

CORPORATE SOCIAL  
RESPONSIBILITY REPORT

**HKEX**  
香港交易所

2015

# Contents

(Financial figures in this Report are expressed in HKD unless otherwise stated)

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# About this Report

## Overview

This Report provides an annual update of the Group's CSR performance for the calendar year of 2015. It should be read in conjunction with HKEX's 2015 Annual Report [▶](#), in particular the Corporate Governance Report contained therein, as well as the Corporate Governance [▶](#) and CSR [▶](#) sections of the HKEX Group website. Information about the Group's CSR core principles, objectives and management approach is available on the HKEX Group website [▶](#).

## Scope of this Report

This Report aims to provide a balanced representation of the Group's CSR performance in the Marketplace, Workplace, Community and Environment and covers the Group's operations. There are no significant changes in the scope and aspect boundaries of this Report from that of the 2014 CSR Report [▶](#) published on 23 March 2015.

## Content of this Report

The content of this Report is defined through a systematic process described on the HKEX Group website [▶](#). The process includes identifying CSR aspects, assessing the materiality and relevance of identified CSR aspects and aspect boundaries, preparing and validating the information reported, and reviewing and addressing stakeholders' feedback on the Group's CSR reporting. This Report includes key issues relevant to different stakeholder groups based on the Group's continual engagement with stakeholders in its daily operations. A list of HKEX's material and relevant CSR aspects under HKEX's four CSR Cornerstones is set out in Appendix I of this Report.

The data measurement techniques and calculation methods used for this Report are stated where appropriate. Past data and information for certain indicators have been restated with effects and reasons reflected and explained where appropriate.

## Reporting reference

This Report is prepared in accordance with the comprehensive option of the GRI G4 Guidelines and the revised ESG Guide announced by SEHK in December 2015. It has also completed the GRI's "Materiality Disclosures Service". The GRI Content Index and the ESG Guide Content Index that refer to the relevant information contained in this Report, HKEX's 2015 Annual Report and the HKEX Group website are set out in Appendices II and III of this Report respectively.

## Assurance

This Report has been independently verified by the Hong Kong Quality Assurance Agency, with the scope and basis of the verification set out in the Verification Statement of this Report.

## Endorsement and approval

Following the endorsement from the ESG Committee, this Report was approved by the Board on 2 March 2016.

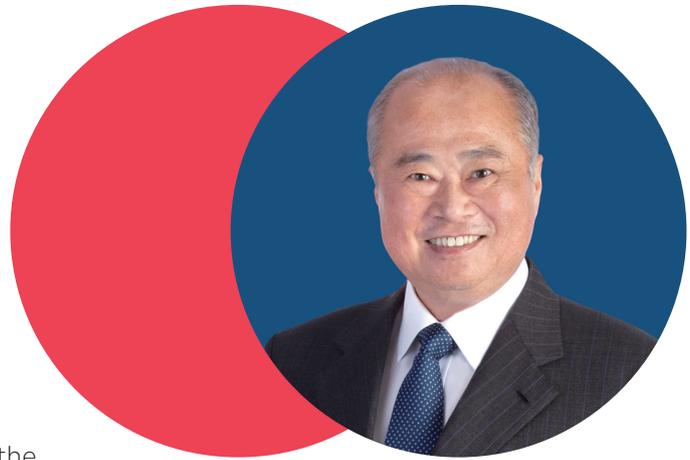
## Feedback to this Report

A feedback form [▶](#) is published online to enable readers of this Report to provide their comments on HKEX's CSR reporting. Comments and suggestions regarding the Group's CSR performance are always welcome and can be sent to HKEX's Company Secretary at [ssd@hkex.com.hk](mailto:ssd@hkex.com.hk).

## Message from the Chairman

Creating shared sustainable value with its stakeholders in the economic, social and environmental dimensions has always been the business philosophy of HKEX. Over the past years, HKEX has sought support from a wide range of stakeholders to achieve its strategic goals and to help build sustainable financial markets in Hong Kong.

In light of the evolving market landscape and public expectations, we are committed to working in collaboration with our stakeholders to ensure our markets remain robust, reliable and competitive. During 2015, with substantial market support, we announced the decisions to implement the Volatility Control Mechanism and Closing Auction Session in Hong Kong and the Listing Rules amendments, and we completed the LME warehouse reform programme.



Our Strategic Plan 2016-2018 has laid out a roadmap for us to achieve our goal of making HKEX the global exchange of choice for all of our customers and potential customers by connecting China with the world. The new strategic plan was developed after thorough discussion and debate at the management level as well as within the Board. We recognise its implementation will require clear business unit ownership and full employee engagement at all levels across the Group, as well as close collaboration with our external stakeholders. We will endeavour to achieve our strategic objectives while addressing our stakeholders' needs so that we can continue to have a business that is both successful and sustainable.

As a good corporate citizen, we remain committed to upholding the highest standards of integrity, attracting and retaining talented people, and providing a safe and healthy workplace. Throughout 2015, we introduced a number of Group-level policies to promote good governance and integrity across our organisation and prevent corruption. To encourage a high level of employee engagement, a survey was conducted in 2015 to solicit our staff's views and allow individuals to make their voices heard.

To us, corporate sustainability calls for community engagement and the integration of environmental preservation measures into our business operations. In 2015, our Stock Code Balloting for Charity Scheme raised a total of \$78 million for The Community Chest of Hong Kong. Our employees and their guests contributed over 3,600 hours of volunteer services. Our Data Centre implemented the ISO 50001 energy management system to enhance its energy efficiency. We also earned the "Class of Excellence" Wastewiŝe Label under the Hong Kong Awards of Environmental Excellence in recognition of our various waste reduction efforts.

Last year was the 15th anniversary of HKEX's listing. Over the past several years, we have become a truly international exchange group while at the same time gaining wide recognition for our CSR performance. HKEX's continued inclusion in the Dow Jones Sustainability Asia Pacific Index, the FTSE4Good Index Series, the Hang Seng Corporate Sustainability Index Series and the STOXX® Global ESG Leaders Indices along with its "10 Years Plus Caring Company" Award reaffirm our commitments to social responsibility.

On behalf of the Board, I would like to thank our employees and all external stakeholders for their commitment and continued support. Your efforts have enabled us to make substantial progress as we strive for sustainability, and you have inspired us all to do more and better.

**CHOW Chung Kong**

Chairman

Hong Kong, 2 March 2016

At the date of this Report, the Board comprises 12 Independent Non-executive Directors, namely Mr CHOW Chung Kong (Chairman), Mr CHAN Tze Ching, Ignatius, Mr Timothy George FRESHWATER, Ms FUNG Yuen Mei, Anita, Mr Rafael GIL-TIENDA, Mr John Barrie HARRISON, Dr HU Zulu, Fred, Dr KWOK Chi Piu, Bill, Mr LEE Kwan Ho, Vincent Marshall, Mrs LEUNG KO May Yee, Margaret, Mr John Mackay McCulloch WILLIAMSON and Mr WONG Sai Hung, Oscar, and one Executive Director, Mr LI Xiaojia, Charles, who is also the Chief Executive of HKEX.

# CSR at HKEX

## About HKEX

HKEX operates Hong Kong's securities and derivatives markets and is the frontline regulator of companies listed in Hong Kong. It also provides clearing and settlement services through its four clearing houses. The Group also owns the LME, an exchange in the UK for the trading of base metals futures and options contracts, and the LME Clear which acts as a central counterparty for metals contracts traded on the LME. HKEX is an equal joint-venture partner with the Shanghai and Shenzhen stock exchanges in China Exchanges Services Company Limited, which develops cross-border indices based on products traded on the three markets. Headquartered in Hong Kong, the Group has offices in London, Beijing, Guangzhou, Shanghai and Singapore. More corporate information about the Group is available on the HKEX Group website [▶](#).

HKEX shares are listed on the Main Board of SEHK. HKEX has 21 subsidiary companies, which are incorporated in Hong Kong, the UK or the PRC. There were no significant changes during the reporting period regarding the Group's size, structure, ownership and supply chain as compared to the previous reporting period, except the establishment of a new subsidiary in the PRC. Particulars of the Group's companies are set out in note 27 to the Consolidated Financial Statements [▶](#) for the year ended 31 December 2015.

## CSR Vision, Policy and Strategy

At HKEX, CSR is viewed as a business philosophy that creates shared sustainable value with its stakeholders in the economic, social and environmental dimensions. HKEX's CSR Vision and CSR Policy [▶](#) guide the Group's business and operational decisions to take into account its responsibility to the CSR Cornerstones that reflect HKEX's unique business nature.

The Group's CSR Strategy is built on the relevant core principles across the CSR Cornerstones with pragmatic objectives providing guidance on the application of these principles in its daily operations. Information about HKEX's CSR Vision, Policy and Strategy is available on the HKEX Group website [▶](#).



## CSR governance and management

The Board has delegated the day-to-day responsibility for all corporate governance and CSR-related matters to the ESG Committee. The ESG Committee's terms of reference are available on the HKEX Group website [▶](#).

Building on HKEX's CSR governance structure (as shown on the right), a CSR Management System has been established with reference to the ISO 26000 Guidance on Social Responsibility and the ISO 14001 Environmental Management Systems standards, and includes elements relevant to HKEX's business and operations.

A CSR Manual which defines the CSR Management System and provides managerial direction and technical guidance for the implementation of CSR best practices is available to all employees via HKEX's intranet.

Divisions and departments within the Group integrate CSR objectives into their operations and activities. They take into account stakeholders' feedbacks to identify and manage the CSR-related impacts of their activities, as well as the related risks and opportunities. HKEX's Chief Executive provides the Board with quarterly CSR progress reports which summarise the initiatives related to CSR undertaken by various divisions and departments of the Group. Further details of HKEX's CSR Governance and Management are available on the HKEX Group website [▶](#).



## Charters and memberships

HKEX subscribes or endorses a number of externally-developed economic, environmental and social charters, principles, or other initiatives to promote sustainable development under the CSR Cornerstones. HKEX also participates in various international or national advocacy organisations by holding positions on their governance bodies, participating in projects or committees, or providing funding. A list of HKEX's charters and memberships is available on the HKEX Group website [▶](#).

## Recognition and ratings

HKEX receives various recognition and awards with respect to its corporate governance and CSR performance. Details are set out in the HKEX Group website [▶](#).

# Stakeholder Engagement

Stakeholder engagement is an integral part of HKEX's business development and commitment to CSR. HKEX proactively engages its stakeholders in developing mutually beneficial relationships and seeks their views on its initiatives to align business practices with public needs and expectations, as well as to promote sustainability under the CSR Cornerstones. Details of HKEX's major stakeholder groups, the basis for their identification and HKEX's approach to stakeholder engagement are available on the HKEX Group website [▶](#).

In 2015, the Group engaged its stakeholders through different channels with respect to various topics including regulatory compliance, rule changes and new initiatives.

## **New corporate identity: The Pioneer of the World's Financial Markets**

Following a brand audit in 2015, HKEX launched its new corporate identity and logo along with its Strategic Plan 2016-2018 on 21 January 2016.

HKEX engaged a global research agency to undertake the brand audit. More than 400 interviews were conducted with internal and external stakeholders from Hong Kong and overseas to assess their awareness and understanding of the Group's brand.

Key findings and recommendations:

- HKEX enjoys a positive brand image associated with its professionalism and solid business foundation.
- HKEX's brand identity should be refreshed in light of the rapid development of the Group into a global multi-asset class exchange group.

Based on the brand audit, HKEX carried out a corporate rebranding and introduced a refreshed corporate identity highlighting the Group as a financial markets' pioneer that connects China with the world. The mark in the new logo symbolises the vital connection of East and West, and all of the opportunities that will create. The LME and LME Clear logos have also been refreshed, helping to communicate the close relationship between the HKEX Group family of brands.

The refreshed corporate identity aligns perfectly with HKEX's new strategic plan and underlines HKEX's vision, "connecting China with the world, HKEX aims to reshape the global market landscape".

The following table highlights other key engagement activities undertaken by the Group during 2015.

