



JUN YANG FINANCIAL HOLDINGS LIMITED  
君陽金融控股有限公司

(Incorporated in Bermuda with limited liability)  
(Stock Code : 397)

# 環境、社會及管治報告

## ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

# 2016



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## INTRODUCTION

Jun Yang Financial Holdings Limited (the “Company” or “Jun Yang Financial” together with its subsidiaries, the “Group”) is one of the comprehensive wealth management service providers in Hong Kong providing a full range of financial services. We enhance the business sustainability by doing well for our customers and to provide them with security and reliable services. We also operate our business with the highest standard of corporate governance, caring our staff and protecting the environment.

We are pleased to present our first Environmental, Social and Governance (“ESG”) Report. This report is written in accordance with the requirements of Environmental, Social and Governance Reporting Guide as set out in Appendix 27 to the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited (the “Stock Exchange”). It summarizes the ESG performances of Jun Yang Financial and its securities business from 1 January 2016 to 31 December 2016 (the “Year”).

## 簡介

君陽金融控股有限公司(「本公司」或「君陽金融」，連同其附屬公司統稱「本集團」)為一家於香港的綜合財富管理諮詢公司，提供全方位的金融服務。為提升企業可持續性，我們一貫以誠待客，提供安全可靠的服務。我們的營運奉行最高的企業管治、關懷員工與保護環境。

我們欣然發表首份「環境、社會及管治報告」，本報告根據香港聯合交易所有限公司(「聯交所」)證券上市規則附錄二十七所載之《環境、社會及管治報告指引》編寫，敘述君陽金融及其證券業務於二零一六年一月一日至二零一六年十二月三十一日(「本年度」)期間之環境、社會及管治表現。

## COMMUNICATE WITH OUR STAKEHOLDERS

We build close relation with our stakeholders to understand their expectation in order to improve our management and operation efficiency. The engagement provides us a channel to listen and responds to their feedback. Various channels have been used to communicate with our stakeholders. Shareholders are communicated through the Company's announcements, circulars, financial reports, shareholders' meetings etc. Financial reports, circulars and announcements are provided in a timely manner in the Stock Exchange website and the Company website respectively. Email, meetings and company website are also used to communicate with all kinds of stakeholders.

## 與持份者溝通

本公司致力與持份者建立緊密聯繫，以了解他們的期望，務求提升管理與營運效率，提供一個渠道聆聽及回應持份者的意見。我們採用不同方式與持份者溝通。本公司會以公告、通函、財務報告以及股東大會與股東進行溝通。財務報告、通函及公告會適時上載於聯交所及本公司網站。電郵、會議及公司網站亦會用作與持份者溝通。

The image features a vibrant green background with various abstract elements. In the top-left and bottom-left corners, there are faint line graphs with circular markers. Large, semi-transparent green leaf shapes are scattered across the background. A central focus is a white rectangular frame with a yellow border, containing the text 'ENVIRONMENTAL' in white uppercase letters and '環境' in white Chinese characters below it. Several dark blue and green leaf shapes are layered over the frame.

**ENVIRONMENTAL**  
環境

Environmental protection has played a major role in sustainable development. We believe that business growth should not come at the expense of the environment. The Group is trying to reduce the carbon footprint wherever possible. We have started to collect our emission information and looking forward to disclosing such information in the future.

環境保護在可持續發展範疇中有著重要的影響。我們深信企業發展不應建基於損害環境之上。本集團盡力減少碳足跡，並開始收集排放物資料，期待在日後報告披露相關資料。

## PROTECTING THE ENVIRONMENT FROM OFFICES

## 從辦公室開始的環境保護

Electricity and water consumption is the major source of emissions for our office based operation. We have implemented environment measures to conserve electricity and water consumption.

