



# Content Indexes



**Corporate Social Responsibility  
Report 2020**

Stock code: 388

# ESG Guide Content Index

Requirements, Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: <a href="#">Annual Report 2020</a> ; Website: <a href="#">HKEX Group website</a> )
<b>Mandatory Disclosure Requirements</b>		
Governance Structure	A statement from the board containing the following elements: (i) a disclosure of the board’s oversight of ESG issues; (ii) the board’s ESG management approach and strategy, including the process used to evaluate, prioritise and manage material ESG-related issues (including risks to the issuer’s businesses); and (iii) how the board reviews progress made against ESG-related goals and targets with an explanation of how they relate to the issuer’s businesses	<ul style="list-style-type: none"> <li>AR – Corporate Governance Report (pages 80 to 95)</li> <li>AR – Risk Committee Report (pages 102 to 105)</li> <li>This Report – Our Approach to CSR (pages 9 to 11)</li> <li>Website – <a href="#">CSR (Our Approach) section</a></li> </ul>
Reporting Principles	A description of, or an explanation on, the application of the Reporting Principles (Materiality, Quantitative and Consistency) in the preparation of the ESG report	<ul style="list-style-type: none"> <li>This Report – About this Report (page 65)</li> </ul>
Reporting Boundary	A narrative explaining the reporting boundaries of the ESG report and describing the process used to identify which entities or operations are included in the ESG report. If there is a change in the scope, the issuer should explain the difference and reason for the change	<ul style="list-style-type: none"> <li>This Report – About this Report (page 65)</li> </ul>
<b>“Comply or explain” Provisions</b>		
<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 Approach to CSR (pages 12 to 15)</li> <li>This Report – Our Operations (pages 48, 49 and 52)</li> <li>This Report – Performance Summary (page 62)</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 62)</li> </ul>
KPI A1.2	Direct (Scope 1) and energy indirect (Scope 2) greenhouse gas emissions and, where appropriate, intensity	<ul style="list-style-type: none"> <li>This Report – Performance Summary (page 62)</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 64)</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 64)</li> </ul>
KPI A1.5	Description of emission target(s) set and step taken to achieve them	<ul style="list-style-type: none"> <li>This Report – Our Operations (pages 52 and 53)</li> <li>This Report – Performance Summary (pages 62 to 64)</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, and a description of reduction target(s) set and steps taken to achieve them	<ul style="list-style-type: none"> <li>This Report – Our Operations (pages 52)</li> <li>This Report – Performance Summary (page 64)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>

Requirements, Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: <a href="#">Annual Report 2020</a> ; Website: <a href="#">HKEX Group website</a> )
<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 48, 49 and 52)</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 63)</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 target(s) set and steps taken to achieve them	<ul style="list-style-type: none"> <li>This Report – Our Operations (pages 48, 49 and 52)</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 that is fit for purpose, water efficiency target(s) set and steps taken to achieve them	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 Approach to CSR (pages 12 to 14)</li> <li>This Report – Our Operations (pages 52 and 53)</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 Approach to CSR (pages 12 to 14)</li> <li>This Report – Our Operations (pages 52 and 53)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
<b>Aspect A4: Climate Change</b>		
General Disclosure	Policies on identification and mitigation of significant climate-related issues which have impacted, and those which may impact, the issuer	<ul style="list-style-type: none"> <li>This Report – Our Approach to CSR (pages 12 to 14)</li> </ul>
KPI A4.1	Description of the significant climate-related issues which have impacted, and those which may impact, the issuer and the actions taken to manage them	<ul style="list-style-type: none"> <li>This Report – Our Approach to CSR (pages 12 to 14)</li> <li>This Report – Our Markets (pages 26 to 29)</li> <li>This Report – Our People (pages 44)</li> <li>This Report – Our Operations (pages 52 and 53)</li> </ul>

Requirements, Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: <a href="#">Annual Report 2020</a> ; Website: <a href="#">HKEX Group website</a> )
<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 34 to 39)</li> <li>• This Report – Our Operations (pages 50 and 51)</li> <li>• This Report – Performance Summary (pages 57 to 61)</li> <li>• AR – Remuneration Committee Report (pages 106 to 112)</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="#">HKEX Governing Principles in the Workplace</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 (page 57)</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 (page 58)</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 (page 37)</li> <li>• This Report – Performance Summary (pages 59 and 60)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> <li>• Website – <a href="#">HKEX Governing Principles in the Workplace</a></li> </ul>
KPI B2.1	Number and rate of work-related fatalities occurred in each of the past three years including the reporting year	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 60)</li> </ul>
KPI B2.2	Lost days due to work injury	<ul style="list-style-type: none"> <li>• This Report – Performance Summary (page 60)</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 (page 37)</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 (page 36)</li> <li>• This Report – Our Operations (pages 50 and 51)</li> <li>• This Report – Performance Summary (page 59)</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="#">HKEX Governing Principles in the Workplace</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 59)</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 59)</li> </ul>

