

## Sustainability Framework

Trinity Securities Group considers the importance of the Sustainable Development Goals (SDGs) of the United Nations, which has been certified by 193 member countries, comprising 8 key goals, which are in line with the company's key issues through business operations and activities of the organization.



The company is committed to developing and operating a business to create sustainable growth for the organization in accordance with the vision, mission and values of the organization. The company has set plans and policies for human resource management and development in accordance with the corporate strategies and proceeded in the same direction.

The company has established the sustainability framework of the organization as a guideline for sustainable operations. Sustainability topics have been identified as important topics for sustainability that are important to the organization, covering the environment, society and governance (Environmental Social and Governance: ESG). The sustainability framework established through consideration and approved by the senior management of the organization has been adopted as a 3-year sustainability action plan, which will be reviewed on a regular basis. The action plan is to be used as a guideline for companies in the Trinity Securities Group, which the sustainability framework and the sustainability action plan are important in driving the organization towards concrete sustainable development, which details the essence of the sustainability framework and sustainability topics are as follows:

### **Sustainability framework of Trinity Securities Group**

- 1) Environmental dimensions
- 2) Social dimensions
- 3) Good governance dimensions

## Sustainable development management structure

Trinity Securities Group has established a policy for sustainability in accordance with the principles of good corporate governance by establishing guidelines for sustainable development of the company and pays attention to 3 factors, which are environmental, society, and governance (ESG), which have been approved by the board of Trinity Watthana Public Company Limited. It is intended to be a guideline for sustainable management within the group in the long term and is also beneficial to the main stakeholders of the company. The guidelines for the sustainability development of the company are set in accordance with the vision, mission, and defined values and implement various strategies to meet the target. With periodic achievement evaluations to ensure various strategic plans, it will respond to the organization's goals under competitive conditions and ongoing changes well.

The company has established guidelines for the sustainability of the company by paying attention to 4 factors which are

- 1. Operations under the principles of good governance**
- 2. Commitment to deliver better returns than the market average to stakeholders**
- 3. Supporting activities that are beneficial to society and environmental responsibility**
- 4. Awareness and improve the quality of life of employees**

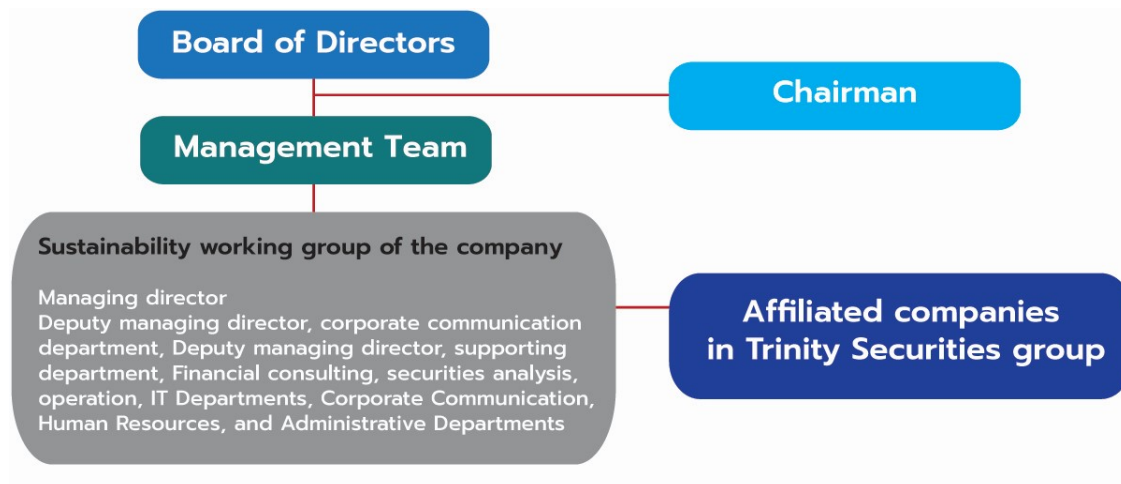
Such sustainability development guidelines establish strategies by the Chairman of the Board of Directors and appoint a working group for the sustainability of the company with the managing director as a team leader and representatives from various divisions such as financial consultants, securities analysis department, operations department, computer technology department, corporate communications department, human resources department and the administrative section, etc., as well as the staff of the corporate communication department working as a secretary of the working group.