排放物的來源主要是辦公室的電力及水的消耗。我們實施了多項環保措施，以節省水電的用量。

### Energy and water

### 能源與水源

- ☞ Adjust air-conditioners' temperature to 23°C
- ☞ Staff are encouraged to switch off all the electrical appliances, lights and office equipment when they are not in use
- ☞ Water saving notices are showed in the pantry
- ☞ Using energy-saving electrical appliances with "Grade 1" energy label, such as refrigerator

- ☞ 調節冷氣溫度至23°C
- ☞ 鼓勵員工關掉非使用中的電器、燈及辦公室設備
- ☞ 在茶水間貼出節約用水告示
- ☞ 採用具一級能源效益標籤的節能電器，如雪櫃

### Business travel

### 公幹出差

- ☞ Installed tele-conference and video-conference systems to reduce business travel

- ☞ 安裝電話會議及視像會議系統，減省出差

### Paperless office

### 無紙辦公室

- ☞ Promote electronic mailing
- ☞ Adopt electronic filing system
- ☞ Paperless notice is posted for raising staff's environmental protection awareness

- ☞ 鼓勵員工多用電子郵件
- ☞ 採用電子檔案管理系統
- ☞ 張貼有關無紙措施的告示，提高員工的環保意識

### Waste reduction

- ☞ Encourage staff to print double-sided documents to reduce paper usage
- ☞ Encourage staff to reuse the paper which has been used on one side only
- ☞ Encourage staff to reuse stationery, e.g. used envelop and document folder
- ☞ Encourage staff to use re-useable cup and cutlery instead of disposable tableware
- ☞ Empty ink cartridges, copier toner containers and waste paper are recycled
- ☞ Use hand drier to reduce paper towel usage

### GREEN EXPERIENCE FOR OUR CUSTOMERS

It has been the norm for the securities to be traded online by the customers themselves. It has not only reduced communication error but has also led to paperless operation. We opt to provide our clients with smooth and reliable online trading platform. In order to further promote paperless operation, we have provided our clients with e-statement. With the free e-statement service, transaction details can be showed on the screen and therefore reduced the carbon footprint.

### 減少排廢

- ☞ 鼓勵員工雙面列印文件，減少用紙
- ☞ 鼓勵員工翻用只寫過一面的紙張
- ☞ 鼓勵員工重用文具，例如舊信封、文件夾
- ☞ 鼓勵員工使用可循環再用的杯及餐具，代替即棄餐具
- ☞ 回收墨盒、影印機碳粉盒及廢紙
- ☞ 使用乾手機，減少使用抹手紙

### 客戶環保體驗

客戶於網上自行買賣證券已成為常態，不僅有效減少溝通上的錯誤，更可達到無紙營運。我們致力為客戶提供流暢可靠的網上買賣平台。為進一步推廣無紙營運，我們亦會為客戶提供電子結單，交易細節將透過這項免費服務於電腦畫面上詳細列明，從而減少碳足跡。



**SOCIAL**  
社會



## EMPLOYMENT

Employees are our key to success. Without our staff contribution, Jun Yang Financial is not able to achieve today's outcome. We have developed an active and innovative company culture by providing our staff with a safe and supportive working environment which enabling them to present their skills and capabilities. During the Year, the Group complied with all relevant employment laws and regulation.

## EQUAL OPPORTUNITIES

We respect all equal right in recruitment and promotion. Staff will not be discriminated because of their gender, age, disabilities, marital status, pregnancy, family status, sexual orientation, race and background. We only consider the employees' performance and experience. There was no discrimination case being reported or complaint being received concerning equal opportunity, remuneration, dismissal, recruitment, promotion, working hours, rest period and other welfare and benefits during the reporting year.

## HEALTH AND SAFETY

We believe that a safe and pleasant environment could enhance efficiency. Office safety can be improved through staff awareness. We identified the hazard workplace area and introduced the safety booklet through our intranet. Medical and dental insurances are provided to the permanent employees for a full coverage of personal health care. We promise to comply with the laws and regulations regarding occupational health and safety. We are pleased that there was no incident happened during the Year.

