其香港辦公室收集量化數據，以展示本集團之可持續表現。其所佔總建築面積為1,732平方米。有關數據如下：

Indicators 指標	FY2019/20年度	FY2020/21年度
GHG Emissions 溫室氣體排放		
Scope 1 GHG emissions (kgCO ₂ e) 範疇1溫室氣體排放(每公斤二氧化碳當量排放)	N/A 不適用	N/A 不適用
Scope 2 GHG emissions (kgCO ₂ e) 範疇2溫室氣體排放(每公斤二氧化碳當量排放)	190,027	172,786
Scope 3 GHG emissions (kgCO ₂ e) 範疇3溫室氣體排放(每公斤二氧化碳當量排放)	21,672	28,915
Total (Scope 1, 2 & 3) GHG emissions (kgCO ₂ e) 溫室氣體排放總量(範疇1,2及3)(每公斤二氧化碳當量排放)	211,699	201,701
GHG emissions intensity (kg/m ²) 溫室氣體排放強度(公斤/平方米)	122	116
Energy Consumption 能源消耗		
Direct energy consumption (GJ) 直接能源消耗(千兆焦耳)	N/A 不適用	N/A 不適用
Indirect energy consumption (GJ) 間接能源消耗(千兆焦耳)	854	875
Total energy consumption (GJ) 能源消耗總量(千兆焦耳)	854	875
Energy consumption intensity (GJ/m ²) 能源消耗強度(千兆焦耳/平方米)	0.5	0.5
Waste Management 廢物處理		
General refuse disposed to landfills (kg) 棄置於堆填區的一般廢物(公斤)	4,023	4,613
General refuse intensity (kg/m ²) 一般廢物密度(公斤/平方米)	2.3	2.7
Total recycled waste (kg) 回收廢物總量(公斤)	671	786
Recycled waste intensity (kg/m ²) 回收廢物密度(公斤/平方米)	0.4	0.5

Note: As the Hong Kong Office did not have separate meters for water consumption measurement, hence water consumption data is not available.

備註：由於香港辦公室沒有獨立水錶量度耗水量，因此並未能提供耗水量數據。

The Group has set a target to reduce energy consumption by 5% in its Hong Kong Office by FY2025/2026 or before, with FY2020/2021 as the baseline.

本集團已訂立了目標，以2020/2021年度為基準，於2025/2026年度或之前在香港辦公室減少能源消耗5%。

3. WORKPLACE QUALITY

工作場所質素

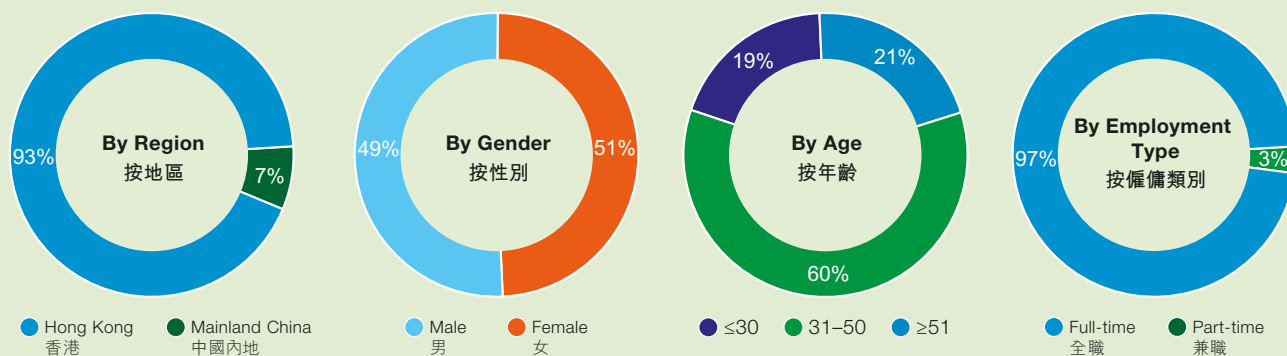
3.1 Workforce Distribution and Diversity

The Group believes that a motivated and balanced workforce is crucial for building a sustainable business model and delivering long-term returns.

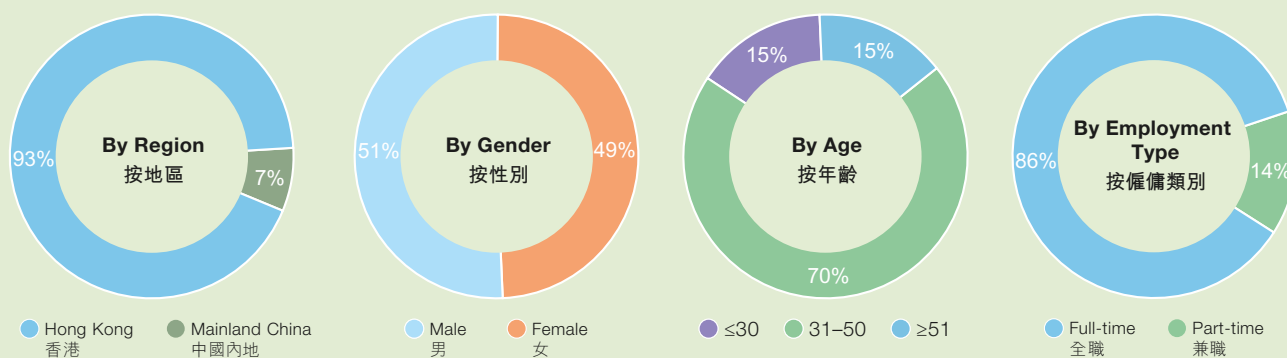
As at 30 September 2021, the full-time and part-time employees of the Group totalled 130 (2020: 131), working in the head office and branches in Hong Kong, and in liaison offices in the mainland China.

The demographics of the Group's workforce as at 30 September 2021 are summarised below:

FY2020/21年度



FY2019/20年度



3.1 員工分佈及職場多元化

本集團深信，積極主動且具均衡比例之員工團隊，是建立可持續經營模式及帶來長遠回報的關鍵元素。

於2021年9月30日，本集團合共僱有130（2020年：131）名全職及兼職僱員，於香港的辦公室及分行以及中國內地聯絡辦事處工作。

於2021年9月30日，本集團之員工分佈資料概述如下：

The Group has a diverse workforce in terms of gender and age, providing a variety of ideas and levels of competencies that contribute to the Group's success. The Group is firmly committed to gender equality, and particularly encourages female participation in the Board, and at managerial and operational levels.