The working group has a duty to put policies and strategies into a sustainable development framework for submission to the management for approval. The process focuses on building relationships and participation with stakeholders in order to contribute to the development and improvement of the efficiency of the organization's sustainability activities in line with the best practices of the industry.

The framework for sustainable development has been approved by the management and will be defined as a roadmap that is consistent with the Sustainable Strategy and is detailed in the activity plan, as well as used as a tool

to measure success in accordance with the plan and to compile data for further reporting and disclosure to the public.

## Structure of Operations for the Sustainability of the Company



## Duties and responsibilities of the Sustainability Working Group

### Directors

- Formulate policies for sustainable development
- Supervise operations to meet the goals

### Working group for sustainability

- Define plans and activities within the sustainability framework
- Carry out and work with participants from all departments

### Management

- Manage plans and activities under the sustainability framework in accordance with the organization strategic plan

### Subsidiaries and associated companies

- Responsible for management according to the plan
- Follow up on the performance

## Defining important sustainability topics

Trinity Securities Group has identified important sustainability topics by collecting issues that are relevant to both internal and external stakeholders and focusing on issues related to the securities industry by comparing it with world-class sustainability standards combined with current risk assessments and the expected risks that may occur which may affect the company's business operations. The company takes these issues to prioritize and lay out operational guidelines to properly respond to the needs of the relevant parties.

## Related scope of operations

1. Scope within the organization is Trinity Watthana Public Company Limited, consisting of subsidiaries and associated companies as follows:

- Trinity Watthana Plc.
- Trinity Securities Company Limited

- Trinity Advisory 2001 Company Limited
- Trinity Intelligence Plus Company Limited
- Trinity One Company Limited
- Asset Back Holding Company Limited
- Tree Money Holding Company Limited

2. The external scope of the organization is the stakeholders of the company as follows:

- Staffs
- Customers
- Shareholders and investors
- Business partners and creditors
- Competitors
- Regulators
- Society Community and Environment

In this regard, the process of determining important sustainability topics has procedures as follows:

### **1. Identification of key issues**

- Bring up the issues written in the corporate social responsibility report for business sustainability in the 2019 annual report for consideration, whether sustainability matters that were important in the previous year remained important to the year 2020 or not.

- Study the sustainability trends related to business operations by comparing them with the same industry topics and paying attention to topics internationally featured in the context of sustainability and global changing trends.

- Compile important sustainability issues from internal and external stakeholders, such as data from the Customer Engagement Survey in 2020, through the staff that oversee the customer's account and employee engagement survey data.

- Bring all these sustainability issues to scrutinize and present to the Board of Directors, Executives and internal and external stakeholder.

### **2) Ranking of significant issues**

- Analyze and review the data from the internal and external stakeholder survey.

- Prioritize sustainability topics according to the survey results obtained from representatives of stakeholders in each group, by dividing the priority levels into 3 levels: low, medium and high and sharing a view of consideration for its importance into 2 axis,

- Horizontal axis: topics that are important to Trinity Securities Group
- Vertical axis: topics that are important to stakeholders

### 3) Investigation

- Clarify the prioritization of sustainability issues for all departments of the company to acknowledge the opinions of the relevant parties and define it as a guideline for development in accordance with the needs of stakeholders

- Report sustainability issues to the Corporate Governance Committee to consider and present to the Board of Directors for acknowledgment and disclosure in the Sustainability Development Report and on the company website

### 4) Review

- The company has prepared a process to review the information after the dissemination of this report to the relevant parties in order to hear comments and suggestions for the improvement and adjustment of the report in the next time.

