

2020 Hong Kong Corporate Governance Excellence Awards Candidate Company Questionnaire

Companies nominated for the 2020 Hong Kong Corporate Governance Excellence Awards, please fill in this questionnaire diligently and truthfully. This will assist our Expert Review Group (“ERG”) to make initial assessment of your company’s corporate governance performances and commitment. Together with other review work to be done by ERG, this will form the basis of ERG’s recommendation to the Judging Panel.

Where necessary, please feel free to supplement or explain your answers in writing on a separate sheet of paper and/or provide support documentation.

	Yes	No	Not applicable
1. Did the Chairman of the Board attend the last two AGMs?			
2. Did the CEO / Managing Director / President attend the last two AGMs?			
3. Did the Chairman of the Audit Committee attend the last two AGMs?			
4. Did the Chairman of the Compensation/Remuneration Committee attend the last two AGMs?			
5. Does the company have established procedures for putting forward proposals at the AGM by minority shareholders?			
6. Is there any opportunity for minority shareholders to ask questions or raise issues during the AGM?			
7. Does the company make publicly available the AGM minutes?			
8. Is there any mechanism to allow minority shareholders to influence board composition?			
9. Is the decision on the remuneration of board members or executives approved by shareholders annually?			
10. Does the company accept voting through the internet or other electronic means?			
11. Does the company use cumulative voting in the election of board members?			
12. Is it easy to identify the ultimate beneficial owners/holders of the controlling interests?			
13. Were there any related-party transactions that can be classified as financial assistance to non-subsidiary companies?			

	Yes	No	Not applicable
14. In case a director(s) is/are materially interested in a matter to be considered by the board, does the company request the director(s) concerned to withdraw from the meeting?			
15. Were there any directors who traded their shares during the period between the fiscal year end and the day of announcing interim and/or annual financial results?			
16. Does the Chairman meet INEDs without the presence of NEDs/EDs during the fiscal year?			
17. Does the company arrange the NEDs/INEDs meet without the presence of EDs during the fiscal year?			
18. Does the board conduct an annual assessment of its performance?			
19. Does the board conduct an annual performance assessment of the CEO/MD/President?			
20. On average, in how many HK-listed companies do the independent non-executive directors participate as board members?			
21. What's the average number of years directors have served on the board?			
22. How many times does the Audit Committee meet the external auditor within the financial year? Answer: _____			
23. Is there a Nomination Committee?			
24. Is the Nomination Committee chaired by an INED or Chairman of the Board? <input type="checkbox"/> INED <input type="checkbox"/> Chairman of the Board			
25. Is there a Risk Management Committee?			
26. Is there a Corporate Governance Committee?			
27. The time lag between financial year-end and the date announcing the year-end financial result. Please state your answer below: Answer: _____			
28. Does the company voluntarily provide any non-financial information in its financial reports to help shareholders understand the performance of the business?			

	Yes	No	Not applicable
29. Was there any record of sanctions by the SFC/SEHK/Financial Reporting Council requiring the company to revise its financial statements during the past two years?			
30. Was there any record alleging that the company had disclosed inside information unfairly during the past two years?			
31. Did the HKEX/SFC have any ruling that the company did not comply with HKEX/SFC rules and regulations?			
32. Were there any cases of insider trading involving company directors and/or management in the past two years?			
33. Were there any non-compliance cases regarding related-party transactions in the past two years?			
34. Were there any non-compliance cases that were considered as serious offenses by SFC/SEHK/Financial Regulatory Council in the past two years?			
35. Did the company establish an internal audit operation as a separate function?			
36. Is there a whistleblowing policy in place?			
37. Does the company have established policy and systems for risk management and internal control?			
38. Does the company conduct an annual review of the effectiveness of the risk management and internal control systems?			
39. Does the company provide an Employee Stock Ownership Plan (ESOP)?			
40. Did the company publish its CSR report / dedicate a CSR section in its Annual Report annually in the last 2 consecutive years?			
41. Was the CSR section/report audited/verified by organization(s) other than the company itself?			
42. Does the company explicitly mention how the company's CSR impacts society?			