本集團的員工團隊來自不同年齡層及性別，提供多元化的觀點及各種程度的技能，為本集團的成功作出貢獻。本集團一直堅守兩性平等原則，尤其支持女性在董事會、管理及營運層面之參與。

The management believes that employees are important assets of the Group, and remains committed to attracting and retaining talent with diverse backgrounds for achieving sustainable growth and maintaining a stable turnover rate. The turnover rates of the Group's workforce as at 30 September 2021 are as below:

管理層相信，員工乃本集團之重要資產，致力吸引並挽留不同背景的人才，以達致可持續增長及維持穩定的流失率。於2021年9月30日，本集團之員工流失率如下：

By Gender 按性別		By Age 按年齡		By Region 按地區	
Male 男	22%	<=30	12%	Hong Kong 香港	41%
Female 女	19%	31-50	28%	Mainland China 中國內地	0%
		>=51	1%		

3.2 Labour Standard

The Group strictly complies with the Employment Ordinance (Cap. 57, Laws of Hong Kong) and other statutory requirements regarding employment and labour practices. The Group is dedicated to providing equal opportunities in all aspects of employment and ensure the workplace is free from discrimination. The Group ensures employees receive fair and competitive remuneration packages in accordance with their experience, qualifications, performance and market rates, and are being reviewed on a regular basis. To attract and retain talent, comprehensive benefits are provided by the Group, such as employer's voluntary MPF contributions, medical coverage, life insurance and extra paid annual leave. Each Hong Kong employee is also entitled to one day of birthday leave, providing them with an additional day off in lieu of a birthday gift.

To ensure the staff clearly understand their rights and obligations, the employee handbook and other policies and guidelines are in place covering the areas of compensation and dismissal, recruitment, working hours, rest periods, equal opportunity, anti-discrimination and other fringe benefits, etc. The Group has been reviewing its related policies from time to time to ensure the Group complies with the latest statutory requirements. Also, a set of grievance procedures is also in place, to provide staff with a channel to confidentially escalate complaints and concerns to the Human Resources Department or Investigation Committee.

The Group fully complies with relevant laws and regulations in related regions concerning prevention of forced or child labour. In the recruitment process, the Group implements appropriate procedures to ensure that employment adheres to minimum age provisions of applicable laws. The Group also prohibits any form of forced labour. The age and identity of its employees are verified and employment contracts are entered into with each of its employees.

3.2 勞工標準

本集團嚴格遵守《僱傭條例》(香港法例第57章)及其他有關僱傭及勞工慣例的法定規定。本集團致力於在就業的各方面提供平等機會，並確保工作場所不存在歧視。本集團確保僱員基於其經驗、資歷、表現及市場工資水平獲得公平及具競爭力的薪酬待遇，並定期檢討有關待遇。為吸引和挽留人才，本集團提供全面的福利，例如僱主的自願性強積金供款、醫療保險、人壽保險及額外的薪年假。每名香港員工並可享有一日生日假期，為他們提供了額外的休息日以代替生日禮物。

為確保員工清楚瞭解自己的權利和義務，員工手冊及其他政策及指引，涵蓋薪酬及解僱、招聘、工作時間、休息時間、平等機會、反歧視以及其他額外福利等範疇。本集團不時檢討其相關政策，以確保本集團符合最新法定要求。另外，已制定申訴程序，為員工提供渠道，使員工可以保密方式向人力資源部或調查委員會提出投訴和關注事項。

本集團嚴格遵守在相關地區有關防止強迫勞動或童工的法律及法規。在招聘過程中，本集團實施適當程序以確保受僱員工符合適用法律的最低年齡規定。本集團亦禁止任何形式的強迫勞動。其僱員的年齡和身份均得到核實，並與每個僱員簽訂了僱傭合同。

The Group values workplace wellness practices that support employees' health and well-being. The Group encourages breastfeeding and provides a designated private space in the office building to support breastfeeding female employees to express breastmilk according to their schedule during working hours. These "Breastfeeding Friendly Workplace" measures demonstrate the Group's commitment to the well-being of its employees and their families.



本集團注重健康的工作場所，使員工體魄強健。本集團鼓勵母乳餵哺，並於辦公大樓提供特定具私穩的空間，以支援女性員工在工作時間內按照其時間表擠母乳。該等「母乳餵哺友善工作間」措施兌現本集團維護僱員及其家庭成員福祉的承諾。

3.3 Occupational Health and Safety

The Group prides itself on providing a safe, effective and congenial work environment for its staff. Health and safety training is provided to employees on induction. Workshops and seminars on different topics are regularly held, to present the latest information and raise awareness of occupational health and safety issues for employees.

The Group enhances emergency preparedness and ensures there are well-stocked first-aid kits in offices, warehouse and retail outlets to protect the health and safety of employees, in the event that they are injured at work. An automated external defibrillator ("AED") has been placed in the office building to rescue potential victims of sudden cardiac arrest. Besides, the Group has arranged staff who had received the Standard First Aid Certificate from the Hong Kong Red Cross to provide First Aid treatment to colleagues in the Hong Kong Office whenever needed.

3.3 職業健康及安全

本集團致力為員工提供安全、高效及舒適之工作環境，並引以為豪。於入職時，員工需接受健康及安全培訓。本集團定期舉辦不同主題的學習工作坊及研討會，以呈列最新資訊，及加強僱員對職業健康及安全方面的意識。

本集團提升應急準備能力及確保辦公室、倉庫及零售店內配備充足的急救箱，以於員工發生工傷時能保障員工的健康及安全。自動體外心臟去顫器（「AED」）已放置在辦公大樓，以供潛在心臟病患者在病發時進行救助。此外，本集團安排了已獲香港紅十字會急救證書之員工於需要時在香港辦公室為其他員工提供急救治療。



Every case of injury (if any) is required to be reported to the Human Resources Department and be individually assessed under the internal guideline procedures. During the Year, the number of lost days due to work injuries was zero (2020: zero). The number and rate of work-related fatalities are as below:

一旦發生工傷事故(如有)，必須通報人力資源部，並根據內部指引程序進行獨立評估。於本年度，因工傷損失工作日數為零(2020年：零)天。因工亡故的人數及比率如下：

Item項目	FY2018/19年度	FY2019/20年度	FY2020/21年度
Number of work-related fatalities 因工亡故的人數	0	0	0
Rate of work-related fatalities 因工亡故的比率	0	0	0



During the Year, the Hong Kong Office, along with many other units of the Emperor Group Centre, were awarded an “Indoor Air Quality Certification – Good Class” by the Environmental Protection Department, under its voluntary Indoor Air Quality Certification Scheme for Offices and Public Places.

