

Nomination Form

A. Nominator

Nomination by a third party*
(please complete all sections of this Form)

Self Nomination
(please complete sections B & C, then complete the Entry Form)

Information about the Nominator

Name in English:

Name in Chinese (if applicable):

Company:

Position:

Relationship with Nominee Company:

Phone No.:

Fax:

E-mail:

Signature of Nominator:

Date:

* The nominator may forward the completed Nomination Form together with the Entry Form directly to the nominee company for completion. Alternatively, the nominator may submit the completed Nomination Form to the Award Organising Committee (AOC) by fax to (852) 3411 2046 at least one month before the closing date (i.e. Tuesday, July 28, 2020) for the AOC to contact the nominee company with sufficient time.

B. Nominee Company Information

Company Name in English:

Company Name in Chinese:

Sector/ Nature of Business:

Stock Code:

Address:

Contact Person (if known):

Phone:

Fax:

Website:

C. Award Category

Corporate Governance Excellence Awards

Each company can be nominated for **one** of the following categories:

- Hang Seng Index Constituent Companies**
- Hang Seng Composite Index Constituent Companies** (excluding Category 1 Companies)
- Hang Seng China (Hong Kong - listed) 100 Index Constituent Companies** (excluding Category 1 Companies)
- Other & GEM Companies**
- Newly listed Companies***

* Being companies listed within 3 years before the year of award nomination and have published at least 2 annual reports

Each candidate company can only choose to enter into one Award category

Special prizes or honourable mentions may also be awarded to honour those companies that have demonstrated exceptional commitment and achievement in a particular area of corporate governance as stated in the "Judging/Criteria" section of this website.

Companies entered for the Corporate Governance Excellence Awards will be considered for the **Sustainability Excellence Awards**** at the discretion of the Judging Panel. For more details of sustainability awards, please refer to the "Judging / Criteria" section of the Awards website.

** Requires no separate application or nomination

Entry Form (To be filled by Nominee Company)

A. Contact Person Submitting the Entry

Addressing Title (Mr/Mrs/Ms/Dr/Prof etc):

Name in English:

Name in Chinese (if applicable):

Position in the Company:

Phone:

Fax:

Email:

B. Questionnaire

Companies shall complete a questionnaire that can be downloaded from the "Application Procedure and Forms Section" of the Awards website, and submit it together with this Entry Form.

Companies entered for the Corporate Governance Excellence Awards will be considered for the **Sustainability Excellence Awards** at the discretion of the Judging Panel. For more details of sustainability awards, please refer to the "Judging / Criteria" section of the Awards website.

Special attention will be paid to the following three areas:

1. Innovations and significant improvements in corporate governance / sustainability made over the last three years.
2. Efforts made to internalize and pursue the highest principles of corporate governance / sustainability over-and-beyond compliance with requirements.
3. Ability to show positive business impact of the corporate governance / sustainability spirit and practices.

Companies shortlisted for the Judging Panel interview are encouraged to provide objective evidence and concrete examples to substantiate the above to facilitate final evaluation.

Companies are also encouraged to demonstrate their efforts in adhering to or exceed the latest rules and regulations governing listed companies and directors, such as Board Diversity and ESG Reporting, and Code of Corporate Governance Practicing, etc.

C. Provision of Supporting Material

Please provide the latest audited annual reports and any other further information that will support and substantiate your application.

D. Declaration & Signature

My company wishes to be considered for the Hong Kong Corporate Governance Excellence Awards 2020. I declare that the information submitted in the award Entry Form and the Questionnaire are accurate to the best of my knowledge and agree that the decisions made by the organizer and the judging panel are final and binding in all aspects relating to the Hong Kong Corporate Governance Excellence Awards 2020. My company agrees to comply with the terms and conditions specified in the Award Scheme.

Signature of representative for and on behalf of the nominee company:

Name in Block Letters:

Title:

Date:

E. Administration Fee

An Administration Fee of HK\$2,800 is applicable for each entry. Payment of the entry fee shall be made by cheque payable to "The Chamber of Hong Kong Listed Companies". The cheque should be attached to the completed entry form at time of submission. Alternatively, payment can be made via bank transfer, received on or before the submission deadline. (Please note that there is a bank service charge for a bank transfer which must be paid by the sender.) The bank account details are as follows:

Bank: Standard Chartered Bank (HK) Ltd.

Bank Address: 4 - 4A, Des Voeux Road, Central, Hong Kong

Beneficiary Account: 447-1-089308-9

Beneficiary: The Chamber of Hong Kong Listed Companies

Completed Nomination Form and/or Entry Form with the Questionnaire and supporting material shall be sent to:

Awards Secretariat

Award Organising Committee

The Hong Kong Corporate Governance Excellence Awards

c/o Centre for Corporate Governance and Financial Policy

School of Business, Hong Kong Baptist University

Room 705D, Wing Lung Bank Building for Business Studies

34 Renfrew Road, Kowloon Tong

Hong Kong

E-mail: ccgfp@hkbu.edu.hk Phone: (852) 3411 5728

Important:

Last date of submission of entry is
Friday, August 28, 2020

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?			