## 人才招聘

員工是本公司成功的關鍵。沒有員工的努力，君陽金融絕對無法獲得今日的成就。我們建立活力創新的公司文化，為員工提供安全及具支援性的工作環境，讓各人發展所長。於本年度內，本集團符合所有有關僱傭的法律及法規。

## 平等機會

我們在招聘及晉升時均奉行平等機會原則，員工不會因性別、年齡、殘疾、婚姻狀況、懷孕、家庭崗位、性傾向、種族、文化及背景等受到歧視。我們只會將員工的工作表現及經驗納入考慮。在報告年度，本公司並無接獲任何與平等機會、薪酬、解僱、招聘、晉升、工作時數、假期及其他福利相關的歧視舉報或投訴個案。

## 健康與安全

我們深信安全愉快的工作環境有助提升工作效率。提高員工的警覺性有助改善辦公室安全。我們找出潛在安全風險的工作區域，並在內聯網上載安全小冊子。全職員工可享醫療及牙科保險，全面保障其個人健康。我們承諾恪守職業健康與安全相關的法律及法規，並慶幸本年度無發生任何事故。

## DEVELOPMENT AND TRAINING

In this fast changing environment and competitive market in Hong Kong, the Group is always making changes to fit clients' expectations. We rely on our workforce to deliver the best service to our clients. We conduct adequate trainings as well as seminars in order to assist our employees to equip themselves for meeting the challenges. Orientation training and staff handbook are provided for the new joiners so that they can better understand our company culture and their job duties. The new joiners are guided by a senior staff during their probation period and they are encouraged to exchange ideas in order to create innovation in the Group.

We do our best to provide our employees with an open communication and rewarding work place. All staff are required to participate in the yearly performance appraisal. It provides a platform for staff to discuss with their supervisors the needs and expectations. We also use this appraisal platform to evaluate and make decision regarding promotion and career development.

## LABOUR STANDARDS

A lot of Hong Kong workers are suffering from long working hours. We believe that long working hours will reduce the productivity level and results in higher health cost. We understand the importance of work-life balance. The Group implements five working days per week that can provide our staff with more leisure time to spend with their families. Employees are entitled to statutory holidays and different types of paid leave including annual leave, sick leave, maternity leave, paternity leave, compensation leave, compassionate leave and injury leave. We neither encourage nor force our workforce to work overtime. The workflow will be reviewed when we encounter huge amount of overtime.

## 發展與培訓

香港營商環境瞬息萬變、競爭激烈。本集團致力求變，務求迎合客戶期望。我們有賴員工為客戶提供優越的服務。我們舉辦培訓與研討會，協助員工裝備自己，迎接挑戰。迎新培訓及員工手冊會提供予新入職員工，以便他們更能深入了解本公司文化及職責。資深員工會在試用期內帶領新入職員工，並鼓勵他們勇於發表意見，為集團提出創新思維。

我們致力為員工創造坦誠溝通、合理回報的工作環境。全體員工都須參與年度工作表現評核，員工藉此可與上司討論需要與期望。我們亦會善用此平台，協助評估及決定員工晉升與事業發展。

## 勞工準則

香港很多僱員都面對工作時間過長。我們深信長時間工作會令生產力下降，因而衍生更大的醫療開支。本集團實行五天工作周，讓員工享有更多時間，與家人相處。僱員可享受法定假期及不同的有薪假期，包括年假、病假、產假、侍產假、補假、恩恤假及傷假等。我們不鼓勵亦不強逼員工超時工作。如遇員工大幅超時工作的情況，我們會即時檢討現有工作流程並給予改善。



# OPERATING PRACTICES

營運實務

## SUPPLY CHAIN MANAGEMENT

We rely on our vendors and third party financial product suppliers to support our service-based business. We carefully select our vendors so as to mitigate the risks. Supplier is not our primary driver in our business. However, we keep a good relationship with our suppliers and service providers for positive cooperation.

## PRODUCT RESPONSIBILITY

Our services are regulated by the Securities and Futures Commission, and we have fully complied with the regulations and ordinance. Our sales and dealers have qualified with the required qualification and to provide adequate and accurate information at all times.

Jun Yang Financial opts to provide with our clients the best experience by using our online securities services. The online system is running at the highest level of security, and we have engaged the service provider to review the system security every year. The systems are backed up everyday after the trading hours.

Investors are always looking for the best return from their investments in this unstable economy. With our expertise in the industries, we have organised series of seminars for the investors to identify risks and to optimise their return on investment.