In this regard, multiple air purifiers were placed in multiple locations in the Hong Kong Office.

於本年度，環境保護署根據其自願性辦公室及公眾場所室內空氣質素檢定計劃向香港辦公室連同英皇集團中心內其他眾多單位頒發「室內空氣質素檢定證書—良好級」。

就此而言，本集團放置了多部空氣淨化器並放置在香港辦事處的多個位置。

Precautions Against Covid-19 新冠病毒疫情預防措施

The Group prioritises its staff and customers at all times. In response to Covid-19, the Group has specially established a committee and formulated contingency plans with the involvement of the senior management team. Human resources issues have been discussed, and precautionary measures have been put in place.

The Group actively monitored the preventive measures taken by the office building's property management company, including posting health advice posters at eye-catching locations in the office building, and installing infrared temperature sensors in the lobby to check the body temperatures of everyone entering and leaving the building, to reduce the chance of infected persons entering the office building. The Group also further strengthened the disinfection and cleaning of the workplace, including meeting room facilities, table tops, and door handles, to maintain good environmental hygiene.

During the Year, the Group specially purchased and placed more air purifier in various locations in the Hong Kong Office to keep the workplace clean and safe. The Group has also purchased disinfectant coating sprayers to disinfect the Hong Kong Office on a regular basis. When the pandemic was most severe, regular Covid-19 testing was arranged for specific staff, and the Group took further measures and arranged for its staff to work from home according to the operational needs.

本集團一直將其員工及顧客放在首位。面對新冠病毒疫情，本集團在高級管理團隊的參與下，專門成立了一個委員會並制定了應變計劃，已就人力資源問題作出討論，並確保設有妥善的預防措施。

本集團積極監察辦公大樓之物業管理公司的防疫工作，包括在辦公大樓當眼處貼上健康指引海報、於辦公大樓大堂設置紅外線體溫探測儀器，以對出入大廈的所有人士探測體溫，減低染疫人士進入辦公大樓的機會。本集團亦進一步加強工作場所之消毒及清潔工作，包括會議室設施、桌面、門柄等，以保持良好的環境衛生。

於本年度，本集團特意購買更多空氣淨化器並放置於香港辦公室的多個位置，以確保工作場所清潔及安全。本集團並購置了消毒塗層噴霧機，定期為香港辦公室進行消毒。在疫情最嚴峻的時候，部分員工獲安排進行定期檢測，本集團並採取了進一步的措施，根據業務需要安排員工在家工作。





In December 2020, a confirmed Covid-19 case was identified in the office building. The Group promptly arranged a deep cleaning and thorough disinfection in the Hong Kong Office, to ensure a safe work environment for its staff.

In order to further contain the pandemic, the government has extended the Covid-19 vaccination programme to multiple age groups. The Group encourages employees to receive the vaccinations, and understanding that the employees may need more rest after the vaccinations, the management has specially granted two leave days for each Hong kong employee after receiving the vaccination to show its care for its employees.

於2020年12月，於本辦公大樓發現一個新冠病毒確診個案。本集團迅速在香港辦公室安排了深層清潔和徹底消毒，以確保其員工享有安全的工作環境。

為了盡一步控制疫情，政府把新冠病毒疫苗接種計劃範圍擴大至多個年齡層。本集團鼓勵員工接種疫苗，管理層理解員工在接種疫苗後可能需要更多的休息，因此特別為每位接種了疫苗的香港員工提供兩天假期，以表示對員工的關懷。

3.4 Development and Training

Recognising the importance of skilled and professionally trained employees, the Group offers comprehensive training to enhance the knowledge, skills and work capability of its staff. The Group encourages and provides subsidies to employees at all levels to pursue educational or training opportunities that achieve personal growth and professional development. A policy on External Training Subsidy is in place, allowing every staff member to develop and maintain job-related skills for full performance.

As the Group retains its position at the forefront of the vibrant market, the staff actively pursue professional trainings to enhance their technical knowledge and keep abreast of the latest developments. During the Year, the Group conducted in-house seminars and training covering anti-money laundering, updates to laws, codes, rules and regulations, and other topics related to licensed regulated activities, in order to maintain the highest standard of professional conduct and ethics by employees. The seminars and training were recognised by the Securities and Futures Commission (“SFC”), enabling licensed staff to fulfil the requirements for Continuous Professional Training.

The Group adopts a zero-tolerance approach towards all forms of corruption and bribery. This is clearly stipulated in all employees’ contracts which prohibits staff from accepting advantages, gifts or entertainment from all business partners. These policies are explained during induction training and freely accessible on the Group’s intranet. To maintain vigilance against corruption risks, the Group also offers internal refresher training such as talks or seminars on business ethics on a regular basis, delivered by the Independent Commission Against Corruption.

During the Year, the number of training hours of the staff of the Group are as below:

Item項目	FY2019/20年度	FY2020/21年度
Total training hours 總培訓時數	727	740
Average training hours per employee 每名員工平均培訓時數	6	6

3.4 發展及培訓

本集團明白技能熟練及經專業培訓的員工之重要性，因此提供全面的培訓以提升員工的知識、技能及工作能力。本集團鼓勵並資助各級員工進修或參與培訓，以實現其個人成長及專業發展。本集團設外間進修資助政策，讓每個員工能發展及維持工作技能，發揮最佳表現。

本集團保持其於充滿活力的市場的最前線位置，其員工不斷積極尋求專業培訓以提升技術知識，及時了解最新發展動向。於本年度，本集團舉辦內部研討會及培訓，內容涵蓋反洗錢、法律、守則、規則及法規之最新資訊以及有關持牌受規管活動之其他主題，讓員工保持最高標準之職業操守及道德。研討會及培訓乃獲證券及期貨事務監察委員會（「證監會」）認可，以確保持牌員工符合持續專業培訓之要求。

本集團對一切形式的貪污和賄賂採取零容忍的態度。這在所有僱傭合同中均有明確規定，禁止員工接受所有商業夥伴的好處、禮物或娛樂。這些政策已在入職培訓時作出解釋，並可在本集團內部網上自由查閱。為了保持對貪污風險的警惕性，本集團還定期提供內部進修培訓，如由廉政公署舉辦的商業道德講座或研討會。

於本年度，本集團員工的培訓時數如下：

3.5 Work-life Balance

The Group believes that maintaining work-life balance is essential for sustainability and a sound body and mind for every employee. To support employees in maintaining work-life balance and creating spirit amongst employees, the Group continued to organise a number of activities for its employees during the Year.

