

2024 Awards of Excellence in Corporate Governance Candidate Company Questionnaire

Companies nominated for the 2024 Awards of Excellence in Corporate Governance please fill this questionnaire diligently and truthfully. This will assist our Expert Review Group (ERG) to make an initial assessment of your company's corporate governance performance and commitment. Together with other review work to be done by the ERG, this will form the basis of ERG's recommendation to the Judging Panel. This questionnaire has categorized the requirements under Appendix C1 "Corporate Governance Code" to the Listing Rules issued by the Stock Exchange and is designed to establish a company's commitment to the highest principles. Candidates are welcome to elaborate or explain their answers if deemed necessary, and to provide relevant supplementary information, on a separate sheet of paper.

This questionnaire can be answered online. Please save the answered questionnaire in PDF format and submit it together with other materials.

| Compliance with Corporate Governance Code | Yes | No | Not applicable |
|---|-----|----|----------------|
| 1. Did the Chairman of the Board attend the last two AGMs? | | | |
| 2. Did the Chairman of the Audit Committee attend the last two AGMs? | | | |
| 3. Did the Chairman of the Remuneration Committee attend the last two AGMs? | | | |
| 4. Have any directors traded their shares during the blackout period between the financial period/year-end date and the date of announcing interim and/or annual financial results? | | | |
| 5. Was there any record of sanctions by the SFC, SEHK, or Accounting and Financial Reporting Council during the past two years? | | | |
| 6. Was there any record alleging that the company had disclosed inside information unfairly during the past two years? | | | |
| 7. Were there any cases of insider trading involving company directors and/or management in the past two years? | | | |
| 8. Were there any non-compliance incidents regarding connected transactions in the past two years? | | | |
| 9. Were there any non-compliance cases that were considered as serious offences by the SFC / SEHK / Accounting and Financial Reporting Council during the past two years? | | | |
| 10. Is there a whistleblowing policy and an anti-corruption policy in place? | | | |

| | Yes | No | Not applicable |
|---|-----|----|----------------|
| 11. Does the company have established policy and systems for risk management and internal controls? | | | |
| 12. Does the company conduct an annual review of the effectiveness of the risk management and internal control systems? | | | |
| 13. Did the company deviate from the code provisions required by Appendix C1 of the Listing Rules of SEHK in the past two years? | | | |
| 14. If there were any deviations from the code provisions, have the detailed reasons for any deviations from the code provisions been stated in the relevant financial reports? | | | |
| 15. Does the company's risk management and internal controls system cover material ESG risks? | | | |

| Board Responsibilities and Transparency | Yes | No | Not applicable |
|---|-----|----|----------------|
| 16. If a director or multiple directors have material interests in a matter or transaction being considered by the board, do the concerned director(s) declare their interests and abstain from voting on such resolutions? | | | |
| 17. Did the Chairman meet INEDs without the presence of NEDs/EDs during the last financial year? | | | |
| 18. Does the board of directors conduct an annual assessment of its performance? | | | |
| 19. Does the board of directors conduct an annual assessment of the performance of the senior management of the company? | | | |
| 20. How many hours of training are provided to directors in a year on average? Please give answer: _____ | | | |
| 21. On average, how many directorships of listed issuers (other than your company) did each of the independent non-executive directors serve in the last financial year? Please give answer: _____ | | | |
| 22. What is the average number of years of service for the independent non-executive directors with the company? Please give answer: _____ | | | |
| 23. What is the ratio of INEDs on the board? Please give answer: _____ | | | |
| 24. Is there an INED-led Nomination/Remuneration Committee? | | | |
| 25. Does the company's board of directors formulate the purpose, values, and strategy of the company, ensuring consistency with the corporate culture, while also committing to promoting corporate culture and continually reinforcing the concept of "acting in accordance with the law, ethics, and responsibility"? | | | |
| 26. Does the company's board of directors have a procedure or mechanism in place that allows directors to seek independent professional advice when reasonably needed under appropriate circumstances, with the costs covered by the company? | | | |

| | Yes | No | Not applicable |
|--|-----|----|----------------|
| 27. Does the company provide liability insurance for INEDs on the board? | | | |
| 28. How many female directors serve on the board? Please give answer: _____ | | | |
| 29. Does the company have a board diversity policy and a target to achieve board diversity? | | | |
| 30. Does the company disclose the details of major areas of consideration by the board of directors and other board committees during the financial year in the annual report? | | | |

| Shareholders' Engagement and ESG | Yes | No | Not applicable |
|---|-----|----|----------------|
| 31. Is there any mechanism to allow minority shareholders to influence board composition? Such as procedures for shareholders to nominate a director? | | | |
| 32. Does the company accept voting via the internet or other electronic methods? | | | |
| 33. Does the company provide information about shareholders communication channels in its annual report and/or corporate website? | | | |
| 34. Does the company explicitly mention how its ESG initiatives impact society? | | | |

| Improvements | Yes | No | Not applicable |
|--|-----|----|----------------|
| 35. Has your company been invited for an interview in front of the judging panel for the Corporate Governance and ESG Excellence Awards before? | | | |
| 36. If your answer to the previous question is "Yes", then please list on a separate sheet of paper improvements (if any) that the company has made as a result of the comments it received previously from the judging panel. | | | |

Supplementary Information

In addition, each candidate company is requested to provide supplementary information in no more than 800 words (in either English or Chinese) to illustrate the company's corporate governance beliefs, new endeavours, major achievements, or improvements. A case study can be used as illustration.

Separate write-ups are required for the "Award of Excellence in Corporate Governance" and the "Award of Excellence in ESG".

As our ERG would review published annual and / or ESG reports as part of its evaluation, additional and updated information or a highlight description is recommended.