## 供應鏈管理

我們依賴承辦商及第三方金融產品供應商支援我們的業務。我們謹慎選擇承辦商，以減低風險。本公司業務並非由供應商推動，但我們仍會與供應商及服務供應商保持良好關係。

## 產品責任

我們的服務由證券及期貨事務監察委員會監管，而我們完全符合相關規則與條例。我們的銷售員與交易員已考獲所需資格，為客戶提供合乎需要及準確的資訊。

君陽金融致力為客戶締造最優越的網上證券服務。網上系統以最高保安規格運作，而我們每年亦會聘請服務供應商檢查系統，並於每日交易時段後為系統數據備份。

投資者在經濟不穩的時刻自當追求最高回報。我們身為業內專才，不時舉辦研討會，協助投資者識別風險，提升投資回報。

## ANTI-CORRUPTION

The Group is committed the highest standard of corporate governance. The board of directors of the Company (the "Board") are different from the organisation management. Audit committee, remuneration committee and nomination committee are set up to assist the Board to oversee the operation and control of the Group. Details of the corporate governance of the Group, please refer to our corporate governance report on pages 28 to 36 of the Company's annual report for the year ended 31 December 2016.

There are zero tolerance on corruption, bribery, extortion, fraud and money laundering. Anti-money laundering manual and procedures are set out based on the Securities and Futures Ordinance and any suspected cases will be reported to the management.

All staff are required to provide true and real information at all time. Business Ethic Code is developed to ensure the Group operates at the highest integrity level. Conflict of interest needed to be reported in order to avoid any insider dealing or any criminal regime in client transactions. Refreshes training are carried out yearly. During the Year, the Group had organised seminar for our staff on anti-money laundering by the Hong Kong Independent Commission Against Corruption (ICAC). Any suspected misconduct, illegal act or failure can be reported to the management through email. The reported case will be handled strictly in confidential so as to protect the reporters.

## 反貪污

本集團奉行最高標準的企業管治措施。本公司董事會（「董事會」）有別於管理層。我們設立了審核委員會、薪酬委員會及提名委員會，協助董事會監察本集團營運及管理情況。有關本集團的企業管治詳情，請參閱本公司截至二零一六年十二月三十一日止年度之年度報告中第28至36頁的企業管治報告。

對於貪污、舞弊、敲詐、詐騙及洗黑錢行為採取零容忍態度，按照證券及期貨條例指引制訂反洗黑錢手冊與程序。如遇任何可疑個案，員工須即時向管理層舉報。

所有員工於任何時刻都必須提供真確實時的資訊。本公司制訂了《企業道德規範》，確保集團時刻以最高誠信水準營運。員工必須舉報任何利益衝突，避免客戶買賣涉及任何內幕交易或犯罪行為。本公司每年均舉辦培訓。集團於本年度特意邀請廉政公署為員工進行反洗黑錢研討會。如遇任何懷疑不檢、非法或失當行為，員工可透過電郵向管理層舉報。接獲個案舉報後，本公司將嚴格遵循保密協定處理，務求保護報案人身份。

## COMMUNITY INVESTMENT

The Group believes that social value is also important to the economy. We invest in the community with our resources and strength. In 2016, the Group has made various charitable donations in various areas needed our help in the Hong Kong community. We have also diversified our support in different areas. We continue to invest in the community in the future for a sustainable society.

## REGULATORY COMPLIANCE

The Group was not aware of any non-compliance with laws and regulations that have a significant impact on the Group relating to emissions, employment, health and safety, labour standards, product responsibility and anti-corruption during the Year.

## YOUR FEEDBACK

Stakeholders' feedbacks are valuable and can help us to improve our operational, environmental, social and governance aspects. We welcome for any feedback regarding to our performance and please contact us in any channel.

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## 社區投資

本集團深信社會價值對經濟發展同樣重要。我們運用公司資源及長處，建設社區。於二零一六年期間，本集團向多個慈善團體作出捐款，協助香港社會上有需要人士。我們支援在社會的不同範疇。我們在未來定必繼續貢獻社區，促進社會可持續發展。

## 監管合規

本集團未有在本年度發現任何不遵守排放、員工、健康與安全、勞工準則、產品責任及反貪污相關的法律法規且對本集團構成重大影響的情況。

## 意見回饋

持份者的意見有助我們提升營運、環保、社會與管治的表現。歡迎就本集團表現發表意見，亦可透過任何渠道聯絡我們。

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