Requirements, Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: <a href="#">Annual Report 2020</a> ; Website: <a href="#">HKEX Group website</a> )
<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 57)</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>
<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 (page 54)</li> <li>This Report – Performance Summary (page 56)</li> <li>Website – <a href="#">CSR (Our Approach) section</a></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 56)</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 54)</li> <li>This Report – Performance Summary (page 56)</li> <li>Website – <a href="#">CSR (Our Approach) section</a></li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI B5.3	Description of practices used to identify environmental and social risks along the supply chain, and how they are implemented and monitored	<ul style="list-style-type: none"> <li>This Report – Our Operations (page 54)</li> <li>This Report – Performance Summary (page 56)</li> <li>Website – <a href="#">CSR (Our Approach) section</a></li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>
KPI B5.4	Description of practices used to promote environmentally preferable products and services when selecting suppliers, and how they are implemented and monitored	<ul style="list-style-type: none"> <li>This Report – Our Operations (page 54)</li> <li>This Report – Performance Summary (page 56)</li> <li>Website – <a href="#">CSR (Our Approach) section</a></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 48 to 51)</li> <li>This Report – Performance Summary (page 56)</li> <li>AR – Directors' Report (pages 115 to 121)</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 56)</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 50 and 51)</li> <li>This Report – Performance Summary (page 56)</li> <li>AR – Risk Committee Report (pages 102 to 105)</li> <li>Website – <a href="#">CSR (Our Operations) section</a></li> </ul>

Requirements, Subject Areas, Aspects, General Disclosures and KPIs		Locations of Disclosure or Remarks (AR: <a href="#">Annual Report 2020</a> ; Website: <a href="#">HKEX Group website</a> )
<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 50 and 51)</li> <li>• This Report – Performance Summary (page 55)</li> <li>• AR – Risk Committee Report (pages 102 to 105)</li> <li>• AR – Directors’ Report (pages 115 to 121)</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 55)</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 50 and 51)</li> <li>• This Report – Performance Summary (pages 55 and 59)</li> <li>• AR – Audit Committee Report (pages 99 to 101)</li> <li>• Website – <a href="#">CSR (Our Operations) section</a></li> <li>• Website – <a href="#">HKEX Governing Principles in the Workplace</a></li> </ul>
KPI B7.3	Description of anti-corruption training provided to directors and staff	<ul style="list-style-type: none"> <li>• This Report – Our Operations (pages 50 and 51)</li> <li>• This Report – Performance Summary (pages 55 and 59)</li> <li>• Website – <a href="#">HKEX Director’s Handbook</a></li> <li>• Website – <a href="#">HKEX Governing Principles in the Workplace</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 38 to 45)</li> <li>• Website – <a href="#">CSR (Our Approach) section</a></li> <li>• Website – <a href="#">CSR (HKEX Foundation) section</a></li> </ul>
KPI B8.1	Focus areas of contribution	<ul style="list-style-type: none"> <li>• This Report – Our People (pages 38 to 45)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> <li>• Website – <a href="#">CSR (HKEX Foundation) 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 38 to 45)</li> <li>• This Report – Performance Summary (page 61)</li> <li>• Website – <a href="#">CSR (Our People) section</a></li> <li>• Website – <a href="#">CSR (HKEX Foundation) section</a></li> </ul>

# GRI Content Index

HKEX's 2020 Corporate Social Responsibility Report references selected disclosures, or parts of their content, of the Global Reporting Initiative Sustainability Reporting Standards (GRI Standards). The Report's 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
102-29	Identifying and managing economic, environmental and social impacts
102-30	Effectiveness of risk management processes
102-31	Review of economic, environmental, and social topics
102-33	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

## Our Approach to CSR (Continued)

### 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
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## 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
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## 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

### GRI 201: Economic Performance 2016

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

### GRI 204: Procurement Practices 2016

204-1	Proportion of spending on local suppliers
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### GRI 205: Anti-corruption 2016

205-2	Communication and training about anti-corruption policies and procedures
205-3	Confirmed incidents of corruption and actions taken

### GRI 206: Anti-competitive Behavior 2016

206-1	Legal actions for anti-competitive behaviour, anti-trust, and monopoly practices
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### GRI 302: Energy 2016

302-1	Energy consumption within the organisation
302-3	Energy intensity

### GRI 305: Emissions 2016

305-1	Direct (Scope 1) GHG emissions
305-2	Energy indirect (Scope 2) GHG emissions
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305-4	GHG emissions intensity
305-5	Reduction of GHG emissions

### GRI 307: Environmental Compliance 2016

307-1	Non-compliance with environmental laws and regulations
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### GRI 401: Employment 2016

401-1	New employee hires and employee turnover
401-3	Parental leave

### GRI 403: Occupational Health and Safety 2016

403-5	Worker training on occupational health and safety
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## Performance Summary (Continued)

### GRI 404: Training and Education 2016

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

### GRI 405: Diversity and Equal Opportunity 2016

405-1	Diversity of governance bodies and employees
405-2	Ratio of basic salary and remuneration of women to men

### GRI 406: Non-discrimination 2016

406-1	Incidents of discrimination and corrective actions taken
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### GRI 412: Human Rights Assessment 2016

412-2	Employee training on human rights policies or procedures
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### GRI 413: Local Communities 2016

413-1	Operations with local community engagement, impact assessments, and development programs
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### GRI 417: Marketing and Labeling 2016

417-2	Incidents of non-compliance concerning product and service information and labelling
417-3	Incidents of non-compliance concerning marketing communications

### GRI 418: Customer Privacy 2016

418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data
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## 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
102-49	Changes in reporting
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102-51	Date of most recent report
102-52	Reporting cycle
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### GRI 102: General Disclosure 2016

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