3.5 工作與生活的平衡

本集團相信，維持工作與生活的平衡對每位員工的可持續發展及身心健康至為重要。為支持員工維持工作與生活的平衡及培養員工的團隊精神，本集團於本年度持續為員工舉辦多個活動。

Sports Day – Badminton Competition 全民運動日–羽毛球比賽

April 2021
2021年4月



The Group held a badminton competition to enhance communication and team spirit among colleagues, as well as encourage colleagues to exercise more to stay healthy.

本集團舉辦羽毛球比賽以增進同事之間的交流及提升團隊精神，並鼓勵同事多運動以保持身體健康。

Mid-Autumn Festival Delicacies 佳餚美饌賀中秋

September 2021
2021年9月



As a token of appreciation and to celebrate the Mid-Autumn Festival, mooncakes provided by The Emperor Hotel were given to and shared among employees in Hong Kong.

為表達本集團的心意及慶祝中秋節，香港員工獲贈並一同分享由英皇駿景酒店所提供的月餅。

Birthday Party

To create a harmonious working atmosphere and maintain a close relationship between team members, the Group held a birthday party once every few months, to celebrate the birthdays of its staff.

All these activities helped strengthen relationships between employees, boosted their morale and promoted a harmonious working environment.

生日會

為了營造和諧的工作環境，以及讓同事維持緊密的關係，本集團每隔數月便舉辦一次生日會，為員工慶祝生日。

該等活動均有助鞏固員工之間的關係、加強員工士氣，並締造和諧的工作環境。

4. OPERATING PRACTICE

經營常規

4.1 Supply Chain Management

The Group values mutually beneficial and longstanding relationships with its suppliers. The Group works closely with a number of services providers offering trading platform systems and financial information solutions in Hong Kong and mainland China. The selection of suppliers is based on criteria such as price, stability of the trading platform, customer service team responsiveness, capability and experience, with preference given to potential suppliers that demonstrate their commitment to the environment. The Group will also be alert to whether there is unfavourable news of its engaged suppliers on the environmental aspect. In the event of such news, the Group will internally discuss the need to change the supplier.

4.2 Product Responsibility and Customer Services

The Group has earned trusted relationships with its broad customer base through providing dedicated customer services.

The Group makes every effort to promptly and fairly investigate and resolve all disputes and complaints lodged by customers, according to clearly written internal procedures. The Group has set up designated channels – including hotline, facsimile and email – for clients to lodge complaints. All complaints received through these channels are diverted to and handled by the Complaint Officer. The hotline numbers and email address are shown on the daily and monthly client statements, to ensure clients are aware of the communication channels for lodging complaints. Upon receipt of a complaint, the Complaint Officer will investigate in a timely manner and report the findings to senior management. Senior management shall review the complaint and determine whether internal controls and procedures need to be enhanced or any other appropriate action is required to be taken.

During the Year, no customer complaint concerning dealing in securities was reported (2020: Nil).

4.1 供應鏈管理

本集團重視與其供應商建立互惠互利及長久的合作關係。本集團與多名在中國香港及中國內地提供交易平台系統及金融資訊解決方案的服務供應商保持緊密合作。甄選供應商乃根據價格、交易平台的穩定性、客戶服務團隊的回應速度、實力及經驗等準則而進行，潛在供應商若能履行環保者，會獲優先考慮。本集團亦會留意其使用的供應商在環境保護方面有否出現不利新聞。如有發現，本集團會進行內部討論，以決定是否需要更換供應商。

4.2 產品責任及客戶服務

本集團透過提供貼身的客戶服務獲得廣大客戶群之信任。

本集團力求根據清楚列明之內部程序，及時公平地調查並解決客戶提出之所有糾紛及投訴。本集團已設立指定渠道(包括熱線電話、傳真及電郵)供客戶提出投訴。通過該等渠道收到之所有投訴將轉達投訴主任並由其處理。該等熱線電話及電郵地址均顯示於每日及每月之客戶賬單上，以確保客戶知悉提出投訴之溝通渠道。於收到投訴後，投訴主任將及時作出調查，並將結果報告予高級管理層。高級管理層將審查投訴，並決定須否加強內部監控及程序或採取任何其他適當行動。

於本年度，概無(2020年：無)關於證券交易的客戶投訴。

As a comprehensive financial services provider, the Group comprises teams of professionals specialising in a wide array of services including brokerage, asset management, financing, and corporate finance advisory. As at 30 September 2021, 52 (2020: 50) employees and 76 (2020: 75) account executives of the Group were licensed with the SFC for various types of regulated activities: dealing in securities (Type 1), dealing in futures contracts (Type 2), advising on securities (Type 4), advising on futures contracts (Type 5), advising on corporate finance (Type 6), and asset management (Type 9), registered with Professional Insurance Brokers Association or Estate Agents Authority.

In recognition of its dedicated services and professionalism, the Group received the following awards during the Year:



Outstanding Corporate Strategy Award 2021,
East Week
東週刊—傑出企業策略大獎2021



“Best in Brokerage” Capital Merits of
Achievements in Banking & Finance Awards 2021,
Capital Magazine
資本雜誌—卓越金融證券商服務大獎2021

作為一家綜合金融服務供應商，本集團擁有由各種服務之專業人士組成的團隊，包括經紀、資產管理、貸款及企業融資顧問。於2021年9月30日，本集團52（2020年：50）名僱員及76（2020年：75）名客戶經理獲證監會許可從事各種受規管活動：證券交易（第1類）、期貨合約交易（第2類）、就證券提供意見（第4類）、就期貨合約提供意見（第5類）、就機構融資提供意見（第6類）以及資產管理（第9類），或已於香港專業保險經紀協會或地產代理監管局登記。

為表彰其熱誠的服務及專業水平，本集團於本年度獲得以下獎項：

4.3 Protection of Data

The Group places the utmost importance on protecting the privacy of its customers, partners and staff in the collection, handling, safekeeping, use and retention of their personal data. The Group adheres to the applicable data protection regulations and ensures appropriate technical measures are in place to protect personal data against unauthorised use or access. The Group also ensures that customers' personal data is securely stored, and processed only for the purpose for which it has been collected. Relevant staff are provided with adequate training in compliance with applicable laws on data privacy protection, to strengthen their awareness and to protect personal data against loss, unauthorised access, use, modification or disclosure. In addition, access to the customer database is limited to authorised staff, whilst authentication is required before accessing the data. To reduce the risk of identity theft, the Group takes appropriate measures to dispose of documents that contain customer information.

4.4 Protection of Intellectual Property

The Group protects its intellectual property rights by prolonged use and registration of domain names and various trademarks. The Group's trademarks and domain names are constantly monitored, and renewed prior to their expiration.

Besides, the Group immediately takes action against any fake news or infringing articles or materials in relation to the Group.

4.5 Anti-corruption/Anti-money Laundering

In order to enhance ethical corporate culture and practices, the Group has established policies and procedures for anti-corruption, anti-money laundering and counter-terrorist financing. To ensure and mitigate the associated risks, adequate procedures on customer screening and monitoring, "know your customer" practices, record keeping, and reporting suspicious circumstances are established in accordance with the relevant laws, codes and guidelines issued by the regulatory authorities.

4.3 資料保護

本集團在收集、處理、保管、使用及保存客戶、合作夥伴及員工的個人資料過程中，對保障彼等的私隱給予最高度的重視。本集團嚴格依循適用的資料保護法例並確保設立適當之技術措施，保障個人資料免被未經授權挪用或存取。本集團亦確保客戶個人資料獲安全妥善地儲存，並只會按收集時指定的用途處理。本集團根據資料私隱保護適用法律向相關員工提供充足培訓，以加強彼等的意識及保障個人資料，防止遺失、未經授權獲取、使用、修改或披露。此外，客戶資料庫只容許經授權員工存取，在存取資料前亦須進行驗證。為減低身份盜竊的風險，本集團於處置含有客戶資料的文件方面採取適當措施。

4.4 保護知識產權

本集團透過持續使用及登記域名與各類商標保障其知識產權。本集團商標及域名會獲持續監控及於屆滿時續期。

此外，本集團針對任何與本集團有關的欺詐或侵權物品或材料採取即時行動。

4.5 反貪污／反洗錢

為提升企業道德文化及常規，本集團已建立反貪污、打擊洗錢及恐怖分子資金籌集之政策及程序。為確保及減低相關風險，已按照監管機構頒佈之相關法律、法規及指引制定有關客戶篩選及監控、「了解你的客戶」常規、保存記錄以及舉報可疑情況的足夠程序。

It is essential for the Group's employees to acquire a better understanding of bribery, extortion, corruption and related acts. In addressing and mitigating corruption risks, a set of guidelines in giving and receiving gifts, or offer in the form of meals, accommodation and entertainment, as well as interacting with government officials, was established to outline acceptable and unacceptable conduct in employees' daily business activities. It targets to ensure every employee adheres to applicable legal requirements and make ethical business decisions. Special care must additionally be taken to ensure that all business dealings with government officials are conducted in a context that is free from any form of corrupt practices.

The Group has long adopted an Anti-money Laundering and Counter-Terrorist Financing Policy and Procedure ("AML Policy"). The AML Policy establishes the general framework for combating potential money laundering and financing of terrorism, and provides guidelines for preventing the Group's employees and clients, customers, suppliers, vendors and contractors from being misused for money laundering, terrorist financing or other financial crimes. The AML Policy indicates the kind of potentially suspicious transactions or activities that employees should look out for.

The Group has set out the key provisions relating to anti-corruption legislation. The Group has also adopted a whistleblowing policy and procedures for all levels and operation under the Group, so staff can raise concerns – in confidence – about possible improprieties such as misconduct and malpractice in any matter related to the Group. The Group's whistleblowing policy encourages all internal staff to report actual or suspected improper conduct, in confidence, to their immediate supervisor or the Group's Internal Audit Manager. These policies and procedures together with the code of conduct can be found in the employee handbook.

本集團之員工必須對賄賂、勒索、貪污及相關行為加深了解。為了針對及減低貪污之風險，本集團已就贈送及收受禮物、提供用餐、住宿及娛樂，以及與政府官員交涉制訂一套指引，列明員工日常業務活動中可接受及不可接受的行為。這旨在確保每位員工遵從適用的法律規定及作出合乎道德之商業決定。此外，還必須特別注意確保所有與政府官員進行的所有業務往來在不涉及任何形式的舞弊行為的情況下進行。

本集團多年來一直採納打擊洗錢及恐怖分子資金籌集政策及程序(「打擊洗錢政策」)。打擊洗錢政策確立了打擊潛在洗錢及恐怖主義資金籌集罪行的一般框架，並提供指引防止本集團的員工及客戶、顧客、供應商、賣方及承建商被濫用於洗錢、資助恐怖主義或其他金融罪行。打擊洗錢政策已列出部分潛在可疑交易或活動的指標，供員工參考。

本集團已制定防止貪污法例之主要條文。本集團亦採納一套檢舉政策及程序，讓本集團所有層面及業務之員工可在保密的情況下就任何可能影響本集團之不當事宜(如不當及不法行為)進行舉報。本集團的檢舉政策鼓勵所有內部員工在保密的情況下向其直屬上司或本集團的內部審計經理舉報實際或疑似的不當行為。該等政策及程序連同行為守則可於員工手冊內查閱。

During the Year, no legal case regarding corrupt practices was brought against the Group or its employees. Also, no whistleblowing concerning a criminal offence or misconduct was reported.

The Group sets out a comprehensive framework of measures to prevent money laundering activities. At the time of account opening, the Group will perform a name search in an anti-money laundering database system provided by a third party vendor, in order to screen each new client against current terrorist and sanction designations, and check whether the client is a Politically Exposed Person (PEP). New account applications lodged by terrorists or sanctioned entities would be rejected. Regular name checks of existing clients against the latest terrorist and sanction list issued by US Treasury Department, as recommended by the regulators, are also conducted. The Group performs regular reviews on transactions by high-risk clients, in order to identify suspicious transactions. In the event that any suspicious transactions are noted, the Group will report them to the Joint Financial Intelligence Unit in due course.