### Ranking of significant sustainability topics

In accordance with the process of determining material sustainability topics that are operational in 2020, it can be specified into 12 sustainability topics, which can be divided by importance level according to issues that are important to Trinity Securities Group and issues that are important to stakeholders as follows,



### Issues that are important to the stakeholder group

Most of the 12 sustainability topics are reported by Trinity Securities Group in the Corporate Social Responsibility Report for sustainability in business operations. The company has continuously implemented in accordance with the sustainability plan since 2012, including the adjustment of the action plan to suit the significance to the company and stakeholders all along. Since this year, the company has prepared a sustainability report to comply with all GRI guidelines for the first time, therefore the company set 12 sustainability topics with reference to the implementation, according to the corporate social responsibility report for sustainability in business operations in the previous year. If additional operations plans are set, the company will update the topic of the report in the future.

Trinity Securities Group has defined sustainability topics in line with all 12 GRI guidelines. Details can be summarized as follows,

Important sustainability topics	GRI guideline	Scope		Topics presented in the report
		Within the company	Outside the company	
Corporate Governance	Governance (GRI 102-18, GRI 102-19)	Every company in the group	customers and shareholders	Corporate Governance Good governance dimension
Business ethics and transparency	Ethics and Integrity (GRI 102-16) Anti-Corruption (GRI 205)	Every company in the group	Customers, shareholders and partners	Business ethics Good governance dimension
Risk management	Governance (GRI 102-30)	Every company in the group	customers and shareholders	Risk management Good governance dimension
Creating financial access through digital development	Product & Service (GRI 103)	Every company in the group	customers	Customer-centric Social dimension
Security and privacy of customer data	Customer Privacy (GRI 103, GRI 418)	Every company in the group	customers	Security and privacy of customer data Good governance dimension

Important sustainability topics	GRI guideline	Scope		Topics presented in the report
		Within the company	Outside the company	
Business performance and ability to grow	Product & Service (GRI 103)	Every company in the group	customers and shareholders	Risk management Good governance dimension
Equal labor practices	Employment (GRI 103 , GRI 401) Labor / Management Relation (GRI 103,GRI 402) Diversity ang Equity Opportunity (GRI 103, GRI 405)	Every company in the group	employees	Human resource management Social dimension
Human resource development	Training and Education (GRI 103, GRI 404)	Every company in the group	employees	Human resource management Social dimension
Well-being of employees	Occupational Health and Safety (GRI 103. GRI 403)	Every company in the group	employees	Human resource management Social dimension
Human rights	Human Rights Assessment (GRI 103, GRI 412)	Every company in the group	employees	Human rights Social dimension
Financial education	Financial Literacy (GRI 103, For FS 16)	Every company in the group	employees, customers and community	Creating access to financial services Social dimension
Environmental impact management	Energy, Water, Emissions, Effluent and Waste (GRI 302, GRI 303, GRI 305, GRI 306)	Every company in the group	community and society	Environmental management Environmental dimension

### 3. Driving business for sustainability

#### 3.1 Policy and Goals for Sustainability

Trinity Wattana Public Company Limited and its affiliates have established a sustainable operating policy in accordance with good corporate governance principles by establishing guidelines for the sustainable development of the company and focusing on 3 factors, Environmental Social and Governance (ESG), which are in line with the United Nations Sustainable Development Goals. Its

objectives are to be used as a management guideline within the company and subsidiaries in order to conduct business operations in a concrete and sustainable manner in the long term. It will also benefit the main stakeholders of the company.

In addition, the company has established a sustainable development approach in accordance with the established vision, mission and values and implemented various strategies to be in line with the goal with periodic achievement assessments to ensure that the various strategic plans will respond to the goals of the organization under competitive conditions and ongoing changes.

## **3.2 Managing impacts of stakeholder in the business value chain**

### **3.2.1 Value Chain**

Trinity Wattana Public Company Limited and Affiliates conduct business with responsibility according to the principles of good corporate governance and take into account the social and environmental impacts to drive the organization for sustainable development. This action has been raised to the stakeholders of the company. The objective is to promote and promote sustainable business cooperation at the same time.

The Company takes into account the relationships of key stakeholders in its business operations from upstream to downstream to reflect that we are committed to creating value for products and services in order to meet the expectations of major stakeholders of all sectors.