Key concerns/topics	Key engagement activities
<b>Maintain Fair, Transparent and Orderly Markets</b>	
<p>Introducing a Volatility Control Mechanism (VCM) in the securities and derivatives markets and a Closing Auction Session (CAS) in the securities market to offer greater safeguards to the markets, improve market efficiency and closely align with the international practices</p>	<p>Following consultation with the SFC, an extensive research of international practices and preliminary discussions with market participants, HKEX launched a 3-month market consultation in January 2015 on its proposals to introduce a VCM and a CAS in Hong Kong. Given the substantial support from the majority of respondents from most market segments, HKEX decided to implement the proposed VCM and CAS models, with enhancements to address the concerns raised by the respondents. The VCM and CAS in the cash market will be implemented in the third quarter of 2016 and the VCM in the derivatives market will be implemented in the fourth quarter of 2016, which gives the market an adequate lead time of 1 year for preparation.</p>
<p>Seeking views on whether governance structures that give certain persons voting power or other related rights disproportionate to their shareholding should be permissible for companies listed or seeking to list in Hong Kong</p>	<p>SEHK published a concept paper on weighted voting rights in August 2014. Having carefully considered all the responses to the concept paper, SEHK published the conclusions in June 2015. In October 2015, the Listing Committee of SEHK announced that, after considering the views of the SFC board, it would not proceed with its draft proposal on weighted voting rights at this time, but would keep the matter under review.</p>
<p>The Government's proposals to improve the regulatory regime for auditors of listed entities</p>	<p>SEHK supports the proposals to establish an independent oversight body for the audit activities of listed entities, and joined the Financial Services and the Treasury Bureau and other regulators in participating in the Auditor Regulatory Reform discussions to provide recommendations for ensuring an effective and efficient IPO process and subsequent monitoring of auditors.</p>
<p>Conducting a survey to understand CPs' readiness on compliance with the Foreign Account Tax Compliance Act (FATCA) enacted by the US to prevent the non-compliance with US tax obligations by US taxpayers holding foreign financial accounts</p>	<p>HKSCC, HKCC and SEOCH conducted a survey in August 2015 to understand CPs' FATCA readiness on compliance with the Intergovernmental Agreement signed between the governments of Hong Kong and the US. CPs submitted their feedback, and approximately 85% of the CPs either provided positive response or have already acquired the Global Intermediary Identification Number. HKEX's clearing houses will contact all CPs for the required documentations and information for compliance with FATCA's due diligence requirements.</p>

Key concerns/topics	Key engagement activities
Introducing the Pre-Trade Risk Management (PTRM) System in the derivatives market by the second quarter of 2016	Information papers and circulars were issued, briefing and practice sessions, connectivity and production readiness tests were offered to EPs and CPs to provide them with details of the implementation of the PTRM System and to facilitate their familiarisation with the system. HKEX also maintains a web corner on the HKEX website to update the market on key documents and implementation details.
Adjusting the Last Trading Time (LTT) on the Last Trading Day (LTD) for the London Metal Mini Futures contracts to address the time differences between LTT on the LTD and the Official Settlement Price published time by the LME	To ensure that EPs and CPs are adequately prepared and able to support the trading and clearing of the London Metal Mini Futures contracts after the LTT adjustment in the fourth quarter of 2015, a readiness test was conducted in September 2015 to facilitate the verification of EPs and CPs' readiness in handling the adjustment.
Developing a regulatory regime for OTC derivatives market in Hong Kong	In October 2015, in response to the consultation paper jointly published by the Hong Kong Monetary Authority and the SFC, HKEX submitted its comments and proposals about the introduction of mandatory central clearing for certain standardised interest rate swaps and the extension of the existing mandatory reporting regime to cover all OTC derivatives.
Developing the bond market in Hong Kong	In November 2015, HKEX submitted its comments to the draft Hong Kong, China Bond Market Guide 2015 prepared by the ASEAN+3 (Association of Southeast Asian Nations Plus Three) Bond Market Forum which was established as a common platform to foster standardisation of market practices and harmonisation of regulations relating to cross-border bond transactions in the region.
<b>Promote ESG Reporting</b>	
Strengthening issuers' disclosure obligations under the ESG Guide	In July 2015, SEHK consulted the market on proposals to strengthen issuers' ESG disclosure obligations. In view of the strong market support, SEHK decided to adopt the proposals, which include upgrading certain recommended ESG disclosures to "comply or explain". To ensure that issuers have sufficient lead time, the amendments to the Rules and ESG Guide will come into effect in two phases, for financial years beginning on or after 1 January 2016 and 1 January 2017.

Key concerns/topics	Key engagement activities
<b>Commitment to Product and Service Responsibility</b>	
Enhancing Shanghai-Hong Kong Stock Connect	Following the launch of the Stock Connect in November 2014, HKEX continued to work with certain overseas regulators and institutional investors to facilitate their understanding and to address their concerns. A number of enhancements of the Stock Connect, including the short selling service and the new pre-trade checking function, were subsequently launched in 2015. A new social media account was also set up to provide real-time Stock Connect trading information.
Implementing the LME warehouse reform initiated in November 2013 to reduce queues at warehouses	In 2015, the LME completed the final stages of its warehouse reform programme. During the year, it invited comments and feedbacks by publishing a discussion paper in March relating to possible reforms of its warehousing policy and physical delivery network, and 2 consultation papers in July and September relating to the implementation of load-out rate increases, queue-based rent capping, and the anti-abuse measures. The LME also held a number of meetings to gather opinion from a broad range of market participants.
Enhancing market access and liquidity of LMEselect to maximise liquidity and participation on the LME	In May 2015, the LME consulted the market on proposals designed to broaden access to its electronic trading platform, LMEselect. Taking into account the respondents' views, the LME proceeded with the proposals to enhance its membership structure by broadening access to the LME market and LMEselect, alongside the introduction of additional flexibility to its membership application criteria.
<b>Supply Chain Management</b>	
Promoting CSR practices throughout supply chain	During 2015, 36 representatives from HKEX's suppliers and business partners attended seminars related to anti-discrimination, prevention of bribery and protection of personal data that were organised by HKEX under its ongoing stakeholder engagement programme.
<b>Workforce-management Relation</b>	
Promoting employees engagement	The Group initiated an Employee Engagement Survey in September 2015 to assess its employees' satisfaction and motivation and to collect their comments. The results were communicated to all of the Group's employees in February 2016.
<b>Employee Development</b>	
Providing effective training to employees	HKEX conducted a Learning and Development Survey in November 2015 to collect feedback from its employees on the Company's training and career development programmes.



## Marketplace

As an exchange controller, HKEX aims to help build sustainable financial markets in Hong Kong to strengthen its role as an international financial centre. HKEX is committed to maintaining the reliability and stability of its systems and infrastructure and introducing quality and responsible products and services to meet evolving market needs. HKEX also adopts ethical and responsible business practices and dedicates time and resources to promoting integrity, transparency and CSR in the Marketplace.

Details of HKEX's core principles, objectives and management approach to building a sustainable marketplace are available on the HKEX Group website [▶](#).

### Strengthening listing regulation

As the frontline regulator of listed issuers in Hong Kong, SEHK administers and enforces the Listing Rules. Details of regulatory activities performed by SEHK and policy issues dealt with by the Listing Committee in 2015 are set out in the Business Review [▶](#) section of HKEX's 2015 Annual Report and Listing Committee Report 2015 [▶](#).

HKEX works closely with the Financial Reporting Council (FRC) and the Hong Kong Institute of Certified Public Accountants (HKICPA) to promote high quality financial reporting and better investor protection. SEHK refers cases to the FRC and the HKICPA for their further enquiry and/or investigation of possible audit irregularities and accounting non-compliance. In 2015, HKEX provided financial support of \$6.99 million to the FRC, and nominated one of its Directors as a member of the FRC.

During 2015, SEHK made various proposals and conclusions on Listing Rule amendments and policy issues. All consultation papers, responses to consultation paper and consultation conclusions are posted on the HKEX website [▶](#). To continue fostering a culture of self-compliance by issuers, SEHK published guidance materials on the HKEX website [▶](#), covering various topics including cash company rules, trading halts and issue of convertible securities by issuers.

### Promoting corporate governance and ESG reporting

SEHK continues to promote good corporate governance among listed issuers in Hong Kong. In 2015, SEHK published a report [▶](#) on the findings of its review of issuers' compliance with the Corporate Governance Code and Corporate Governance Report in Appendix 14 to the Main Board Listing Rules. HKEX also supported the Hong Kong Corporate Governance Excellence Awards 2015 organised by the Chamber of Hong Kong Listed Companies.

Board diversity, which includes gender diversity, is regarded as an important aspect of good corporate governance that helps improve decision-making and contributes to good business performance. Throughout the year, WEX conducted a number of initiatives, in particular the Annual Reception in November 2015, to promote the importance of "Women on Boards".

### Strengthening ESG reporting

When the ESG Guide was first introduced in 2012, it was intended for issuers looking for a starting point from which to begin work on ESG reporting. It was served as a first step towards in an evolutionary process, with the longer goal of achieving better and more comprehensive ESG reporting among issuers. Since then, HKEX has organised a large number of ESG training events and posted a series of webcasts and other training materials on its website [▶](#) to familiarise issuers with ESG matters.

In July 2015, SEHK consulted the market on proposals to strengthen issuers' ESG disclosure obligations. In view of the strong market support, SEHK decided in December 2015 to adopt the proposals, which include upgrading certain recommended ESG disclosures to "comply or explain". To ensure issuers have sufficient lead time, the amendments to the Rules and the ESG Guide will come into effect in two phases, for financial years beginning on or after 1 January 2016 and 1 January 2017. A summary of the main changes to the Rules and the ESG Guide is set out in the news release [▶](#) published on the HKEX website.

### Promoting market education and financial literacy

During the year, HKEX organised or co-organised a number of conferences, workshops and seminars for a wide range of stakeholders including listed and potential issuers and market participants to enhance their awareness and understanding of the Group's business strategy, products and services, regulations and other related topics.



Investor Relations Symposium 2015 under HKEX's Stock Connect Education Programme

HKEX also supported educational and promotional programmes organised by market participants, professional organisations and universities. For example, in March 2015, HKEX initiated a joint promotional programme to support EPs in promoting stock options and futures contracts to their investors and enhancing the knowledge of their staff in options and futures trading.

HKEX continued to work closely with government officials and other stock exchanges to enhance financial literacy. For example, in January 2015, HKEX sponsored and participated in the two-day Asian Financial Forum 2015 organised by the Government and the Hong Kong Trade Development Council and organised a workshop during the event to promote Stock Connect. HKEX also met with stock exchanges and securities regulators of other regions to exchange views on various regulatory and compliance aspects.

## Completing LME warehousing reform

During the year, the LME launched a number of consultations and completed the final stages of its warehouse reform programme to ensure that the LME's warehouse network fully serves the requirements of the global metals market.

## Supporting emerging FinTech industry

HKEX has an ongoing interest in applying new technology to improve its operational efficiency and to pursue new businesses. In November 2015, HKEX became a supporting organisation of the SuperCharger Accelerator, Hong Kong's first programme dedicated to help both start-ups and more established financial technology (FinTech) companies. This programme allows HKEX to share knowledge and explore collaboration with some of the leading creative minds in FinTech.

## Promoting business integrity and ethics

HKEX regularly promotes business integrity and ethics among its stakeholders. The listing seminars organised by SEHK in 2015 covered the topics of integrity management and corruption prevention presented by representatives from the ICAC and were attended by around 2,000 representatives of listed issuers and market practitioners. Anti-corruption seminars organised by HKEX under its stakeholder engagement programme were attended by 19 representatives of HKEX's suppliers and business partners.

## Understanding anti-competition

Except HKEX, SEHK, HKFE, HKSCC, SEOCH, HKCC and OTC Clear, all other Hong Kong incorporated entities within the Group, are subject to the Competition Ordinance (Chapter 619 of the Laws of Hong Kong) effective 14 December 2015. HKEX issued an internal compliance manual in December 2015 to provide guidance on the conduct which its employees should be aware of when acting for the non-exempt entities of the Group.