於本年度，本集團或其員工並無面對任何有關貪污行為之法律起訴案件。同時，亦無涉及刑事罪行或不當行為之個案被舉報。

本集團制訂一套綜合框架措施以防止洗錢活動。於開立戶口時，本集團將在由第三方供應商提供之防止洗錢數據庫系統內進行名稱搜索，以識別每名新客戶是否牽涉當前恐怖分子及於制裁名單內，並檢查客戶是否為政治公眾人物(PEP)。恐怖分子或受制裁實體提出的新開戶申請會被拒絕。按監管機構建議，本集團亦根據美國財政部最新頒佈之恐怖分子及受制裁清單對現有客戶進行定期名稱檢查。本集團會對高風險客戶進行之交易進行定期審查，以識別可疑交易。倘知悉任何可疑交易，本集團將適時向聯合財富情報組舉報。

4.6 Compliance with Laws and Regulations

The Corporate Governance Committee is delegated by the Board to review and monitor the policies and practices on compliance with legal and regulatory requirements, including but not limited to the following ordinances which have significant impact on the Group:

- Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615, Laws of Hong Kong)
- Companies Ordinance (Cap. 622, Laws of Hong Kong)
- Competition Ordinance (Cap. 619, Laws of Hong Kong)
- Employment Ordinance (Cap. 57, Laws of Hong Kong)
- Money Lenders Ordinance (Cap. 163, Laws of Hong Kong)
- Personal Data (Privacy) Ordinance (Cap. 486, Laws of Hong Kong)
- Prevention of Bribery Ordinance (Cap. 201, Laws of Hong Kong)
- Securities and Futures Ordinance (Cap. 571, Laws of Hong Kong)
- Trade Descriptions Ordinance (Cap. 362, Laws of Hong Kong)

4.6 遵守法律及法規

董事會委派企業管治委員會檢視及監察有關法例及法規要求之政策及慣例，包括但不限於以下對本集團有重大影響的法例：

- 《打擊洗錢及恐怖分子資金籌集條例》(香港法例第615章)
- 《公司條例》(香港法例第622章)
- 《競爭條例》(香港法例第619章)
- 《僱傭條例》(香港法例第57章)
- 《放債人條例》(香港法例第163章)
- 《個人資料(私隱)條例》(香港法例第486章)
- 《防止賄賂條例》(香港法例第201章)
- 《證券及期貨條例》(香港法例第571章)
- 《商品說明條例》(香港法例第362章)

Details on the work of the Corporate Governance Committee can be found on page 44 of the Corporate Governance Report in the Company's Annual Report 2020/21.

The Legal and Compliance Department of the Group works to provide an in-house legal and compliance service that effectively supports various operation units in their duties and day-to-day operation to comply with all applicable laws, rules and regulations (such as Securities and Futures Ordinance and its subsidiary legislations, Prevention of Bribery Ordinance and Codes and Guidelines issued by SFC).

Updates to the relevant applicable laws, rules and regulations are brought to the attention of relevant employees and relevant operation units from time to time. The Group holds relevant required licenses for provision of services, such as dealing in securities and futures contracts; advising on securities and futures contracts; advising on corporate finance and asset management; and money lenders and insurance broker licenses, etc. The management must ensure that business is conducted in accordance with the relevant applicable laws and regulations.

企業管治委員會之工作詳情載於本公司2020/21年度報告企業管治報告第44頁。

本集團法律及合規部旨在提供內部法務及合規服務，有效支援多個營運單位於其職責及日常營運方面遵守所有適用法律、規則及法規(如證券及期貨條例及其附屬法例、防止賄賂條例以及證監會頒佈的守則及指引)。

相關員工及相關經營單位不時獲悉之相關適用法律、規則及法規之更新資訊。本集團持有提供服務所需之相關牌照，例如買賣證券及期貨合約、就證券及期貨合約提供意見、就企業融資及資產管理提供意見，以及放債人及保險經紀牌照等。管理層須確保所從事業務乃符合適用之法律及法規。

5. COMMUNITY INVOLVEMENT

參與社區活動

Embracing the mission “From the Community, To the Community”, the Group actively promotes diverse community campaigns spanning elderly welfare, underprivileged communities and environmental conservation initiatives. The Group’s management team also plays an important role in mobilizing staff to join all these activities, which are held in tandem with its commitment to sustainable development.

The Group has been awarded the 10 Years Plus Caring Company Logo by the Hong Kong Council of Social Service, recognising its ongoing commitment to fulfilling its corporate social responsibilities.

本集團獲香港社會服務聯會頒發10年或以上「商界展關懷」標誌殊榮，表揚其履行企業社會責任的持久承諾。

以「取諸社會，用諸社會」為使命，本集團積極推廣多種社區活動，涵蓋長者福利、弱勢社群及環保行動。該等活動與本集團可持續發展之承諾相輔相承，而本集團管理層團隊在動員參與該等活動方面亦擔任重要角色。



5.1 Charitable Sponsorship and Donations

The Group mobilises its staff to participate in fundraising campaigns to help underprivileged people in the community. Major charity donation and fundraising campaigns during the Year include:

5.1 慈善贊助及捐贈

本集團推動員工參與籌款活動，幫助社區弱勢群體。於本年度，主要慈善捐贈及籌款活動包括：

Dress Casual Day 公益金便服日

October 2020
2020年10月



This year’s theme was “We We Wear Wear”. Participating staff members each donated HK\$70 or more to The Community Chest of Hong Kong, and put on casual wear for dress casual day. Employees joined the campaign and showed their support.

本年主題為「We We Wear Wear」，每位參與同事均捐出70港元或以上予香港公益金，便可於便服日穿上便服。員工一同參與活動以示支持。

Heep Hong Society Flag day 協康會賣旗日

December 2020
2020年12月

The Group joined Heep Hong Society Flag day, raising funds for the society's "Parent Resource Centre", so that children, young adults and their families with various needs can receive appropriate professional treatment, education and family support services.

本集團參與協康會舉辦之賣旗籌款日，為轄下的「家長資源中心」籌募經費，讓有各種需要的兒童、青年及其家庭得到適切的專業治療、教育及家庭支援服務。



Skip Lunch Bay 公益行善折食日

March 2021
2021年3月



By making a donation of HK\$35 or more, each donor would receive a Skip Lunch Day coupon as a token of appreciation. Coupon holder could redeem designated items at any Hung Fook Tong outlets in Hong Kong in a specified period. The donation were used to support The Community Chest and its member agencies, to improve the lives of street sleepers, and people living in cage homes and cubicles.