The overview of the business value chain of the Group consists of 2 types of activities on the value chain as follows:

1. Primary Activities consist of 5 activities which are closely linked to the overall business of the company as follows:

1. Management of factors of production and service provision
2. Operation
3. Distribution of financial products and services
4. Marketing and Sales
5. After sales service

The value chain of the company's primary activities is illustrated as follows:

Management of factors of production and service provision	Operation	Distribution of financial products and services	Marketing and Sales	After sales service
<ul style="list-style-type: none"> <li>- Design and develop financial products and services, and investments that respond to the needs of target customers</li> <li>- Analyze the securities and financial information of the companies wishing to raise funds and wanting a financial advisor according to professional standards</li> <li>- Provide financial advisory advice in a professional way and abide by the rules and ethics of relevant government agencies</li> </ul>	<ul style="list-style-type: none"> <li>- Provide trading system is efficient and standardized.</li> <li>- Establish risk management system that is efficient, concise and verifiable.</li> <li>- Develop and improve the work system to be up to date and respond to technology all the time.</li> <li>- Train employees and develop them regularly to perform duties in accordance with the rules and regulations and ethics involved in strict and knowledgeable expertise in their work</li> </ul>	<ul style="list-style-type: none"> <li>- Provide offices and branches that will facilitate customers in providing and receiving services.</li> <li>- Establish a service system that conduct financial transactions through modern technology</li> <li>- Have a communication system to provide information to clients and investors in multiple channels for convenience and easy access</li> </ul>	<ul style="list-style-type: none"> <li>- Provide regular training and seminars to educate customers, media and investors.</li> <li>- Communicate, pass on new knowledge about various financial products to clients and investors through various media channels all the time</li> <li>- Set the price of financial products and financial advisory services at reasonable and competitive price</li> </ul>	<ul style="list-style-type: none"> <li>- Have an agency that can receive complaint and listen to opinions of investors and clients and inform related parties</li> <li>- Listen to comments, make a poll periodically to customers, and improve working process to be more effective</li> </ul>

## 2. Supporting Activities

Supporting activities to drive the Company's primary activities to be continuously and efficiently operated are consisted of

### 2.1 Human Resources Management

It can be considered in the company's business that human resources is the key to driving various transactions of the company. Therefore, the company has given importance from hiring competent staffs with competitive compensation that will motivate employees, encouraging to receive regular training and developments, as well as providing opportunities for professional growth and building morale to encourage employees to commit the company, dedicate, create, develop, and provide efficient service to respond to customer needs appropriately

### 2.2 Procurement

The company will provide quality equipment and tools for work efficiently with transparency to provide fairness to trading partners. It is also determined to find partners that support anti-corruption, which is the guideline that the company adheres.

## 2.3 Technology Development

Improves service processes by adopting modern technology to respond to the changing business world, including researching and /or looking for partners to jointly develop, constantly offering new and / or new alternative financial products to investor clients to increase alternatives and opportunities to generate returns for clients and investors

## 2.4 Infrastructure

The company has developed a system of important business operations of the company to be up to date all the time to be able to serve customers quickly, accurately, and efficiently, including the securities trading system, securities operating system, computer technology system, administrative information system, risk management system, client investment information system, accounting and financial systems, human resource management information system and communication systems both within the company and with customers, etc.

### Company's Value Chain Management Chart

Primart Activities	Management of factors of production and service provision	Operation	Distribution of financial products and services	Marketing and Sales	After sales service
Supporting Activities	Infrastructure such as accounting and financial system and administrative system				
	Human Resources Management				
	Development of technology for products and services				
	Procurement				

### 3.2.2 Stakeholder Analysis of the Business Value Chain

Analysis of the needs of the company's stakeholders help the company understand the needs and the expectations of the stakeholders and enable the company to develop products and services, as well as defining activities that can meet the needs of each group of stakeholders closely. The company realizes that corporating with stakeholders is important for good relationship with them. Therefore, there are clear guidelines for treating with stakeholders as well as stipulating service standards that build confidence among stakeholders to prevent risks and impacts that may occur on the image, reputation and operation of the business in accordance with the code of conduct and business ethics of the company.

