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# Content Indexes

2019  
Corporate Social Responsibility  
Report

Stock Code: 388

# ESG Guide Content Index

Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: 2019 Annual Report ; Website: HKEX Group website)
<b>A. ENVIRONMENTAL</b>		
<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>• This Report – Our Operations (pages 44, 45, 48 and 49)</li> <li>• This Report – Performance Summary (page 59)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI A1.1	The types of emissions and respective emissions data	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 59)</li> </ul>
KPI A1.2	Greenhouse gas emissions in total and, where appropriate, intensity	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 59)</li> </ul>
KPI A1.3	Total hazardous waste produced and, where appropriate, intensity	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 60)</li> </ul>
KPI A1.4	Total non-hazardous waste produced and, where appropriate, intensity	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 60)</li> </ul>
KPI A1.5	Description of measures to mitigate emissions and results achieved	<ul style="list-style-type: none"> <li>• This Report – Our Operations (pages 48 and 49)</li> <li>• This Report – Performance Summary (pages 59 and 60)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></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>• This Report – Our Operations (pages 48 and 49)</li> <li>• This Report – Performance Summary (page 60)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
<b>Aspect A2: Use of Resources</b>		
General Disclosure	Policies on the efficient use of resources, including energy, water and other raw materials	<ul style="list-style-type: none"> <li>• This Report – Our Operations (pages 44, 45, 48 and 49)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI A2.1	Direct and/or indirect energy consumption by type in total and intensity	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 60)</li> </ul>
KPI A2.2	Water consumption in total and intensity	This indicator is not material to the Group in view of our business nature in the financial services industry.
KPI A2.3	Description of energy use efficiency initiatives and results achieved	<ul style="list-style-type: none"> <li>• This Report – Our Operations (pages 48 and 49)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI A2.4	Description of whether there is any issue in sourcing water, water efficiency initiatives and results achieved	While water consumption is not material to the Group in view of its business nature in the financial services industry, the Group does not encounter any issues in sourcing water.
KPI A2.5	Total packaging material used for finished products, and if applicable, with reference to per unit produced	This indicator is not material to the Group because our operations do not involve packaging material used for finished products.
<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>• This Report – Our Operations (pages 44, 45, 48 and 49)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></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>• This Report – Our Operations (pages 48 and 49)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> </ul>

Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: 2019 Annual Report ; Website: HKEX Group website)
<b>B. SOCIAL</b>		
<b>Employment and Labour Practices</b>		
<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>• This Report – Our People (pages 30 to 37)</li> <li>• This Report – Performance Summary (pages 54 to 58)</li> <li>• AR – Remuneration Committee Report (pages 105 to 111)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> <li>• Website – <a href="#">Key Policies and Guidelines for HKEX Employees</a></li> </ul>
KPI B1.1	Total workforce by gender, employment type, age group and geographical region	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (pages 54)</li> </ul>
KPI B1.2	Employee turnover rate by gender, age group and geographical region	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (pages 55)</li> </ul>
<b>Aspect B2: Health and Safety</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 providing a safe working environment and protecting employees from occupational hazards	<ul style="list-style-type: none"> <li>• This Report – Our People (pages 30, 31, 32, 34 and 35)</li> <li>• This Report – Performance Summary (pages 56 and 58)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> <li>• Website – <a href="#">Key Policies and Guidelines for HKEX Employees</a></li> </ul>
KPI B2.1	Number and rate of work-related fatalities	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (pages 58)</li> </ul>
KPI B2.2	Lost days due to work injury	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (pages 58)</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>• This Report – Our People (pages 32, 34 and 35)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> </ul>
<b>Aspect B3: Development and Training</b>		
General Disclosure	Policies on improving employees' knowledge and skills for discharging duties at work. Description of training activities	<ul style="list-style-type: none"> <li>• This Report – Our People (pages 30 to 33)</li> <li>• This Report – Our Operations (pages 44 to 47)</li> <li>• This Report – Performance Summary (page 56)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> <li>• Website – <a href="#">Key Policies and Guidelines for HKEX Employees</a></li> </ul>
KPI B3.1	The percentage of employees trained by gender and employee category	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 56)</li> </ul>
KPI B3.2	The average training hours completed per employee by gender and employee category	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 56)</li> </ul>
<b>Aspect B4: Labour Standards</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 preventing child and forced labour	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 54)</li> <li>• Website – <a href="#">CSR (Our Operations) section</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 – <a href="#">CSR (Our Operations) section</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 – <a href="#">CSR (Our Operations) section</a></li> </ul>

Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: 2019 Annual Report ; Website: HKEX Group website)
<b>Operating Practices</b>		
<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>This Report – Our Operations (pages 44, 45, 50 and 51)</li> <li>This Report – Performance Summary (page 53)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI B5.1	Number of suppliers by geographical region	<ul style="list-style-type: none"> <li>This Report – Performance Summary (page 53)</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>This Report – Our Operations (page 50)</li> <li>This Report – Performance Summary (page 53)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
<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>This Report – Our Operations (pages 44 to 47)</li> <li>This Report – Performance Summary (page 53)</li> <li>AR – Directors’ Report (pages 114 to 120)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI B6.1	Percentage of total products sold or shipped subject to recalls for safety and health reasons	This indicator is not material to the Group in view of its business nature in the financial services industry
KPI B6.2	Number of products and service related complaints received and how they are dealt with	<ul style="list-style-type: none"> <li>This Report – Performance Summary (page 53)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI B6.3	Description of practices relating to observing and protecting intellectual property rights	<ul style="list-style-type: none"> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI B6.4	Description of quality assurance process and recall procedures	<ul style="list-style-type: none"> <li>Website – <a href="#">CSR (Our Operations) section</a></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>This Report – Our Operations (pages 46 and 47)</li> <li>This Report – Performance Summary (page 53)</li> <li>AR – Risk Committee Report (pages 101 to 104)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></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>This Report – Our Operations (pages 44 to 47)</li> <li>This Report – Performance Summary (page 52)</li> <li>AR – Risk Committee Report (pages 101 to 104)</li> <li>AR – Directors’ Report (pages 114 to 120)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></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>This Report – Performance Summary (page 52)</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>This Report – Our Operations (pages 46 and 47)</li> <li>This Report – Performance Summary (pages 52 and 56)</li> <li>AR – Audit Committee Report (pages 97 to 100)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> <li>Website – <a href="#">Key Policies and Guidelines for HKEX Employees</a></li> </ul>
<b>Community</b>		
<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>This Report – Our People (pages 30, 31, 36 to 41)</li> <li>Website – <a href="#">CSR (Our People) section</a></li> </ul>
KPI B8.1	Focus areas of contribution	<ul style="list-style-type: none"> <li>This Report – Our People (pages 30, 31, 36 to 41)</li> <li>Website – <a href="#">CSR (Our People) section</a></li> </ul>
KPI B8.2	Resources contributed to the focus areas	<ul style="list-style-type: none"> <li>This Report – Our People (pages 30, 31, 36 to 41)</li> <li>This Report – Performance Summary (page 58)</li> </ul>

# GRI Content Index

HKEX's 2019 Corporate Social Responsibility Report references selected disclosures, or parts of their content, of the Global Reporting Initiative Sustainability Reporting Standards (GRI Standards). The content and the corresponding disclosures of the GRI Standards are presented below:

## Message from Our Chairman

GRI 102: General Disclosure 2016	
102-14	Statement from senior decision-maker
102-15	Key impacts, risks, and opportunities
102-16	Values, principles, standards and norms of behaviour

## HKEX in the Community

GRI 102: General Disclosure 2016	
102-1	Name of the organisation
102-2	Activities, brands, products, and services
102-3	Location of headquarters
102-4	Location of operations
102-5	Ownership and legal form
102-6	Markets served
102-7	Scale of the organisation
102-16	Values, principles, standards and norms of behaviour
102-45	Entities included in the consolidated financial statements

## Our Approach to CSR

GRI 102: General Disclosure 2016	
102-11	Precautionary Principle or approach
102-12	External initiatives
102-13	Membership of associations
102-18	Governance structure
102-19	Delegating authority
102-20	Executive-level responsibility for economic, environmental and social topics
102-21	Consulting stakeholders on economic, environmental, and social topics
102-22	Composition of the highest governance body and its committees
102-26	Role of highest governance body in setting purpose, values, and strategy
102-27	Collective knowledge of highest governance body
102-29	Identifying and managing economic, environmental and social impacts
102-30	Effectiveness of risk management processes
102-31	Review of economic, environmental, and social topics
102-32	Highest governance body's role in sustainability reporting
102-33	Communicating critical concerns
102-40	List of stakeholder groups
102-42	Identifying and selecting stakeholders
102-43	Approach to stakeholder engagement
102-44	Key topics and concerns raised
102-47	List of material topics
102-49	Changes in reporting
GRI 103: Management Approach 2016	
103-1	Explanation of the material topic and its Boundary
103-2	The management approach and its components
103-3	Evaluation of the management approach

## Our Markets

GRI 102: General Disclosure 2016	
102-12	External initiatives
102-15	Key impacts, risks, and opportunities
GRI 103: Management Approach 2016	
103-1	Explanation of the material topic and its Boundary
103-2	The management approach and its components
103-3	Evaluation of the management approach

## Our People

GRI 102: General Disclosure 2016	
102-12	External initiatives
102-15	Key impacts, risks, and opportunities
GRI 103: Management Approach 2016	
103-1	Explanation of the material topic and its Boundary
103-2	The management approach and its components
103-3	Evaluation of the management approach
GRI 404: Training and Education 2016	
404-2	Programmes for upgrading employee skills and transition assistance programmes
GRI 413: Local Communities 2016	
413-1	Operations with local community engagement, impact assessments, and development programs

## Our Operations

GRI 102: General Disclosure 2016	
102-12	External initiatives
102-15	Key impacts, risks, and opportunities
102-16	Values, principles, standards and norms of behaviour
102-17	Mechanisms for advice and concerns about ethics
GRI 103: Management Approach 2016	
103-1	Explanation of the material topic and its Boundary
103-2	The management approach and its components
103-3	Evaluation of the management approach
GRI 205: Anti-corruption 2016	
205-2	Communication and training about anti-corruption policies and procedures

## Performance Summary

GRI 102: General Disclosure 2016	
102-7	Scale of the organisation
102-8	Information on employees and other workers
102-9	Supply chain
102-10	Significant changes to the organisation and its supply chain
102-38	Annual total compensation ratio
102-39	Percentage increase in annual total compensation ratio
102-48	Restatements of information

## Performance Summary (continued)

<b>GRI 201: Economic Performance 2016</b>	
201-1	Direct economic value generated and distributed
201-2	Financial implications and other risks and opportunities due to climate change
201-4	Financial assistance received from government
<b>GRI 205: Anti-corruption 2016</b>	
205-2	Communication and training about anti-corruption policies and procedures
205-3	Confirmed incidents of corruption and actions taken
<b>GRI 206: Anti-competitive Behavior 2016</b>	
206-1	Legal actions for anti-competitive behaviour, anti-trust, and monopoly practices
<b>GRI 302: Energy 2016</b>	
302-1	Energy consumption within the organization
302-3	Energy intensity
<b>GRI 305: Emissions 2016</b>	
305-1	Direct (Scope 1) GHG emissions
305-2	Energy indirect (Scope 2) GHG emissions
305-3	Other indirect (Scope 3) GHG emissions
305-4	GHG emissions intensity
305-5	Reduction of GHG emissions
<b>GRI 307: Environmental Compliance 2016</b>	
307-1	Non-compliance with environmental laws and regulations
<b>GRI 401: Employment 2016</b>	
401-1	New employee hires and employee turnover
401-3	Parental leave
<b>GRI 403: Occupational Health and Safety 2016</b>	
403-5	Worker training on occupational health and safety
<b>GRI 404: Training and Education 2016</b>	
404-1	Average hours of training per year per employee
404-2	Programmes for upgrading employee skills and transition assistance programmes
404-3	Percentage of employees receiving regular performance and career development reviews
<b>GRI 405: Diversity and Equal Opportunity 2016</b>	
405-1	Diversity of governance bodies and employees
405-2	Ratio of basic salary and remuneration of women to men
<b>GRI 406: Non-discrimination 2016</b>	
406-1	Incidents of discrimination and corrective actions taken
<b>GRI 412: Human Rights Assessment 2016</b>	
412-2	Employee training on human rights policies or procedures
<b>GRI 413: Local Communities 2016</b>	
413-1	Operations with local community engagement, impact assessments, and development programs
<b>GRI 417: Marketing and Labeling 2016</b>	
417-2	Incidents of non-compliance concerning product and service information and labelling
417-3	Incidents of non-compliance concerning marketing communications
<b>GRI 418: Customer Privacy 2016</b>	
418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data

## About this Report

GRI 101: Foundation 2016	
GRI 102: General Disclosure 2016	
102-32	Highest governance body's role in sustainability reporting
102-46	Defining report content and topic Boundaries
102-50	Reporting period
102-51	Date of most recent report
102-52	Reporting cycle
102-53	Contact point for questions regarding the report
102-56	External assurance

## Verification Statement

GRI 102: General Disclosure 2016	
102-56	External assurance