凡捐款港幣35元或以上，每位捐款者即可獲得「折」食愛心券一張。持券者可於指定期間於全港鴻福堂門市換領指定產品。捐款用以支持公益金及其轄下會員機構，幫助露宿者、籠屋及板間房居民改善生活。

Hong Kong Seeing Eye Dog Flag Day 香港導盲犬服務中心賣旗日

May 2021
2021年5月

Through making donations to the flag day, the Group fundraised for breeding and training seeing eye dogs, so that more visually impaired people are provided with well-trained seeing eye dogs.

透過捐款予賣旗日，本集團為導盲犬的培育和訓練籌款，以使更多視障人士獲提供培訓有素的導盲犬。

Hong Kong Seeing Eye Dog Never Golf Alone 香港導盲犬服務中心哥爾夫球慈善賽

September 2021
2021年9月



Through making donations to the charity golf competition, the Group fundraised to support breeding and training of seeing eye dogs, so that more visually impaired people are provided with well-trained seeing eye dogs.

透過捐款予哥爾夫球慈善賽，本集團支持導盲犬的培育和訓練籌款，以使更多視障人士獲提供培訓有素的導盲犬。

5.2 Environmental Conservation

The Group is dedicated to promoting environmental awareness through green education.

Earth Hour 地球一小時

March 2021
2021年3月

The Group's Hong Kong Office joined the millions of people around the globe and turned off its office lights in support of WWF's Earth Hour, an annual event to raise awareness of climate change.

5.3 Education

As young people are our future, the Group is also committed to nurturing the future leaders of society through education.

Summer Internship Programme 暑期實習課程

July 2021
2021年7月

Through this programme, the Group contributed to society by helping to nurture the future leaders. At the same time, the Group could learn from young people, and bring in more innovative elements to optimise its services.



5.2 環境保護

本集團致力通過綠色教育宣揚環保意識。



為響應世界自然基金會一年一度的「地球一小時」活動，本集團香港辦公室與全球數百萬人一同參與關閉辦公室照明燈。活動旨在提高人們對氣候變化的意識。

5.3 教育

年青人是我們的未來，因此本集團亦致力透過教育培育社會的未來領袖。

透過此課程，本集團幫助培育社會未來領袖以回饋社會。與此同時，本集團能夠從年青人學習，帶入更多創新元素並優化其服務。

6. APPENDIX: HKEX ESG REPORTING GUIDE CONTENT INDEX

附錄：港交所環境、社會及管治報告指引內容索引

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
A. Environmental 環境		
Aspect A1: Emissions 層面A1: 排放物		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste. 有關廢氣及溫室氣體排放、向水及土地的排污、有害及無 害廢棄物的產生等的： (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。	2.1
KPI A1.1 指標A1.1	The types of emissions and respective emissions data. 排放物種類及相關排放數據。	2.4
KPI A1.2 指標A1.2	Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions and, where appropriate, intensity (e.g. per unit of production volume, per facility). 直接(範圍1)及能源間接(範圍2)溫室氣體排放量及(如適 用)密度(如以每產量單位、每項設施計算)。	2.4
KPI A1.3 指標A1.3	Total hazardous waste produced and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生有害廢棄物總量及(如適用)密度(如以每產量單 位、每項設施計算)。	Not applicable <i>In view of its business nature, the Group does not directly generate any hazardous waste.</i> 不適用 基於其業務性質，本集團 不會直接產生大量有害廢 棄物。
KPI A1.4 指標A1.4	Total non-hazardous waste produced and, where appropriate, intensity (e.g. per unit of production volume, per facility). 所產生無害廢棄物總量及(如適用)密度(如以每產量單 位、每項設施計算)。	2.4

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
KPI A1.5 指標A1.5	Description of emissions target(s) set and steps taken to achieve them. 描述所訂立的排放量目標及為達到這些目標所採取的步驟。	2.2, 2.4
KPI A1.6 指標A1.6	Description of how hazardous and non-hazardous wastes are handled, and a description of reduction target(s) set and steps taken to achieve them. 描述處理有害及無害廢棄物的方法，及描述所訂立的減廢目標及為達到這些目標所採取的步驟。	2.2, 2.4
Aspect A2: Use of Resources 層面A2: 資源使用		
General Disclosure 一般披露	Policies on the efficient use of resources, including energy, water and other raw materials. 有效使用資源(包括能源、水及其他原材料)的政策。	2.1, 2.2
KPI A2.1 指標A2.1	Direct and/or indirect energy consumption by type (e.g. electricity, gas or oil) in total and intensity (e.g. per unit of production volume, per facility). 按類型劃分的直接及／或間接能源(如電、氣或油)總耗量及密度(如以每產量單位、每項設施計算)。	2.4
KPI A2.2 指標A2.2	Water consumption in total and intensity (e.g. per unit of production volume, per facility). 總耗水量及密度(如以每產量單位、每項設施計算)。	Not applicable <i>The Group operates in leased premises. The water consumption data for individual occupants is not available.</i> 不適用 本集團於租用物業營運，並無獲提供個別租戶的耗水數據。
KPI A2.3 指標A2.3	Description of energy use efficiency target(s) set and steps taken to achieve them. 描述所訂立的能源使用效益目標及為達到這些目標所採取的步驟。	2.2, 2.4

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
KPI A2.4 指標A2.4	Description of whether there is any issue in sourcing water that is fit for purpose, water efficiency target(s) set and steps taken to achieve them. 描述求取適用水源上可有任何問題，以及所訂立的用水效益目標及為達到這些目標所採取的步驟。	Not applicable <i>The Group did not encounter any problems in sourcing water for its daily operations.</i> 不適用 本集團在日常營運中，在覓水源方面並無遇到任何問題。
KPI A2.5 指標A2.5	Total packaging material used for finished products and, if applicable, with reference to per unit produced. 製成品所用包裝材料的總量及(如適用)每生產單位估量。	Not applicable 不適用
Aspect A3: The Environment and Natural Resources 層面A3: 環境及天然資源		
General Disclosure 一般披露	Policies on minimising the issuer's significant impacts on the environment and natural resources. 減低發行人對環境及天然資源造成重大影響的政策。	2.1, 2.2
KPI A3.1 指標A3.1	Description of the significant impacts of activities on the environment and natural resources and the actions taken to manage them. 描述業務活動對環境及天然資源的重大影響及已採取管理有關影響的行動。	2.2
Aspect A4: Climate Change 層面A4: 氣候變化		
General Disclosure 一般披露	Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer. 識別及應對已經及可能會對發行人產生影響的重大氣候相關事宜的政策。	2.3
KPI A4.1 指標A4.1	Description of the significant climate-related issues which have impacted, and those which may impact, the issuer, and the actions taken to manage them. 描述已經及可能會對發行人產生影響的重大氣候相關事宜，及應對行動。	2.3

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
B. Social B. 社會		
Employment and Labour Practices 僱傭及勞工常規		
Aspect B1: Employment 層面B1: 僱傭		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare. 有關薪酬及解僱、招聘及晉升、工作時數、假期、平等機會、多元化、反歧視以及其他待遇及福利的： (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。	3.2
KPI B1.1 指標B1.1	Total workforce by gender, employment type (for example, full- or part-time), age group and geographical region. 按性別、僱傭類型(如全職或兼職)、年齡組別及地區劃分的僱員總數。	3.1
KPI B1.2 指標B1.2	Employee turnover rate by gender, age group and geographical region. 按性別、年齡組別及地區劃分的僱員流失比率。	3.1 Briefly discussed 已概括說明
Aspect B2: Health and Safety 層面B2: 健康與安全		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to providing a safe working environment and protecting employees from occupational hazards. 有關提供安全工作環境及保障僱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。	3.3

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
KPI B2.1 指標B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year. 過去三年(包括匯報年度)每年因工亡故的人數及比率。	3.3
KPI B2.2 指標B2.2	Lost days due to work injury. 因工傷損失工作日數。	3.3
KPI B2.3 指標B2.3	Description of occupational health and safety measures adopted, and how they are implemented and monitored. 描述所採納的職業健康與安全措施，以及相關執行及監察方法。	3.3
Aspect B3: Development and Training 層面B3: 發展及培訓		
General Disclosure 一般披露	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities. 有關提升僱員履行工作職責的知識及技能的政策。描述培訓活動。	3.4
KPI B3.1 指標B3.1	The percentage of employees trained by gender and employee category (e.g. senior management, middle management). 按性別及僱員類別(如高級管理層、中級管理層等)劃分的受訓僱員百分比。	3.4 Briefly discussed 已概括說明
KPI B3.2 指標B3.2	The average training hours completed per employee by gender and employee category. 按性別及僱員類別劃分，每名僱員完成受訓的平均時數。	3.4 Briefly discussed 已概括說明
Aspect B4: Labour Standards 層面B4: 勞工準則		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to preventing child and forced labour. 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。	3.2

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
KPI B4.1 指標B4.1	Description of measures to review employment practices to avoid child and forced labour. 描述檢討招聘慣例的措施以避免童工及強制勞工。	3.2
KPI B4.2 指標B4.2	Description of steps taken to eliminate such practices when discovered. 描述在發現違規情況時消除有關情況所採取的步驟。	3.2 Briefly discussed 已概括說明
Operating Practices 營運慣例		
Aspect B5: Supply Chain Management 層面B5: 供應鏈管理		
General Disclosure 一般披露	Policies on managing environmental and social risks of the supply chain. 管理供應鏈的環境及社會風險政策。	4.1
KPI B5.1 指標B5.1	Number of suppliers by geographical region. 按地區劃分的供應商數目。	4.1 Briefly discussed 已概括說明
KPI B5.2 指標B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, and how they are implemented and monitored. 描述有關聘用供應商的慣例，向其執行有關慣例的供應商數目，以及相關執行及監察方法。	4.1 Briefly discussed 已概括說明
KPI B5.3 指標B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored. 描述有關識別供應鏈每個環節的環境及社會風險的慣例，以及相關執行及監察方法。	4.1
KPI B5.4 指標B5.4	Description of practices used to promote environmentally preferable products and services when selecting suppliers, and how they are implemented and monitored. 描述在揀選供應商時促使多用環保產品及服務的慣例，以及相關執行及監察方法。	4.1

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
Aspect B6: Product Responsibility 層面B6: 產品責任		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress. 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。	4.2
KPI B6.1 指標B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons. 已售或已運送產品總數中因安全與健康理由而須回收的百分比。	Not applicable 不適用
KPI B6.2 指標B6.2	Number of products and service related complaints received and how they are dealt with. 接獲關於產品及服務的投訴數目以及應對方法。	4.2
KPI B6.3 指標B6.3	Description of practices relating to observing and protecting intellectual property rights. 描述與維護及保障知識產權有關的慣例。	4.4
KPI B6.4 指標B6.4	Description of quality assurance process and recall procedures. 描述質量檢定過程及產品回收程序。	4.2
KPI B6.5 指標B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored. 描述消費者資料保障及私隱政策，以及相關執行及監察方法。	4.3

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
Aspect B7: Anti-Corruption 層面B7: 反貪污		
General Disclosure 一般披露	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer relating to bribery, extortion, fraud and money laundering. 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。	4.5
KPI B7.1 指標B7.1	Number of concluded legal cases regarding corrupt practices brought against the issuer or its employees during the reporting period and the outcomes of the cases. 於匯報期內對發行人或其僱員提出並已審結的貪污訴訟案件的數目及訴訟結果。	4.5
KPI B7.2 指標B7.2	Description of preventive measures and whistle-blowing procedures, and how they are implemented and monitored. 描述防範措施及舉報程序，以及相關執行及監察方法。	4.5
KPI B7.3 指標B7.3	Description of anti-corruption training provided to directors and staff. 描述向董事及員工提供的反貪污培訓。	3.5

Subject areas 主要範疇	Description 描述	Section of this report 本報告之章節
Community 社區		
Aspect B8: Community Investment 層面B8: 社區投資		
General Disclosure 一般披露	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities take into consideration the communities' interests. 有關以社區參與來了解發行人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。	5
KPI B8.1 指標B8.1	Focus areas of contribution (e.g. education, environmental concerns, labour needs, health, culture, sport). 專注貢獻範疇(如教育、環境事宜、勞工需求、健康、文化、體育)。	5
KPI B8.2 指標B8.2	Resources contributed (e.g. money or time) to the focus area. 在專注範疇所動用資源(如金錢或時間)。	5



英皇證券集團有限公司
Emperor Capital Group Limited