## Plans for 2016

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- To enhance issuers' understanding of the amended ESG Guide and provide practical guidance on how to prepare an ESG report by conducting training seminars
- To enhance HKEX's supply chain management by reviewing its Supplier CSR Code of Conduct
- To facilitate employees' understanding of the Competition Ordinance and the internal compliance manual by rolling out a training programme



## Workplace

HKEX considers its employees to be its greatest asset and strives to attract and retain the best people for the sustainable growth of the Group. It ensures that the employees are treated fairly and equally, and that their rights and interests are protected. HKEX is committed to providing training and development opportunities to its employees to equip them to deliver their best performance and achieve corporate goals. It also endeavours to provide a healthy and safe workplace and effective communication channels within the Group and to promote the work-life balance of its employees.

Details of HKEX's core principles, objectives and management approach to ensuring a sustainable workplace are available on the HKEX Group website [▶](#).

### Ethical and responsible conduct

The Group is committed to maintaining the highest standard of integrity when doing business. To align the standards and relevant guidelines across different entities within the Group, the Group reviewed and updated its Code of Conduct by introducing the Group Anti-Bribery and Anti-Corruption Policy and the Group Whistleblowing Policy during the year. A training was arranged for the Group's employees in November 2015 to assist them to understand and comply with the updated Code of Conduct.

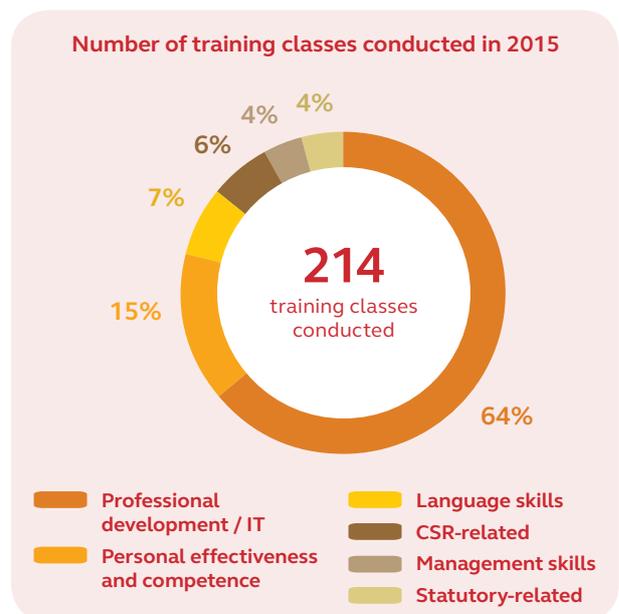
Before festive holidays, reminders were sent to all employees about their obligations in relation to gifts and entertainment received. In 2015, 42 of HKEX's employees attended seminars on anti-corruption conducted by the ICAC.

### Training and development

**Over 23,000 hours of training received by employees in 2015**

In 2015, the Group invested \$8.7 million in employee training and organised 214 training classes with an average of 15 hours per employee.

To enrich career development opportunities and encourage a culture of experience-sharing at HKEX, a Mentorship Programme was introduced during the year by pairing senior executives as mentors with HKEX's management trainees and selected middle-level colleagues with strong performance to provide guidance and to share experience for the mentees' career growth.



## Performance management

In response to the findings of the Group's 2013 Employee Engagement Survey, a mandatory mid-year review was introduced this year to encourage regular feedback on employees' performance. The performance rating mechanism was also adjusted for better performance recognition and expectation management. In 2015, all permanent employees received a performance appraisal and 16 per cent of permanent employees received a multi-rater performance evaluation.

## Diversity and equal opportunities

To promote gender diversity and increase women's decision-making and leadership roles at HKEX, WEX organised luncheon talks and meaningful fundraising events for charities, sponsored community work and arranged networking events engaging female professionals throughout the year.

In May 2015, HKEX organised a seminar on "Anti-discrimination Ordinances in Hong Kong" to help its employees and stakeholders comply with the relevant legal requirements and take steps to identify and prevent any unlawful acts at the workplace.

### Back to Work Programme

In 2015, 3 candidates were chosen to stay on and work at HKEX after completing the 8-week "Back to Work Programme" , which is designed to help professionals resume their careers after leaving the workforce for a few years.

“The Programme is very enriching, from learning soft skills to industry knowledge, from classroom to on-the-job training. Besides, the buddy arrangement and the luncheons with the management, Human Resources' colleagues and WEX members benefited the candidates in getting to know more about the organisation, its business and people. It was really amazing having all of the above happened in less than 2 months,”

Cecilia Lai, one of the successful candidates, said.

## Communication and collaboration

In 2015, the Group launched a number of initiatives to improve communication and collaboration within the Group. HKEX's Chief Executive continued to share his vision and explain new strategic initiatives to senior colleagues at the Management Executive Forum and to a wider group of staff at the Quarterly Chief Executive's Presentations. Departmental town halls were organised for the management to hear employees' comments and suggestions. Management and departmental offsite meetings were held to provide an opportunity for colleagues to work together and build team spirit.

At the LME, the "breakfast with the CEO" and "the LME strategy day" continued to facilitate communication within the company. The Sports and Social Committee met on a monthly basis to listen to and review suggestions from staff regarding ways to maintain their well-being and promote communication and teamwork across the LME.

In September 2015, the Group conducted another Employee Engagement Survey to solicit feedback and to gauge the level of satisfaction and motivation of its employees. The results were communicated to all of the Group's employees in February 2016.

## Health and safety

During the year, HKEX completed all safety improvement works at the Data Centre as recommended by the Occupational Safety and Health Council, including installation of fencing at height to prevent falls and provision of personal protective equipment for workers.

To promote healthy living among employees, HKEX organised workshops and talks under its Employee Wellness Programme, covering topics on influenza prevention, eyecare in the workplace, yoga at work, acupuncture point massage techniques and more.

## Work-life balance

In 2015, HKEX's Staff Social Club organised a variety of activities to promote the work-life balance of employees. For the first time, HKEX organised a "Bring Your Kids to Work" day in July 2015 for its employees' children to enjoy a fun-filled day visiting their parents' office.

In October 2015, HKEX's Music Club presented its first Music Evening for all HKEX colleagues and music lovers with great musical performances such as a cappella, band performances by HKEX's employees and a handbell performance by a group of young guest performers.



Band performance by HKEX's employees in the Music Evening

At the LME, the Sports and Social Committee organised a number of activities such as language courses, Pilates classes, wine tasting, sports matches, a Christmas party and more to create a community spirit among the LME's employees.

## Plans for 2016

- To extend the employees' maternity leave from 10 weeks to 12 weeks
- To introduce an adoption leave
- To introduce a new Executive Education Programme to promote leadership development
- To enhance employees' training and development, in particular related to ethics and regulatory compliance issues



## Community

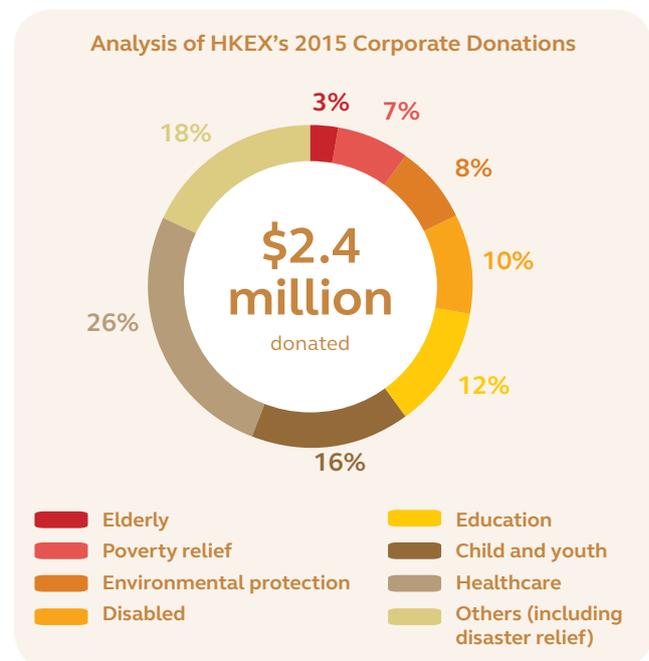
HKEX's community investment aims to create effective and lasting benefits to communities in which the Group operates its business. Going beyond corporate philanthropy, HKEX supports long-term community investment by establishing community partnerships and encouraging its employees to participate in volunteer services.

Details of HKEX's core principles, objectives and management approach to community investment are available on the HKEX Group website [▶](#).

### Fundraising

In 2015, the Group donated a total of \$2.4 million to different community causes. HKEX's employees actively participated in various fundraising events and contributed approximately a total of \$400,000 to different charitable organisations. To encourage employees' donations, HKEX made dollar-for-dollar matches on their donations for the earthquake relief in Nepal, the Hong Kong Hereditary Breast Cancer Family Registry and Project Orbis International. It also raised \$78 million for The Community Chest of Hong Kong via the Stock Code Balloting for Charity Scheme [▶](#), resulting in total funds of \$708 million raised under the Scheme since its launch in 1999.

On 3 December 2015, the Charity Advisory Group, chaired by HKEX's Chief Executive, reviewed the donations made during the year and considered that they were effective, and approved the community investment plan for 2016.



### Community partnerships

With the strong support of its volunteer team, HKEX engaged with various organisations to address the community's needs throughout the year.

#### Caring for the elderly and disabled

Partnering with the Senior Citizen Home Safety Association (SCHSA), the Tung Wah Group of Hospitals and the Haven of Hope Christian Service, HKEX volunteers participated in activities to support elderly services including home visits and gatherings as well as the provision of simple home maintenance. In particular, HKEX sponsored 50 elders to use the 24-hour Personal Emergency Link Service run by the SCHSA for one year.

The Listing Committee led a "Hike for Hong Kong" event to raise funds for a HandsOn Hong Kong programme, the "Skills Workshops for People with Disabilities", to teach young people with disabilities the skills that can lead to viable employment opportunities.

### FSMA's Eye Blinking Challenge – First Chairman Challenger



On 23 September 2015, HKEX's Chairman accepted an invitation from the Families of SMA (Spinal Muscular Atrophy) Charitable Trust (FSMA) to be the first Chairman to take part in the Eye Blinking Challenge which aims to increase awareness of SMA and raise funds to provide medical treatment for SMA patients and provide help to their families. HKEX's Chairman, 3 representatives of HKEX's senior management and 22 HKEX volunteers, together with FSMA representatives and 3 SMA patients, joined the challenge and called for others' support to the FSMA.

### Children and youth development

For the fifth consecutive year, the Listing Committee held the "Pedal Power" event to raise funds for specially-selected students from local secondary schools to participate in leadership courses with Outward Bound Hong Kong.

Under its 2015 Summer Internship Programme, HKEX recruited 78 interns and assistants from different universities and offered them an opportunity to learn about HKEX's business and the financial markets and gain practical work experience.

In London, the LME continued to offer bursaries for exceptional students to help fund their university careers through the Supporting Futures Scheme. By the end of 2015, 5 students were funded by the Scheme in various stages of their study.

### Caring for minorities

Partnering with the Hong Kong Sheng Kung Hui Lady MacLehose Centre, HKEX volunteers spent a day with the children of ethnic minorities in the "Cultural Exchange Day 2015". HKEX volunteers also supported the "Environmental Protection Adventures" and the "Dialogue in the Dark" programmes, organised by the Yau Ma Tei Integrated Family Service Centre of Social Welfare Department, for participants from families of minorities.

### Employee volunteering

Throughout 2015, a total of 539 participants, comprising the Group's employees and their guests, delivered volunteer services in the community.

In September 2015, the seventh HKEX Annual Volunteer Recognition Ceremony cum Dinner was held to recognise 49 HKEX employees' active participation in volunteer services in 2014. HKEX also earned the Social Welfare Department's Gold Award in appreciation of its contribution of more than 2,800 hours of volunteer services in Hong Kong in 2014.

Over 3,600 hours  
of volunteer  
services  
in 2015



Volunteer team activities in 2015

Environmental Protection Adventures

*Barrier Free Travel* ORBIS Moonwalkers  
Football Fun Day

Dialogue in the Dark

*Cultural Exchange Day* Give & Gain Day

Walk for Nature HERO TEA GATHERING

*Step Out for Children*

Guide Dogs Charity Running Race

Earth Day Tree Planting *Elderly Visits*

*Stargaze Camp for All & the Blind*

Sham Shui Po District Orienteering Day

Beneficiaries of the events:

Children & youth  
Elderly

Deprived families  
Environment

Disabled  
Ethnic minority



Plans for 2016

- To explore the feasibility of making donation to a high impact charitable event
- To increase resources devoted in corporate donation
- To commence a new charity partnership with Little Havens Hospices in the UK



## Environment

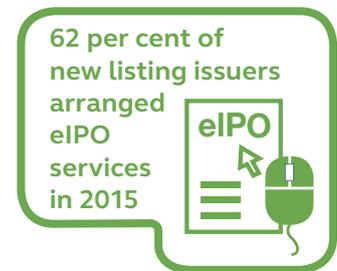
HKEX is committed to minimising the adverse impact that its operations may have on the environment. Going beyond legal compliance, the Group is continually improving its environmental management practices and measures to reduce energy and other resource use, minimise waste and increase recycling. Employees are also encouraged to adopt environmentally responsible behaviour and promote environmental protection in HKEX's supply chain and marketplace.

Details of HKEX's core principles, objectives and management approach to environmental protection are available on the HKEX Group website [▶](#).

### Paper reduction

As an exchange controller, HKEX plays a crucial role in promoting environmentally-friendly practices in the marketplace. It continues to promote the use of electronic IPO (eIPO) services by investors to apply for shares relating to new listings in the primary market.

In June 2015, SEHK issued a guidance letter [▶](#) including practical tips to facilitate the use of Mixed Media Offers by issuers during their public offers, which would help reduce paper waste from overprinting copies of prospectuses.



With the enactment of the Securities and Futures and Companies Legislation (Uncertificated Securities Market Amendment) Ordinance 2015 in March 2015, HKEX will continue collaborating with the SFC and other stakeholders to develop the paperless securities market regime in Hong Kong, with a view to, among other benefits, further reducing the need for paper in the securities market.

Internally, HKEX continues to implement measures to reduce the use of paper in office. In June 2015, a new Enterprise Resource Planning system was launched to further save paper consumption in the Company's procurement and human resources management processes. To encourage its shareholders to receive corporate communications electronically, HKEX continued to donate, based on the number of shareholders choosing the paperless option, up to \$100,000 to an NGO with a focus on environmental protection.

### Energy-saving and greenhouse gas emissions reduction

At HKEX, energy consumption accounts for a major part of its GHG emissions. Therefore, various energy-saving measures have been undertaken to improve energy efficiency and reduce energy consumption of the Company's operations. The new chiller plants at the Trading and Exhibition Hall were commissioned in June 2015. This brought about 102 megawatt-hours, or MWh, of energy savings by the end of 2015, which is equivalent to a reduction of 81 tonnes of GHG emissions. In September 2015, the Data Centre implemented an energy management system which is certified to the internationally recognised ISO 50001:2011 standard.

In 2016, HKEX will continue to implement energy saving measures such as optimising the operation efficiency of the chiller plant at Exchange Square, using LED and other energy efficient luminaire in newly renovated office areas and adjusting the operating schedule of the air-conditioning and lighting systems in the amenity room at the Data Centre.

## Waste management

In 2015, HKEX achieved the Wastewi\$e Label – Class of Excellence under the Hong Kong Awards for Environmental Excellence by collecting and recycling 154 pieces of unwanted transformers, which is 51 per cent above its target. In November 2015, an independent consultant was commissioned to conduct a waste audit at HKEX’s Data Centre and across different offices in Hong Kong to review the Company’s waste management approach and identify areas for improvement.

In April 2015, HKEX received an honorary certificate from the Hong Kong Environmental Protection Association for recycling peach blossom trees used for Chinese New Year decorations under the Wood Recycling and Tree Conservation Scheme. HKEX also collected citrus trees from its different offices and re-planted them at the Data Centre after the Chinese New Year.

## Carbon footprint disclosure

As a listed company in Hong Kong, HKEX supports the Government’s initiative to promote carbon audit and has disclosed its GHG emissions data at the Carbon Footprint Repository for Listed Companies in Hong Kong. HKEX has also participated in the CDP’s climate change program by providing its climate change management and GHG emissions data.

## Advocacy and education

During the year, HKEX participated in a number of events to advocate for environmental protection and raise the environmental awareness of its employees and community.

In March 2015, HKEX participated in the WWF’s Earth Hour 2015 by turning off non-essential lights in all office locations in Hong Kong for an hour to support energy conservation.

In April 2015, 35 HKEX volunteers and 18 guests planted 201 trees at Lantau Island in an event celebrating the Earth Day.

In June 2015, 2 “Lively Green Office” workshops were organised to provide employees with tips of growing indoor plants to promote a healthy and pleasant working environment.

HKEX was one of the sponsors of the WWF’s “Walk for Nature @ Mai Po 2015” to promote conservation of Hong Kong’s environment. 66 HKEX volunteers and their family members participated in the event in November 2015 to explore the beauty of the nature.



HKEX volunteer planting tree at Lantau Island

## Plans for 2016

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- To achieve certification in “Leadership in Energy and Environmental Design for Existing Buildings: Operation and Maintenance” standard at the Data Centre
- To reduce 350 MWh of electricity consumption by implementing various energy saving measures
- To improve waste recycling by collecting at least 1,580 pieces of compact discs
- To further reduce paper use by enhancing the paperless system for internal communications

# CSR Performance Summary

Unless otherwise stated, the figures provided in this section are reported for the corresponding year specified below or as at 31 December of the corresponding year.

## A. Marketplace

### 1. Economic performance

In 2015, the Group did not receive any financial assistance from any government. During the year, there were no closures of the Hong Kong securities and futures markets during the day session due to adverse weather conditions such as typhoon or rainstorm<sup>1</sup>.

Indicators	2015	2014	2013
Direct economic value (\$m)			
Generated <sup>2</sup>	13,375	9,849	8,723
Distributed <sup>3</sup>	11,986	8,670	7,939
Retained <sup>4</sup>	1,389	1,179	784
Current tax charge / (credit) (\$m)			
Hong Kong	1,157	885	757
UK	283	(8)	129
Stamp duty generated for the Government <sup>5</sup> (\$m)	31,562	22,556	20,496

- 1 There was no After-Hours Futures Trading on 9 July 2015 due to Typhoon Signal No 8.
- 2 Direct economic value generated means the Group's revenue and other income as disclosed in the Consolidated Financial Statements of HKEX's Annual Report.
- 3 Direct economic value distributed covers the Group's operating expenses, interest expenses, dividends and total current tax as disclosed in the Consolidated Financial Statements of HKEX's Annual Report, and the corporate charitable donations as set out in the Community section below.
- 4 Direct economic value retained means the direct economic value generated less the direct economic value distributed.
- 5 Stamp duty is generated for the Government in respect of all securities transactions which are subject to stamp duty and recognised by SEHK.

### 2. Supply chain management

In 2015, the Group had a total of 226 key suppliers<sup>1</sup>. 88 per cent of HKEX's key suppliers and 93 per cent of the LME's and LME Clear's key suppliers were local suppliers. 19 key suppliers providing IT or property management services to HKEX were invited to complete a questionnaire regarding their CSR performance.

During the year, the Group was not aware that any key suppliers had any significant actual and potential negative impact on business ethics, environmental protection, human rights and labour practices, nor any of them had any non-compliance incident in respect of human rights issues.

Indicators	2015	2014	2013
Number of key suppliers	226	223	144
By region			
Asian countries other than the PRC and Hong Kong	3	1	2
Australia	1	1	1
European countries other than the UK	4	3	3
Hong Kong	108	96	89
PRC	1	3	2
UK	101	114	44
US	8	5	3
Total payments to key suppliers (\$bn)	1.6	1.9	1.8

- 1 Key suppliers refer to suppliers of products and/or services whose total contract sum amounted to \$1 million (or £83,000) or above.

### 3. Customer privacy

HKEX continues to strengthen its information security controls with specific focus on protecting its stakeholders' data privacy in accordance with the Personal Data (Privacy) Ordinance (Chapter 486 of the Laws of Hong Kong). In 2015, HKEX maintained its ISO 27001 certification for the information security management system of its enterprise data centre. As part of the control measures, annual information security training was arranged for HKEX's employees. There were no incidents and substantiated complaints concerning breaches of customer privacy or losses of customer data in 2015.

### 4. Products and services responsibility

In 2015, the Group was not aware of any incidents of non-compliance with regulations and voluntary codes concerning the provision and use of the Group's products and services, including but not limited to, product and service information and labelling, marketing communications including advertising, promotion and sponsorship, and property rights including intellectual property rights that have a significant impact on the Group.

In March 2015, HKEX published the findings of Retail Investor Survey 2014 [▶](#) to provide information on, among others, stock investors' perceptions of the HKEX's markets. In general, stock investors were generally positive to all aspects of the Hong Kong stock market assessed in the survey.

Indicators	2015	2014	2013
Number of enquiries and complaints handled	13,265	14,255	14,333

### 5. Anti-bribery and anti-corruption

In 2015, no significant risks relating to corruption were identified. There were no confirmed incidents in relation to corruption or public legal cases brought against the Group or its employees concerning corruption. There were also no confirmed incidents where contracts with business partners were terminated or not renewed due to violations relating to corruption during the year. No whistleblowing disclosures were received during the year.

Indicators	2015	2014	2013
Number and percentage of employees who received anti-corruption training by employee category			
Senior	105 (76)	11 (9)	2 (3)
Middle-level	545 (96)	39 (8)	10 (5)
Supervisory-level	480 (94)	34 (8)	38 (7)
General	325 (92)	21 (6)	16 (6)

### 6. Public policy

The Group takes a neutral stance in political matters. It did not make donations to any political parties in 2015.

### 7. Anti-competition

Information regarding the class action lawsuits that were filed in the US against the LME, LMEH and HKEX alleging anti-competitive and monopolistic behaviour in metal warehousing in connection with aluminium prices and zinc prices is set out in the announcement [▶](#) dated on 19 July 2015. Save for this, the Group was not aware of any legal actions against it for anti-competitive behaviour, anti-trust or monopoly practices in the year.

### 8. System stability and reliability

In 2015, all HKEX market systems maintained 100 per cent system reliability in serving their users.

## B. Workplace

### 1. Employment

As of 31 December 2015, the Group had a total of 1,568 employees, a 10 per cent increase from 2014 mainly due to organic growth and increased headcounts for strategic initiatives. Save for this, there was no significant variation in employment numbers.