The company recognizes the expectations, interests and concerns of its stakeholders as well as listening to suggestions and allowing stakeholders to participate in the discussion, and to be able to efficiently respond to the needs of the stakeholders. The company therefore holds a meeting and analyzes the expectations issues and the needs of each group of stakeholders by conducting a survey of the data of 2 main groups of stakeholders, which are

1. Employee Engagement Survey. The company has organized a survey of employee engagement annually with awareness of the importance of employees. In 2020, 76% of all employees participated in the E-Survey, and the overall engagement score received a score of 89%, which is higher than the last year annual survey by 1%.

2. Customer Engagement Survey. In 2020, the company did not conduct a survey directly, but use the inquiries from the staffs that take care of the customer's account.

The company has divided stakeholders into 2 groups:

1. Stakeholders within the organization such as employees and shareholders
2. Stakeholders outside the organization such as customers and investors, business partners, creditors, competitors, regulators, society, community and environment

### Stakeholder Analysis Table on the Business Value Chain

#### Stakeholders within the organization – Employee

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Compensation and benefits that can be comparable with the market.</li> <li>- Opportunities for career advancement.</li> <li>- Opportunity to learn and develop.</li> <li>- Work and personal life balance.</li> <li>- Listening to the opinions of employees.</li> <li>- Fair treatment.</li> <li>- Acknowledging various news of the company thoroughly.</li> <li>- Recognition and appreciation of each employee.</li> <li>- Good and safe working environment.</li> <li>- Participating in being good citizens for society and returning for the common good and environment.</li> </ul>	<ul style="list-style-type: none"> <li>- There is a policy to look after the employees to be happy at work in order to deliver services to customers efficiently by using the concept of Happy Workplace to look after employees and their families.</li> <li>- Bring suggestions from the Employee Engagement Survey to plan and implement improvements.</li> <li>- Allow employees the opportunity to participate in expressing opinions as well as being aware of the human resource management policy through the HR Partner who is an employee representative for each department and each age range and gender in order to receive a variety of information for each group of people that have different needs.</li> <li>- Ensure that employees work ethically.</li> <li>- Develop and encourage employees to have knowledge about work and to develop their potential in various fields.</li> <li>- Treat employees fairly and equally, consider human rights principles and not discriminate</li> </ul>

	<p>against employees regardless of their origin, ethnicity, religion, language, gender, age, condition and political opinion.</p> <ul style="list-style-type: none"> <li>- All employees have the right to advance in their career based on knowledge, ability, primary principles, and moral.</li> <li>- Considering and reviewing the returns and benefits appropriately.</li> <li>- Giving employees the opportunity to participate in doing good deeds for society through the Trinity Volunteer Club</li> <li>- Campaign for the environment through the 3 R project.</li> </ul>
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#### Stakeholders within the organization – Shareholders

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Stable performance and sustainable organization growth.</li> <li>- Return on shareholders and dividend payment at an appropriate level.</li> <li>- Good corporate governance.</li> <li>- Disclosure of information transparently and honestly.</li> <li>- Effective risk management.</li> <li>- Allowing shareholders to participate in comments and present matters that are important and should be included as an agenda for The shareholders' meeting including participating in the nomination of persons to be elected as the company's directors.</li> </ul>	<ul style="list-style-type: none"> <li>- Treating shareholders and respect the rights of shareholders according to Securities and Exchange Commission (SEC) and the Stock Exchange of Thailand framework.</li> <li>- Treating shareholders Equally.</li> <li>- Adhering to good corporate governance</li> <li>- Performing in strict accordance with the dividend payment policy.</li> <li>- Updating the company's website for easier access to information.</li> <li>- Supervising the arrangement of the shareholders' meeting to be effective and allowing shareholders to exercise their rights.</li> <li>- Disclosing criteria for granting shareholders the right to propose the agenda for the Annual General Meeting of Shareholders and persons to be considered for election as a director on the company website.</li> </ul>

#### Stakeholders outside the organization - Customers

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Profit / return on investment.</li> <li>- Fast and consistent service.</li> <li>- New financial products introduced in order to meet customer need.</li> <li>- Obtaining thorough, reliable, timely, and credible information useful for decision making.</li> <li>- Fair price of the service.</li> <li>- Good corporate governance for staffs.</li> <li>- Code of conduct for maintaining confidential information of customers.</li> <li>- Social and environmental responsibility.</li> </ul>	<ul style="list-style-type: none"> <li>- Providing information on investment decisions based on the analysis that has been screened and analyzed with principles and criteria.</li> <li>- Strict training and inspection to ensure that employees comply with regulations and ethics.</li> <li>- Improving the buying-selling system and providing the service periodically to ensure that it can respond to the needs of customers better and more efficiently.</li> <li>- Follow news, Investment information, Financial product presentation, The knowledge that is useful to investors. The company has added more channels to communicate with customers. Various</li> </ul>

	<p>communication channels including Email Line Website Facebook Telegram and Mobile. Including the investment company website under the <a href="http://www.trinityquicktrade.com">www.trinityquicktrade.com</a> to be on the website <a href="http://www.trinitythai.com">www.trinitythai.com</a> to allow customers to access company information more easily.</p> <ul style="list-style-type: none"> <li>- Campaigning and requesting customers to reduce paper use and reduce global warming by sending various information via Email.</li> <li>- Develop working channels by saving energy and resources such as subscribing IPO shares or debt securities via telephone etc.</li> <li>- Educate employees on Personal Data Protection Act (PDPA) and meeting stakeholders to improve the work system and various reports in accordance with the law.</li> </ul>
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#### Stakeholders outside the organization - Shareholders

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Profit / return on investment.</li> <li>- New financial products introduced in order to meet customer need.</li> <li>- Obtaining thorough, reliable, timely, and credible information useful for decision making.</li> </ul>	<ul style="list-style-type: none"> <li>- Providing information on investment decisions based on the analysis that has been screened and analyzed with principles and criteria.</li> <li>- Follow news, Investment information, Financial product presentation, The knowledge that is useful to investors. The company has added more channels to communicate with customers.</li> <li>- Educate general investors</li> </ul>

#### Stakeholders outside the organization - Partners and Creditors

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Selecting partners with transparency and fairness</li> <li>- Treating all suppliers equally and fairly.</li> <li>- Strictly complying with the terms and conditions of the contract.</li> <li>- A system for working procedures that are clear and not attached to the person.</li> <li>- Fair price and no fraud in procurement.</li> </ul>	<ul style="list-style-type: none"> <li>- Adhering to the principles of transparency, fairness and equality in dealing with business partners.</li> <li>- Specifying procedures, procurement regulations and committee procurement in some cases to ensure fairness for business partners.</li> <li>- Disclosing to partners about the anti-corruption policy.</li> <li>- Complying with loan conditions, product purchase and the service in accordance with the contract agreement.</li> </ul>

### Stakeholders outside the organization – Competitors

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Operating business transparently, honestly and legally.</li> <li>- Following the agreement of the Association of Thai Securities Companies.</li> <li>- Participate in developing the industry for progressive growth.</li> </ul>	<ul style="list-style-type: none"> <li>- Companies participating in the Thailand Private Sector Collective Action Coalition Against Corruption.</li> <li>- The company has a policy that encourages executives to join the public work to develop the main industry and overall industry by becoming a director working group of various committees such as the Stock Exchange Commission Director, and Association of Thai Securities Companies-</li> </ul>

### Stakeholders outside the organization – Regulatory Agencies

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Good corporate governance.</li> <li>- Fairness, transparency, and responsibility to society and the environment.</li> <li>- Disclosing information and ready for inspection.</li> <li>- Conducting business according to the law and relevant rules</li> <li>- Communicating to the employees to be informed of the law and in accordance with relevant rules.</li> </ul>	<ul style="list-style-type: none"> <li>- Summarizing regulations to convey to employees to acknowledge and act in time for enforcement.</li> <li>- Sharing opinions when new regulations issued.</li> <li>- Summarizing relevant rules and regulations for the Board of Directors to acknowledge.</li> <li>- Regularly updating Compliance Manual to be used as an employee manual.</li> <li>- Using knowledge and abilities of personnel that the company has in finance and investment.</li> </ul>

### Stakeholders outside the organization – Society, Community and Environment

Expectation	Guidelines
<ul style="list-style-type: none"> <li>- Conducting business ethically while participating in social and environmental responsibility.</li> <li>- Providing support and sharing for the better of society as a whole.</li> <li>- Being a good citizen of society and compensating for society in some way.</li> <li>- Providing financial knowledge for citizens to be able to use in daily life.</li> <li>- Helping to protect the environment.</li> </ul>	<ul style="list-style-type: none"> <li>- Providing financial, investment and public knowledge through the Happy Money in Happy Workplace project by providing knowledge at the workplace of the company that is interested in participating.</li> <li>- Instilling awareness of social and environmental responsibility to employees through various activities.</li> <li>- Developing work systems with regard to environmental impacts.</li> <li>- Encourage executives and employees to work for the public. By being a committee Working group in organizations that benefit the nation and the public.</li> </ul>

### **3.3 Sustainability management in environmental dimensions**

#### **3.3.1 Environmental Policies and Practices**

Although the nature of the company does not have a direct impact on the environment or cause pollution as clearly as industrial plants or some kinds of business, the company is aware of the global climate change and impact on people's livelihoods. Therefore, the company always pays attention to the environment and also set a clear environmental policy and practice to work on environmental management through various projects within the company

In 2020, the company has set an environmental policy to serve as a framework and guide to conduct business in environmentally responsible ways. The essence of the social responsibility framework and practice covers the following matters:

1. Comply with the requirements and strict environmental standards
2. Organize various activities to support a policy to reduce negative impact on the environment
3. Bring environmental issues as a factor in the management's risk assessment, operation and business decision-making processes
4. Develop and improve various working processes in order to have minimal impact on the environment or does not affect at all and support the economical and efficient use of resources
5. Campaign and support employees to be conscious or do activities for the environment both at work and in private
6. Prevent pollution or destroy the environment from doing activities or from the operating process in the company
7. Support for environmentally and friendly products or services that have the least impact on the environment
8. Study guidelines and actions for ways to reduce the environmental impact of the company's activities

In order to operate business in accordance with the framework and guidelines for conducting environmentally responsible business operations, the company has therefore studied the target environment operation plan to drive projects or activities to create environmental awareness to employees and stakeholders of the company. The company also monitors the implementation of environmental management in accordance with the action plan. In 2020, the company has performed on environmental management as follows:

### Trinity Wattana Public Company Limited Environmental Action Plan

	Reduce the energy use	Reduce paper use	Reduce waste	Reduce the emission of greenhouse gases
<b>2020 Goals</b>	<ul style="list-style-type: none"> <li>- Change the light bulb to LED on the 25-26 floor office to save energy.</li> <li>- Campaign to turn off the lights and turn off the computer screen during lunch break.</li> <li>- Purchase office appliances that has been certified as saving energy.</li> </ul>	<ul style="list-style-type: none"> <li>- Reduce the use of paper by 10%.</li> <li>- Add public relations channels for news and various transactions of customers through electronic channels such as Line Social Media, company's website.</li> <li>- Switch to use A4 paper made from Recycle paper.</li> </ul>	<ul style="list-style-type: none"> <li>- Organize a campaign to separate waste at work.</li> <li>- Campaign for employees to use office equipment worthwhile</li> </ul>	<ul style="list-style-type: none"> <li>- Purchase the company's vehicles that have hybrid engines (if any).</li> <li>- Control the temperature of the office air conditioner in an energy-efficient level</li> </ul>
<b>2020 Performance</b>	<ul style="list-style-type: none"> <li>- Change 744 bulbs to LED bulbs at the office on floors 25-26.</li> <li>- Campaign to turn off the lights and turn off the computer screen during lunch break, but still can't measure due to some employees working at home?</li> </ul>	<ul style="list-style-type: none"> <li>- Reduce paper consumption 14% compared to the year 2019.</li> <li>- Expand public relations channels for news and various transactions of customers via Line and Facebook.</li> <li>- Add Chat box program in Company's website.</li> </ul>	<ul style="list-style-type: none"> <li>- Purchase 3 bins to separate the trash and set up on every floor of the office.</li> <li>- