

2026 Awards of Excellence in Corporate Governance Candidate Company Questionnaire

Companies nominated for the 2026 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 Securities and Futures Commission ("SFC"), the Stock Exchange of Hong Kong Limited ("HKEX") or the Accounting and Financial Reporting Council ("AFRC") 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 / HKEX / AFRC during the past two years?			

	Yes	No	Not applicable
10. Is there a whistleblowing policy and an anti-corruption policy in place?			
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 to the Listing Rules of HKEX 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?			
16. Does the Nomination Committee consist of at least one member of different gender, and has it conducted an annual review of the implementation of the board diversity policy?			
17. Has the Nomination Committee conducted an annual assessment of each director's time commitment and contribution to the board during the last financial year?			
18. If the board is not chaired by an independent non-executive director, has the company appointed a lead independent non-executive director?			
19. Did any independent non-executive director hold seven or more directorships in listed issuers concurrently during the last financial year?			
20. Does the Board appoint a lead independent non-executive director to serve as an intermediary for the other directors and shareholders where normal communication channels with the chairman or management are inadequate?			
21. Does the company disclose its dividend policy and the factors that the board considered on dividend distribution?			

Board Responsibilities and Transparency	Yes	No	Not applicable
22. 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?			
23. Did the Chairman meet INEDs without the presence of NEDs/EDs during the last financial year?			
24. Does the board of directors conduct an annual assessment or a formal board evaluation of its performance?			
25. Does the company disclose the scope, process and results of the board performance review in its corporate governance report?			
26. Does the company maintain and disclose a board of directors skills matrix setting out how the combination of skills, experience and diversity of directors serves the company's purpose, values, strategy and desired culture?			

	Yes	No	Not applicable
27. Does the board of directors conduct an annual assessment of the performance of the senior management of the company?			
28. Did all directors receive continuous professional development training on the designated topics during the last financial year?			
29. Does the company disclose for each director the training hours, training format, training topics and the name of external training providers (if any) in the corporate governance report?			
30. How many hours of training are provided to directors in a year on average? Please give answer: _____			
31. 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: _____			
32. What is the ratio of INEDs on the board? Please give answer: _____			
33. What is the average number of years of service for the independent non-executive directors with the company? Please give answer: _____			
34. Does the company have a succession plan for overboarding independent non-executive directors and/or long-serving independent non-executive directors?			
35. Is there an INED-led Nomination/Remuneration Committee?			
36. 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"?			
37. 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?			
38. Does the company provide liability insurance for INEDs on the board?			
39. How many female directors serve on the board and their percentage to the board members? Please give answer: _____			
40. Does the company have a board diversity policy and a measurable target to achieve board diversity?			
41. Does the company have a workforce diversity policy with measurable objectives (such as numerical targets and timelines), and does it separately disclose in the annual report?			
42. 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
43. Is there any mechanism to allow minority shareholders to influence board composition? Such as procedures for shareholders to nominate a director?			
44. Does the company accept voting via the internet or other electronic methods?			
45. Does the company disclose in its corporate governance report the representatives of the company involved in shareholder engagement activities and the follow-up actions taken?			
46. Does the company maintain records of shareholder engagement, including the nature, number/frequency of engagement and the groups of shareholders involved?			
47. Does the company explicitly mention how its ESG initiatives impact society?			

Improvements	Yes	No	Not applicable
48. Has your company been invited for an interview in front of the judging panel for the Corporate Governance and ESG Excellence Awards before?			
49. 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.

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