Indicators	2015	2014	2013
Number of employees	1,568	1,420	1,278
By gender			
Female	676	612	567
Male	892	808	711
By age group			
Below 30	262	208	170
30 to 50	1,071	1,025	950
Over 50	235	187	158
By region			
Hong Kong	1,267	1,158	1,121
UK	283	244	141
Others <sup>1</sup>	18	18	16
By employment contract and gender			
Permanent (Female)	651	594	554
Permanent (Male)	851	767	648
Temporary/Fixed term (Female)	25	18	13
Temporary/Fixed term (Male)	41	41	63
Permanent employees by employment type and gender			
Full-time (Female)	647	590	548
Full-time (Male)	849	764	646
Part-time (Female)	4	4	6
Part-time (Male)	2	3	2
Average year of services	7	8	9
Number of employees eligible to retire within the next 5 years <sup>2</sup>	47	62	46
Number and rate (%) of new hires	265 (17)	325 (23)	214 (17)
By gender			
Female	122 (18)	117 (19)	96 (17)
Male	143 (16)	208 (26)	118 (17)
By age group			
Below 30	94 (36)	131 (63)	61 (36)
30 to 50	158 (15)	178 (17)	142 (15)
Over 50	13 (6)	16 (9)	11 (7)
By region			
Hong Kong	186 (15)	193 (17)	168 (15)
UK	77 (27)	125 (51)	44 (31)
Others	2 (11)	7 (39)	2 (13)
Number and rate (%) of employee turnover	148 (9)	195 (14)	153 (12)
By gender			
Female	72 (11)	77 (13)	67 (12)
Male	76 (9)	118 (15)	86 (12)
By age group			
Below 30	33 (13)	36 (17)	40 (24)
30 to 50	87 (8)	132 (13)	87 (9)
Over 50	28 (12)	27 (14)	26 (16)
By region			
Hong Kong	107 (8)	156 (13)	140 (12)
UK	40 (14)	34 (14)	10 (7)
Others	1 (6)	5 (28)	3 (19)
Number of employees taking parental leave <sup>3</sup> by gender			
Female	33	22	18
Male	35	16	26
Number and rate (%) of employees returning to work after parental leave ended by gender			
Female	32 (97)	22 (100)	18 (100)
Male	35 (100)	16 (100)	26 (100)
Number and rate (%) of employees remaining employed 12 months after the end of parental leave by gender <sup>4</sup>			
Female	18 (82)	17 (94)	14 (78)
Male	14 (88)	25 (96)	14 (100)

## CSR Performance Summary

- 1 The 2015 figure refers to 14 employees stationed in the Mainland and 4 employees stationed in Singapore.
- 2 The Nomination Committee is responsible for recommending the Board on matters relating to the succession planning for HKEX's Chief Executive and Senior Management. Information about the Nomination Committee [▶](#) is available on the HKEX Group website and the 2015 Corporate Governance Report [▶](#).
- 3 HKEX employees are entitled to parental leave upon fulfilling certain criteria stated in HKEX's Human Resources Manual [▶](#).
- 4 The 2013 and 2014 figures are restated to meet the GRI requirements.

## 2. Diversity

Indicators	2015				
	Gender		Age group		
	Female	Male	Below 30	30 to 50	Over 50
Number of employees by employee category					
Senior	47	91	2	90	46
Middle-level	242	323	23	451	91
Supervisory-level	204	308	122	336	54
General	183	170	115	194	44

## 3. Remuneration

Indicators	2015	
	Basic salary <sup>1</sup>	Remuneration <sup>2</sup>
Ratio of remuneration for female employees to male employees		
Hong Kong		
Senior	0.9	0.9
Middle-level	1.0	0.9
Supervisory-level	0.9	0.9
General	1.1	1.1
UK		
Senior	0.7	0.6
Middle-level	0.9	1.0
Supervisory-level	0.8	0.9
General	0.9	0.9

- 1 Basic salary is a fixed, minimum amount paid to an employee for performing his/her duties.
- 2 Remuneration includes basic salary, performance bonus and share award.

Indicators	2015	2014	2013
	Ratio of the annual total compensation <sup>1</sup> for the highest-paid individual to the median annual total compensation for all employees (excluding the highest-paid individual)		
Hong Kong	61	63	51
UK	17	19	13
Ratio of percentage increase in annual total compensation for the highest-paid individual to the median percentage increase in annual total compensation for all employees (excluding the highest-paid individual)			
Hong Kong	1	2	6
UK	6	5	8

- 1 Annual total compensation includes basic salary, performance bonus and share award.

## 4. Occupational health and safety

In 2015, the Group did not receive any prosecutions in relation to occupational health and safety. The Group did not have any work-related fatalities between 2013 and 2015.

Indicators	2015	2014	2013
Number of reportable injuries <sup>1</sup>	3	2	7
Injury rate <sup>2</sup>	0.2	0.1	0.6
Number of reportable occupational diseases	0	0	2
Occupational disease rate <sup>3</sup>	0	0	0.2
Number of lost days	17	106	156
Lost day rate <sup>4</sup>	1.1	7.6	12.4
Number of absentee days	3,914	3,534	2,862
Absentee rate <sup>5</sup>	1.0	1.0	0.9

- 1 Reportable injuries refer to work-related accidents to employees resulting in incapacity for a period exceeding 3 days in Hong Kong or as defined under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 in the UK where appropriate.
- 2 The injury rate is calculated based on the number of injuries per 200,000 hours worked (100 employees working 40 hours per week for 50 weeks).
- 3 The occupational disease rate is calculated based on the number of occupational diseases per 200,000 hours worked.
- 4 The lost day rate is calculated based on the number of lost days per 200,000 hours worked.
- 5 The absentee rate indicates the number of absentee days (as a result of occupational injuries and other illnesses) as a percentage of the total number of work days scheduled for the workforce.

## 5. Training and development

Indicators	2015	2014	2013
Total cost of training (\$m)	8.7	5.7	4.2
Total number of hours of training received by employees	23,356	22,598	16,256
Average hours of training per employee	15	16	15
By gender			
Female	16	17	16
Male	14	15	13
By employee category			
Senior	15	17	14
Middle-level	17	18	16
Supervisory-level	14	16	16
General	13	13	11
Percentage of employees who received training	89	88	89
By gender <sup>1</sup>			
Female	89	N/A	N/A
Male	88	N/A	N/A
By employee category			
Senior	86	88	83
Middle-level	89	88	92
Supervisory-level	88	88	91
General	89	87	86
Type of trainings			
Number of employees attending external training	282	245	234
Number of employees attending internal training	1,116	1,080	887
Number of employees undertaking e-learning	1,450	1,168	29
Number of employees receiving academic sponsorship	15	18	16
Number of employees attending training on the following topics <sup>1</sup>			
Anti-competition	4	N/A	N/A
Anti-corruption	1,455	N/A	N/A
Anti-money laundering	9	N/A	N/A
Human rights	21	N/A	N/A
Occupational health and safety	663	N/A	N/A
Percentage of permanent employees receiving formal performance appraisals	100	100	100
Percentage of permanent employees receiving multi-rater performance evaluation <sup>2</sup>	16	17	N/A

1 The relevant records have been kept since 2015.

2 Multi-rater performance evaluation was introduced in 2014.

## 6. Compliance and grievance

In 2015, there were no confirmed non-compliance incidents or grievances in relation to human rights and labour practices that have a significant impact on the Group.

## C. Community

### 1. Community investment and employee volunteering

Indicators	2015	2014	2013
Corporate charitable donations (\$m)	2.4	2.0	1.9
Employee charitable donations (\$m)	0.4	0.3	0.2
Corporate sponsorships (\$m)	1.2	0.8	0.8
Number of community initiatives undertaken <sup>1</sup>			
Child and youth	9	N/A	N/A
Disabled	10	N/A	N/A
Disaster relief	1	N/A	N/A
Elderly	4	N/A	N/A
Environmental protection	3	N/A	N/A
Healthcare	3	N/A	N/A
Poverty relief	7	N/A	N/A
Number of employee volunteering hours <sup>2</sup>	3,620	2,842	2,421
Number of employee volunteering leave days <sup>3</sup> taken	64	72	58

1 The relevant records have been kept since 2015.

2 Including volunteering hours from guests of HKEX's employees

3 Employees were granted additional paid leave (a one-day or half-day paid leave for performing at least 8 hours or 4 hours of volunteer service respectively) per year in recognition of their efforts in serving the community.

## D. Environment

Unless otherwise specified, the environmental data covers the Group's operation in Hong Kong and London only, excluding its offices in the Mainland and Singapore.

### 1. Emissions<sup>1</sup>

Indicators	2015	2014	2013
Total GHG emissions <sup>2</sup> (Scope 1 and 2) (tonnes)	19,818	19,635	18,930
Total GHG emissions (Scope 1 and 2) per floor area (tonnes/m <sup>2</sup> )	0.38	0.36	0.34
Total GHG emissions (Scope 1 and 2) per employee (tonnes/employee)	12.64	13.83	14.81
Total GHG emissions (Scope 1, 2 and 3) (tonnes)	21,358	20,286	19,622
Total GHG emissions (Scope 1, 2 and 3) per floor area (tonnes/m <sup>2</sup> )	0.41	0.37	0.36
Total GHG emissions (Scope 1, 2 and 3) per employee (tonnes/employee)	13.62	14.29	15.35
Direct emissions (Scope 1) (tonnes)	52	36	116
Corporate fleet	22	23	23
Diesel <sup>3</sup>	30	12	2
Refrigerants	0	1	91
Indirect emissions (Scope 2) (tonnes)	19,766	19,599	18,814
Electricity	19,722	19,533	18,769
Gas <sup>4</sup>	44	66	45
Indirect emissions (Scope 3) (tonnes)	1,540	651	692
Business travel <sup>5</sup>	652	526	616
Paper consumption	92	125	76
Staff commuting <sup>6</sup>	796	N/A	N/A
GHG emissions avoided by recycling of paper (tonnes)	627	824	720

1 Due to its business nature, the significant air emissions of the Group are the GHG emissions, arising mainly from the use of electricity and fuels derived from fossil fuels.

2 GHG emissions data is presented in carbon dioxide equivalent and was based on the reporting requirements of the "GHG Protocol Corporate Accounting and Reporting Standard" issued by the World Resources Institute and the World Business Council for Sustainable Development, the "Guidelines to Account for and Report on Greenhouse Gas Emissions and Removals for Buildings (Commercial, Residential or Institutional Purposes)" issued by the EMSD and the EPD in Hong Kong, and the "Environmental Reporting Guidelines: Including mandatory greenhouse gas emissions reporting guidance" issued by the Department for Environment, Food & Rural Affairs in the UK.

3 Diesel was consumed for backup generators in the Data Centre.

4 Gas was consumed for heating in the UK. Emissions data was based on the amount of gas consumed and the relevant emission factor.

- 5 Emission data relating to air travel was largely based on the International Civil Aviation Organization Carbon Emissions Calculator. Emission data relating to land and sea travel was based on the estimated distance travelled and the relevant emission factors.
- 6 HKEX has reported the GHG emissions arising from the shuttle bus services provided to its employees working at the Data Centre since 2015.

## 2. Energy consumption<sup>1</sup>

Indicators	2015	2014	2013
Total energy consumption <sup>2</sup> (MWh)	29,495	29,620	30,309
Total energy consumption per floor area (MWh/m <sup>2</sup> )	0.57	0.54	0.55
Total energy consumption per employee (MWh/employee)	18.81	20.86	23.72
Direct energy consumption (MWh)	191	130	92
Unleaded petrol	58	65	62
Diesel	133	65	30
Indirect energy consumption (MWh)	29,304	29,490	30,217
Electricity	29,067	29,133	29,971
Gas <sup>3</sup>	237	357	246
Expense on energy consumption <sup>4</sup> (\$m)	38	39	38

- 1 Energy consumption data was based on the amount of electricity and fuels consumed and the relevant conversion factors provided in the Bioenergy Feedstock Development Program at Oak Ridge National Laboratory.
- 2 Energy consumption figures in 2013 and 2014 were recalculated into megawatt-hours, or MWh, instead of gigajoules, or GJ.
- 3 Gas was consumed for heating in the UK. Consumption data was based on the amount of gas consumed.
- 4 Energy expenses included air-conditioning cost, electricity tariffs, gas tariffs (for heating) and fuel costs (for vehicles and backup generators). Air-conditioning cost incurred did not reflect the actual amount of electricity consumption for air-conditioning since it was charged at a rate proportional to the floor area of leased offices.

## 3. Paper consumption

Indicators	2015	2014	2013
Total paper consumption (tonnes)	98	104	84
Office paper	74	77	60
Paper for printing publications <sup>1</sup>	24	27	24
FSC certified or recycled paper used <sup>2</sup> (%)	81	87	84

- 1 Includes paper used for printing corporate financial statements and brochures, and the Listing Rules
- 2 All office paper and almost all paper for printing the Group's publications are FSC certified or recycled paper, except the paper used for printing the Listing Rules. The Group will continue to explore opportunities to develop its green purchasing practices in this area.

## 4. Water consumption

Indicators	2015	2014	2013
Total water consumption <sup>1</sup> (m <sup>3</sup> )	37,819	37,321	51,210
Total water consumption per floor area (m <sup>3</sup> /m <sup>2</sup> )	1.16	1.13	1.86

- 1 In Hong Kong, except the Data Centre which is owned by the Group, HKEX operates in leased office premises of which both the water supply and discharge are solely controlled by the respective building management which considers the provision of water withdrawal and discharge data or sub-meter for individual occupant not feasible. Hence, the data was collected from the Data Centre and the LME offices only.

## 5. Effluent and waste management

Indicators	2015	2014	2013
Total water discharged <sup>1</sup> (m <sup>3</sup> )	37,819	37,321	51,210
Total waste disposed to landfill <sup>2</sup> (tonnes)	99	102	69
Total waste disposed to landfill per floor area (tonnes/m <sup>2</sup> )	0.002	0.002	0.001
Total waste disposed to landfill per employee (tonnes/employee)	0.06	0.07	0.05
Waste disposed to landfill (tonnes)			
General office waste	92	97	62
Food waste disposed to landfill	7	5	7
Waste collected for recycling			
Food waste (tonnes)	2	3	7
Mixed recycling <sup>3</sup> (tonnes)	17	34	N/A
Paper <sup>4</sup> (tonnes)	130	172	150
Metals (kg)	555	465	519
Plastics (kg)	214	244	205
Polyfoam (kg)	132	230	99
Wooden board (kg)	292	73	417
Electronic equipment <sup>5</sup> (pieces)	762	525	974

- 1 The amount of water discharged is the same as the amount of water consumed according to the water bills received.
- 2 In view of its business nature, the Group is not aware of any significant generation of hazardous waste.
- 3 The relevant records have been kept since 2014.
- 4 Includes confidential waste paper generated within the Group and paper documents submitted by external parties
- 5 Data of electronic equipment and IT equipment reported in the 2013 and 2014 CSR reports has been combined and reported under the category of electronic equipment.

## 6. Compliance and grievance

In 2015, there were no confirmed non-compliance incidents or grievances in relation to environmental protection that have a significant impact on the Group.

# Glossary

<b>Board</b>	HKEX's board of directors
<b>CDP</b>	An NGO formerly named as Carbon Disclosure Project
<b>CPs</b>	Clearing Participants
<b>CSR</b>	Corporate Social Responsibility
<b>CSR Cornerstones</b>	Marketplace, Workplace, Community and Environment
<b>Data Centre</b>	HKEX's data centre at Tseung Kwan O, Hong Kong
<b>Director(s)</b>	HKEX's Director(s)
<b>EMSD</b>	Electrical and Mechanical Services Department, Government
<b>EPs</b>	Exchange Participants
<b>EPD</b>	Environmental Protection Department, Government
<b>ESG</b>	Environmental, Social and Governance
<b>ESG Guide</b>	ESG Reporting Guide, Appendix 27 to the Main Board Listing Rules
<b>FSC</b>	Forest Stewardship Council
<b>GHG</b>	Greenhouse gas
<b>Government</b>	The Government of the Hong Kong Special Administrative Region of the PRC
<b>GRI</b>	Global Reporting Initiative
<b>GRI G4 Guidelines</b>	GRI G4 Sustainability Reporting Guidelines
<b>Group</b>	HKEX and its subsidiaries
<b>HKCC</b>	HKFE Clearing Corporation Limited
<b>HKEX or the Company</b>	Hong Kong Exchanges and Clearing Limited
<b>HKFE</b>	Hong Kong Futures Exchange Limited
<b>HKSCC</b>	Hong Kong Securities Clearing Company Limited
<b>ICAC</b>	Independent Commission Against Corruption
<b>IPO</b>	Initial Public Offering
<b>ISO</b>	International Organization for Standardization
<b>IT</b>	Information Technology
<b>LED</b>	Light-emitting diode
<b>Listing Rule(s) or Rules</b>	Main Board Listing Rules and Rules Governing the Listing of Securities on the Growth Enterprise Market of The Stock Exchange of Hong Kong Limited
<b>LME</b>	The London Metal Exchange
<b>LME Clear</b>	LME Clear Limited
<b>LMEH</b>	LME Holdings Limited
<b>London Metal Mini Futures</b>	London Aluminium Mini Futures, London Zinc Mini Futures and London Copper Mini Futures
<b>Main Board Listing Rules</b>	Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited
<b>NGO</b>	Non-governmental Organisation
<b>OTC</b>	Over-the-counter
<b>OTC Clear</b>	OTC Clearing Hong Kong Limited
<b>PRC</b>	People's Republic of China
<b>SEHK</b>	The Stock Exchange of Hong Kong Limited
<b>Senior Management</b>	The Group's senior executives, and the list of Senior Management as at the date of this Report is set out in the Board of Directors and Senior Management section of HKEX's 2015 Annual Report
<b>SEOCH</b>	The SEHK Options Clearing House Limited
<b>SFC</b>	Securities and Futures Commission
<b>Shanghai-Hong Kong Stock Connect or Stock Connect</b>	A pilot programme that links the stock markets in Shanghai and Hong Kong. Under the programme, investors in Hong Kong and Mainland China can trade and settle shares listed on the other market via the exchange and clearing house in their home market
<b>UK</b>	United Kingdom
<b>US</b>	United States of America
<b>WEX</b>	The Women's Exchange, a staff club of HKEX
<b>WWF</b>	World Wide Fund for Nature Hong Kong
<b>\$/HKD</b>	Hong Kong dollar
<b>\$bn</b>	Hong Kong dollar in billion
<b>\$m</b>	Hong Kong dollar in million
<b>£</b>	Pound sterling

# Verification Statement



## Scope and Objective

Hong Kong Quality Assurance Agency (HKQAA) has been commissioned by Hong Kong Exchanges and Clearing Limited (HKEX) to conduct an independent verification of its 2015 Corporate Social Responsibility (CSR) Report (the Report). The Report stated HKEX's performance and efforts towards sustainable development for the period from 1st January 2015 to 31st December 2015.

The aim of this verification is to provide reasonable assurance of the information, including HKEX's direct (scope 1) and indirect (scope 2 and scope 3) greenhouse gas emissions, stated in the Report is accurate, reliable, material and objective, and the Report is prepared in accordance with the Comprehensive Option of the Global Reporting Initiative (GRI) G4 Sustainability Reporting Guidelines and the Environmental, Social and Governance (ESG) Reporting Guide of The Stock Exchange of Hong Kong Limited (SEHK).

## Independence

HKQAA was not involved in collecting and calculating data, or in the development of the Report. HKQAA's verification exercises are independent from HKEX. There is no relationship between HKEX and HKQAA beyond the contractual agreement for providing the verification service.

## Methodology

The process used in this verification was based on current best practices. The Report was reviewed against the following criteria:

- International Standard on Assurance Engagements 3000 (Revised) (ISAE 3000 (Revised)) – “Assurance Engagements Other Than Audits or Reviews of Historical Financial Information” issued by the International Auditing and Assurance Standards Board;
- GRI G4 Sustainability Reporting Guidelines; and
- SEHK's ESG Reporting Guide.

The verification procedure included reviewing relevant documentation, interviewing responsible personnel with accountability for preparing the Report and verifying the selected representative sample of data and information consolidated in the Report. Raw data and supporting evidence of the selected samples were thoroughly examined.

## Conclusion

Based on the outcome of the verification process, it is confirmed that the Report has been prepared in accordance with the Comprehensive Option of the GRI G4 Sustainability Reporting Guidelines and SEHK's ESG Reporting Guide.

The information presented in the Report provided a structured, balanced and consistent representation of HKEX's CSR performance in the context of sustainable development. The materiality assessment process is systematic and comprehensive and forms the basis for the selection of topics and information presented in the Report that addresses HKEX's significant economic, environmental and social impacts and issues which have substantive influence on stakeholders. We are satisfied that the Report includes factual statements and the data contained within the Report is accurate and reliable. It is a fair and honest representation of HKEX's initiatives, targets, progress and performance on its sustainable development achievements.

## Signed on behalf of Hong Kong Quality Assurance Agency

A handwritten signature in black ink, appearing to read 'Connie', is written over a horizontal line.

Connie Sham  
Head of Audit  
February 2016

# Appendix I - List of HKEX's CSR Aspects<sup>1</sup>



<sup>1</sup> Except those CSR aspects under the “Workplace” which are only material or relevant to HKEX’s employees, all CSR aspects are material or relevant to HKEX as well as the stakeholder groups outside HKEX. More information about HKEX’s stakeholder groups is available on the HKEX Group website [▶](#).

# Appendix II - GRI Content Index

Indicators	Description	2015 CSR Report	2015 Annual Report (AR) ▶ / HKEX Group Website (Website)
<b>General Standard Disclosures</b>			
<b>Strategy and Analysis</b>			
G4-1	Statement from the most senior decision-maker of the organisation	<ul style="list-style-type: none"> <li>Message from the Chairman (pages 2 to 3)</li> </ul>	
G4-2	Description of key impacts, risks, and opportunities	<ul style="list-style-type: none"> <li>Message from the Chairman (pages 2 to 3)</li> <li>Marketplace (pages 10 to 12)</li> <li>Workplace (pages 13 to 15)</li> <li>Community (pages 16 to 18)</li> <li>Environment (pages 19 to 20)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Note 52 to the Consolidated Financial Statements</li> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section ▶</li> </ul>
<b>Organisational Profile</b>			
G4-3	Name of the organisation	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-4	Primary brands, products, and services	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> <li>Website - About HKEX Group ▶</li> </ul>
G4-5	Location of the organisation's headquarters	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Note 1 to the Consolidated Financial Statements</li> </ul>
G4-6	Number of countries where the organisation operates, and names of countries where either the organisation has significant operations or that are specifically relevant to the sustainability topics covered in the report	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Note 27 to the Consolidated Financial Statements</li> </ul>
G4-7	Nature of ownership and legal form	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> </ul>
G4-8	Markets served	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Note 4 to the Consolidated Financial Statements</li> </ul>
G4-9	Scale of the organisation	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> <li>CSR Performance Summary (pages 22 to 24)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Financial Highlights</li> </ul>
G4-10	Employee statistics	<ul style="list-style-type: none"> <li>CSR Performance Summary (pages 22 to 24)</li> </ul>	
G4-11	Percentage of total employees covered by collective bargaining agreements		<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section ▶</li> </ul>
G4-12	Organisation's supply chain	<ul style="list-style-type: none"> <li>Marketplace (pages 10 to 12)</li> <li>CSR Performance Summary (page 21)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Marketplace) section ▶</li> </ul>
G4-13	Significant changes during the reporting period regarding the organisation's size, structure, ownership, or its supply chain	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>AR - Shareholder Information</li> </ul>
G4-14	Whether and how the precautionary approach or principle is addressed by the organisation		<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section ▶</li> </ul>
G4-15	Externally developed economic, environmental and social charters, principles, or other initiatives to which the organisation subscribes or endorses	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Charters and Memberships) section ▶</li> </ul>
G4-16	Memberships of associations and advocacy organisations	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Charters and Memberships) section ▶</li> </ul>
<b>Identified Material Aspects and Boundaries</b>			
G4-17	Entities included in the organisation's consolidated financial statements	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	
G4-18	Process for defining the report content and the aspect boundaries	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-19	Material Aspects identified in the process for defining report content	<ul style="list-style-type: none"> <li>List of HKEX's CSR Aspects (page 31)</li> </ul>	
G4-20	Aspect Boundary within the organisation for each material aspect	<ul style="list-style-type: none"> <li>List of HKEX's CSR Aspects (page 31)</li> </ul>	
G4-21	Aspect Boundary outside the organisation for each material aspect	<ul style="list-style-type: none"> <li>List of HKEX's CSR Aspects (page 31)</li> </ul>	

Indicators	Description	2015 CSR Report	2015 Annual Report (AR)  / HKEX Group Website (Website)
G4-22	Effect of any restatements of information provided in previous reports, and the reasons for such restatements	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-23	Significant changes from previous reporting periods in the scope and aspect boundaries	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
<b>Stakeholder Engagement</b>			
G4-24	List of stakeholder groups engaged by the organisation	<ul style="list-style-type: none"> <li>Stakeholder Engagement (pages 6 to 9)</li> </ul>	
G4-25	Basis for identification and selection of stakeholders with whom to engage	<ul style="list-style-type: none"> <li>Stakeholder Engagement (pages 6 to 9)</li> </ul>	
G4-26	Approach to stakeholder engagement	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> <li>Stakeholder Engagement (pages 6 to 9)</li> </ul>	
G4-27	Key topics and concerns that have been raised by stakeholder groups through stakeholder engagement, and how the organisation has responded to those key topics and concerns, including through its reporting	<ul style="list-style-type: none"> <li>Stakeholder Engagement (pages 6 to 9)</li> </ul>	
<b>Report Profile</b>			
G4-28	Reporting period	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-29	Date of most recent previous report	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-30	Reporting cycle	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-31	Contact point for questions regarding the report or its contents	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	
G4-32	“In accordance” option the organisation has chosen, GRI Content Index, reference to the External Assurance Report	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> <li>Verification Statement (page 30)</li> <li>GRI Content Index (pages 32 to 37)</li> </ul>	
G4-33	Policy and current practice with regard to seeking external assurance for the report	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> <li>Verification Statement (page 30)</li> </ul>	
<b>Governance</b>			
<b>Governance Structure and Composition</b>			
G4-34	Governance structure of the organisation, including committees of the highest governance body. Committees responsible for decision-making on economic, environmental and social impacts	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Board and Committees</li> <li>AR - Corporate Governance Report</li> <li>AR - ESG Committee Report</li> <li>Website - Corporate Governance (Corporate Governance Structure) section </li> </ul>
G4-35	Process for delegating authority for economic, environmental and social topics from the highest governance body to senior executives and other employees	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - ESG Committee Report</li> </ul>
G4-36	Executive-level position or positions with responsibility for economic, environmental and social topics, and whether post holders report directly to the highest governance body	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - ESG Committee Report</li> </ul>
G4-37	Processes for consultation between stakeholders and the highest governance body on economic, environmental and social topics. If consultation is delegated, describe to whom and any feedback processes to the highest governance body	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> <li>Stakeholder Engagement (pages 6 to 9)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>AR - ESG Committee Report</li> <li>Website - CSR (Stakeholder Engagement) section </li> </ul>
G4-38	Composition of the highest governance body and its committees		<ul style="list-style-type: none"> <li>AR - Board and Committees</li> <li>AR - Corporate Governance Report</li> <li>Website - About HKEX (Organisation) section </li> </ul>
G4-39	Indicate whether the Chair of the highest governance body is also an executive officer		<ul style="list-style-type: none"> <li>AR - Board and Committees</li> <li>AR - Corporate Governance Report</li> </ul>

## Appendix II - GRI Content Index

Indicators	Description	2015 CSR Report	2015 Annual Report (AR)  / HKEX Group Website (Website)
G4-40	Nomination and selection processes for the highest governance body and its committees, and the criteria used for nominating and selecting highest governance body members		<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>AR - Nomination Committee Report</li> </ul>
G4-41	Processes for the highest governance body to ensure conflicts of interest are avoided and managed. Indicate whether conflicts of interests are disclosed to stakeholders		<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>Website - Corporate Governance (Corporate Governance Statement) section </li> </ul>
<b>Highest Governance Body's Role in Setting Purpose, Values, and Strategy</b>			
G4-42	Highest governance body's and senior executives' roles in the development, approval, and updating of the organisation's purpose, value or mission statements, strategies, policies, and goals related to economic, environmental and social impacts		<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>Website - Terms of Reference of HKEX's Board </li> </ul>
<b>Highest Governance Body's Competencies and Performance Evaluation</b>			
G4-43	Measures taken to develop and enhance the highest governance body's collective knowledge of economic, environmental and social topics		<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>AR - ESG Committee Report</li> <li>Website - Terms of Reference of the ESG Committee </li> </ul>
G4-44	Processes for evaluation of the highest governance body's performance with respect to governance of economic, environmental and social topics. Actions taken in response to evaluation of the highest governance body's performance with respect to governance of economic, environmental and social topics, including, as a minimum, changes in membership and organisational practice		<ul style="list-style-type: none"> <li>Website - Corporate Governance (Board evaluation) section </li> </ul>
<b>Highest Governance Body's Role in Risk Management</b>			
G4-45	Highest governance body's role in the identification and management of economic, environmental and social impacts, risks, and opportunities, and the implementation of due diligence processes		<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> </ul>
G4-46	Highest governance body's role in reviewing the effectiveness of the organisation's risk management processes for economic, environmental and social topics		<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> </ul>
G4-47	Frequency of the highest governance body's review of economic, environmental and social impacts, risks, and opportunities		<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> </ul>
<b>Highest Governance Body's Role in Sustainability Reporting</b>			
G4-48	Highest committee or position that formally reviews and approves the organisation's sustainability report and ensures that all material aspects are covered	<ul style="list-style-type: none"> <li>About this Report (page 1)</li> </ul>	<ul style="list-style-type: none"> <li>AR - ESG Committee Report</li> </ul>
<b>Highest Governance Body's Role in Evaluating Economic, Environmental and Social Performance</b>			
G4-49	Process for communicating critical concerns to the highest governance body	<ul style="list-style-type: none"> <li>CSR at HKEX (pages 4 to 5)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Audit Committee Report</li> <li>AR - ESG Committee Report</li> <li>AR - Risk Committee Report</li> </ul>
G4-50	Nature and total number of critical concerns that were communicated to the highest governance body and the mechanism(s) used to address and resolve them		<ul style="list-style-type: none"> <li>AR - Audit Committee Report</li> <li>AR - Risk Committee Report</li> </ul>
<b>Remuneration and Incentives</b>			
G4-51	Remuneration policies for the highest governance body and senior executives. How performance criteria in the remuneration policy relate to the highest governance body's and senior executives' economic, environmental and social objectives		<ul style="list-style-type: none"> <li>AR - Remuneration Committee Report</li> <li>Website - Corporate Governance (Remuneration Policy) section </li> </ul>

Indicators	Description	2015 CSR Report	2015 Annual Report (AR)  / HKEX Group Website (Website)
G4-52	Process for determining remuneration. Indicate whether remuneration consultants are involved in determining remuneration and whether they are independent of management. Indicate any other relationships which the remuneration consultants have with the organisation		<ul style="list-style-type: none"> <li>AR - Remuneration Committee Report</li> <li>Website - Corporate Governance (Remuneration Policy) section </li> </ul>
G4-53	How stakeholders' views are sought and taken into account regarding remuneration, including the results of votes on remuneration policies and proposals		<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>AR - Remuneration Committee Report</li> <li>Website - Corporate Governance (Remuneration Policy) section </li> </ul>
G4-54	Ratio of the annual total compensation for the organisation's highest-paid individual in each country of significant operations to the median annual total compensation for all employees (excluding the highest-paid individual) in the same country	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 24)</li> </ul>	
G4-55	Ratio of percentage increase in annual total compensation for the organisation's highest-paid individual in each country of significant operations to the median percentage increase in annual total compensation for all employees (excluding the highest-paid individual) in the same country	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 24)</li> </ul>	
<b>Ethics and Integrity</b>			
G4-56	Organisation's values, principles, standards and norms of behaviour such as codes of conduct and codes of ethics	<ul style="list-style-type: none"> <li>Message from the Chairman (pages 2 to 3)</li> <li>Marketplace (pages 10 to 12)</li> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Corporate Governance Report</li> <li>Website - Corporate Governance (Board Process) section </li> <li>Website - CSR (Marketplace) section </li> <li>Website - CSR (Workplace) section </li> <li>Website - Director's Handbook </li> <li>Website - Human Resources Manual </li> </ul>
G4-57	Internal and external mechanisms for seeking advice on ethical and lawful behaviour, and matters related to organisational integrity, such as helplines or advice lines		<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section </li> <li>Website - CSR (Workplace) section </li> </ul>
G4-58	Internal and external mechanisms for reporting concerns about unethical or unlawful behaviour, and matters related to organisational integrity, such as escalation through line management, whistleblowing mechanisms or hotlines		<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section </li> <li>Website - CSR (Workplace) section </li> <li>Website - Human Resources Manual </li> </ul>
<b>Specific Standard Disclosures</b>			
<b>Economic Performance</b>			
G4-DMA	Disclosures on management approach		<ul style="list-style-type: none"> <li>AR - Financial Review</li> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section </li> </ul>
G4-EC1	Direct economic value generated and distributed	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 21)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Consolidated Financial Statements</li> <li>AR - Directors' Report</li> <li>AR - Financial Highlights</li> <li>AR - Financial Review</li> </ul>
G4-EC2	Financial implications and other risks and opportunities for the organisation's activities due to climate change	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 21)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Environment) section </li> </ul>
G4-EC3	Coverage of the organisation's defined benefit plan obligations		<ul style="list-style-type: none"> <li>AR - Note 11 to the Consolidated Financial Statements</li> <li>AR - Remuneration Committee Report</li> </ul>
G4-EC4	Financial assistance received from government	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 21)</li> </ul>	

## Appendix II - GRI Content Index

Indicators	Description	2015 CSR Report	2015 Annual Report (AR) <a href="#">▶</a> / HKEX Group Website (Website)
<b>Employment</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-LA1	Total number and rate of new employee hires and employee turnover by age group, gender and region	<ul style="list-style-type: none"> <li>CSR Performance Summary (pages 22 to 24)</li> </ul>	
G4-LA2	Benefits provided to full-time employees that are not provided to temporary or part time employees, by significant locations of operation		<ul style="list-style-type: none"> <li>AR - Remuneration Committee Report</li> <li>Website - Corporate Governance (Employees' remuneration structure) section <a href="#">▶</a></li> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-LA3	Return to work and retention rates after parental leave, by gender	<ul style="list-style-type: none"> <li>CSR Performance Summary (pages 22 to 24)</li> </ul>	
<b>Training and Education</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-LA9	Average hours of training per year per employee by gender, and by employee category	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 25)</li> </ul>	
G4-LA10	Programs for skills management and lifelong learning that support the continued employability of employees and assist them in managing career endings	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-LA11	Percentage of employees receiving regular performance and career development reviews, by gender and by employee category	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 25)</li> </ul>	
<b>Diversity and Equal Opportunity</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-LA12	Composition of governance bodies and breakdown of employees per employee category according to gender, age group, minority group membership, and other indicators of diversity	<ul style="list-style-type: none"> <li>CSR Performance Summary (pages 22 to 24)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Board and Committees</li> <li>AR - Corporate Governance Report</li> </ul>
<b>Equal Remuneration for Women and Men</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-LA13	Ratio of basic salary and remuneration of women to men by employee category, by significant locations of operation	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 24)</li> </ul>	
<b>Non-discrimination</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-HR3	Total number of incidents of discrimination and corrective actions taken	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 25)</li> </ul>	
<b>Anti-corruption</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Message from the Chairman (pages 2 to 3)</li> <li>Marketplace (pages 10 to 12)</li> <li>Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Chairman's Statement</li> <li>AR - Corporate Governance Report</li> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section <a href="#">▶</a></li> <li>Website - CSR (Workplace) section <a href="#">▶</a></li> <li>Website - Director's Handbook <a href="#">▶</a></li> <li>Website - Human Resources Manual <a href="#">▶</a></li> </ul>
G4-SO3	Total number and percentage of operations assessed for risks related to corruption and the significant risks identified	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	

Indicators	Description	2015 CSR Report	2015 Annual Report (AR)  / HKEX Group Website (Website)
G4-SO4	Communication and training on anti-corruption policies and procedures	<ul style="list-style-type: none"> <li>Marketplace (pages 10 to 12)</li> <li>Workplace (pages 13 to 15)</li> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section </li> <li>Website - CSR (Workplace) section </li> <li>Website - Director's Handbook </li> <li>Website - Human Resources Manual </li> </ul>
G4-SO5	Confirmed incidents of corruption and actions taken	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> </ul>
<b>Anti-competitive Behaviour</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Marketplace (pages 10 to 12)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Marketplace) section </li> </ul>
G4-SO7	Total number of legal actions for anti-competitive behaviour, anti-trust, and monopoly practices and their outcomes	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Notes 46 to the Consolidated Financial Statements</li> </ul>
<b>Compliance - Social</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Marketplace (pages 10 to 12)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> <li>Website - CSR (Marketplace) section </li> </ul>
G4-SO8	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with laws and regulations	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 25)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> </ul>
<b>Product and Service Labelling</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Marketplace (pages 10 to 12)</li> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Marketplace) section </li> </ul>
G4-PR3	Type of product and service information required by the organisation's procedures for product and service information and labelling, and percentage of significant product and service categories subject to such information requirements		<ul style="list-style-type: none"> <li>Website - CSR (Marketplace) section </li> </ul>
G4-PR4	Total number of incidents of non-compliance with regulations and voluntary codes concerning product and service information and labelling, by type of outcomes	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	
G4-PR5	Results of surveys measuring customer satisfaction	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Marketplace) section </li> </ul>
<b>Marketing Communication</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section </li> <li>Website - CSR (Stakeholder Engagement) section </li> </ul>
G4-PR6	Sale of banned or disrupted products	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> </ul>
G4-PR7	Total number of incidents of non-compliance with regulations and voluntary codes concerning marketing communications, including advertising, promotion, and sponsorship, by type of outcomes	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> </ul>
<b>Customer Privacy</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Risk Committee Report</li> <li>Website - CSR (Marketplace) section </li> </ul>
G4-PR8	Total number of substantiated complaints regarding breaches of customer privacy and losses of customer data	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	
<b>Compliance - Product Responsibility</b>			
G4-DMA	Disclosures on management approach	<ul style="list-style-type: none"> <li>Message from the Chairman (pages 2 to 3)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Chairman's Statement</li> <li>Website - CSR (Marketplace) section </li> </ul>
G4-PR9	Monetary value of significant fines for non-compliance with laws and regulations concerning the provision and use of products and services	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Directors' Report</li> </ul>

# Appendix III - ESG Guide Content Index

Aspects, General Disclosures and KPIs	Description	2015 CSR Report	2015 Annual Report (AR)  / HKEX Group Website (Website)
<b>Aspect A1: Emissions</b>			
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer  relating to air and greenhouse gas emissions, discharges into water and land, and generation of hazardous and non-hazardous waste	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> <li>CSR Performance Summary (page 28)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Environment) section </li> </ul>
KPI A1.1	Types of emissions and respective emissions data	<ul style="list-style-type: none"> <li>CSR Performance Summary (pages 26 to 27)</li> </ul>	
KPI A1.2	Greenhouse gas emissions in total and, where appropriate, intensity	<ul style="list-style-type: none"> <li>CSR Performance Summary (pages 26 to 27)</li> </ul>	
KPI A1.3	Total hazardous waste produced and, where appropriate, intensity	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 28)</li> </ul>	
KPI A1.4	Total non-hazardous waste produced and intensity	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 28)</li> </ul>	
KPI A1.5	Description of measures to mitigate emissions and results achieved	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> </ul>	
KPI A1.6	Description of how hazardous and non-hazardous wastes are handled, reduction initiatives and results achieved	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> <li>CSR Performance Summary (page 28)</li> </ul>	
<b>Aspect A2: Use of Resources</b>			
General Disclosure	Policies on efficient use of resources including energy, water and other raw materials	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Environment) section </li> </ul>
KPI A2.1	Direct and/or indirect energy consumption by type in total and intensity	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 27)</li> </ul>	
KPI A2.2	Water consumption in total and intensity	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 27)</li> </ul>	
KPI A2.3	Description of energy use efficiency initiatives and results achieved	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> </ul>	
KPI A2.4	Description of whether there is any issue in sourcing water, water efficiency initiatives and results achieved	<ul style="list-style-type: none"> <li>CSR Performance Summary (page 27)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Environment) section </li> </ul>
KPI A2.5	Total packaging material used for finished products, and if applicable, with reference to per unit produced	Not applicable to the Group's business	
<b>Aspect A3: The Environment and Natural Resources</b>			
General Disclosure	Policies on minimising the issuer's significant impact on the environment and natural resources	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Environment) section </li> </ul>
KPI A3.1	Description of the significant impacts of activities on the environment and natural resources and actions taken to manage them	<ul style="list-style-type: none"> <li>Environment (pages 19 to 20)</li> </ul>	<ul style="list-style-type: none"> <li>Website - CSR (Environment) section </li> </ul>
<b>Aspect B1: Employment</b>			
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer  relating to compensation and dismissal, recruitment and promotion, working hours, rest periods, equal opportunity, diversity, anti-discrimination, and other benefits and welfare	<ul style="list-style-type: none"> <li>Workplace (pages 13 to 15)</li> <li>CSR Performance Summary (page 25)</li> </ul>	<ul style="list-style-type: none"> <li>AR - Remuneration Committee Report</li> <li>Website - CSR (Workplace) section </li> <li>Website - Human Resources Manual </li> </ul>

Aspects, General Disclosures and KPIs	Description	2015 CSR Report	2015 Annual Report (AR) <a href="#">▶</a> / HKEX Group Website (Website)
KPI B1.1	Total workforce by gender, employment type, age group and geographical region	<ul style="list-style-type: none"> <li>• CSR Performance Summary (pages 22 to 24)</li> </ul>	
KPI B1.2	Employee turnover rate by gender, age group and geographical region	<ul style="list-style-type: none"> <li>• CSR Performance Summary (pages 22 to 24)</li> </ul>	
<b>Aspect B2: Health and Safety</b>			
General Disclosure	<p>Information on:</p> <p>(a) the policies; and</p> <p>(b) compliance with relevant laws and regulations that have a significant impact on the issuer</p> <p>relating to providing a safe working environment and protecting employees from occupational hazards</p>	<ul style="list-style-type: none"> <li>• Workplace (pages 13 to 15)</li> <li>• CSR Performance Summary (pages 24 to 25)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Workplace) section <a href="#">▶</a></li> <li>• Website - Human Resources Manual <a href="#">▶</a></li> </ul>
KPI B2.1	Number and rate of work-related fatalities	<ul style="list-style-type: none"> <li>• CSR Performance Summary (pages 24 to 25)</li> </ul>	
KPI B2.2	Lost days due to work injury	<ul style="list-style-type: none"> <li>• CSR Performance Summary (pages 24 to 25)</li> </ul>	
KPI B2.3	Description of occupational health and safety measures adopted, how they are implemented and monitored	<ul style="list-style-type: none"> <li>• Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Workplace) section <a href="#">▶</a></li> </ul>
<b>Aspect B3: Development and Training</b>			
General Disclosure	<p>Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities</p>	<ul style="list-style-type: none"> <li>• Workplace (pages 13 to 15)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Workplace) section <a href="#">▶</a></li> <li>• Website - Human Resources Manual <a href="#">▶</a></li> </ul>
KPI B3.1	The percentage of employees trained by gender and employee category	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 25)</li> </ul>	
KPI B3.2	The average training hours completed per employee by gender and employee category	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 25)</li> </ul>	
<b>Aspect B4: Labour Standards</b>			
General Disclosure	<p>Information on:</p> <p>(a) the policies; and</p> <p>(b) compliance with relevant laws and regulations that have a significant impact on the issuer</p> <p>relating to preventing child and forced labour</p>	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 25)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Workplace) section <a href="#">▶</a></li> </ul>
KPI B4.1	Description of measures to review employment practices to avoid child and forced labour		<ul style="list-style-type: none"> <li>• Website - CSR (Workplace) section <a href="#">▶</a></li> </ul>
KPI B4.2	Description of steps taken to eliminate child and forced labour practices when discovered		<ul style="list-style-type: none"> <li>• Website - CSR (Workplace) section <a href="#">▶</a></li> </ul>
<b>Aspect B5: Supply Chain Management</b>			
General Disclosure	Policies on managing environmental and social risks of the supply chain	<ul style="list-style-type: none"> <li>• Marketplace (pages 10 to 12)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Marketplace) section <a href="#">▶</a></li> </ul>
KPI B5.1	Number of suppliers by geographical region	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 21)</li> </ul>	
KPI B5.2	Description of practices relating to engaging suppliers, number of suppliers where the practices are being implemented, how they are implemented and monitored	<ul style="list-style-type: none"> <li>• Stakeholder Engagement (pages 6 to 9)</li> <li>• Marketplace (pages 10 to 12)</li> <li>• CSR Performance Summary (page 21)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Marketplace) section <a href="#">▶</a></li> </ul>

## Appendix III - ESG Guide Content Index

Aspects, General Disclosures and KPIs	Description	2015 CSR Report	2015 Annual Report (AR)  / HKEX Group Website (Website)
<b>Aspect B6: Product Responsibility</b>			
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer  relating to health and safety, advertising, labelling and privacy matters relating to products and services provided and methods of redress	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - Directors' Report</li> <li>• Website - CSR (Marketplace) section </li> </ul>
KPI B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons	Not applicable to the Group's business	
KPI B6.2	Number of products and service related complaints received and how they are dealt with	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>• Website - CSR (Marketplace) section </li> </ul>
KPI B6.3	Description of practices relating to observing and protecting intellectual property rights		<ul style="list-style-type: none"> <li>• Website - CSR (Marketplace) section </li> </ul>
KPI B6.4	Description of quality assurance process and recall procedures		<ul style="list-style-type: none"> <li>• Website - CSR (Marketplace) section </li> </ul>
KPI B6.5	Description of consumer data protection and privacy policies, how they are implemented and monitored	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - Risk Committee Report</li> <li>• Website - CSR (Marketplace) section </li> </ul>
<b>Aspect B7: Anti-corruption</b>			
General Disclosure	Information on: (a) the policies; and (b) compliance with relevant laws and regulations that have a significant impact on the issuer  relating to bribery, extortion, fraud and money laundering	<ul style="list-style-type: none"> <li>• Marketplace (pages 10 to 12)</li> <li>• Workplace (pages 13 to 15)</li> <li>• CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - Directors' Report</li> <li>• AR - Risk Committee Report</li> <li>• Website - CSR (Marketplace) section </li> </ul>
KPI 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	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 22)</li> </ul>	
KPI B7.2	Description of preventive measures and whistle-blowing procedures, how they are implemented and monitored	<ul style="list-style-type: none"> <li>• CSR Performance Summary (page 22)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - Risk Committee Report</li> <li>• Website - CSR (Marketplace) section </li> <li>• Website - Human Resources Manual </li> </ul>
<b>Aspect B8: Community Investment</b>			
General Disclosure	Policies on community engagement to understand the needs of the communities where the issuer operates and to ensure its activities takes into consideration communities' interests	<ul style="list-style-type: none"> <li>• Community (pages 16 to 18)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - ESG Committee Report</li> <li>• Website - CSR (Community) section </li> </ul>
KPI B8.1	Focus areas of contribution	<ul style="list-style-type: none"> <li>• Community (pages 16 to 18)</li> <li>• CSR Performance Summary (page 26)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - ESG Committee Report</li> </ul>
KPI B8.2	Resources contributed to the focus areas	<ul style="list-style-type: none"> <li>• Community (pages 16 to 18)</li> <li>• CSR Performance Summary (page 26)</li> </ul>	<ul style="list-style-type: none"> <li>• AR - ESG Committee Report</li> </ul>



Hong Kong Exchanges and Clearing Limited  
12/F, One International Finance Centre  
1 Harbour View Street, Central, Hong Kong

[info@hkex.com.hk](mailto:info@hkex.com.hk)  
t: +852 2522 1122 f: +852 2295 3106  
[hkexgroup.com](http://hkexgroup.com) | [hkex.com.hk](http://hkex.com.hk)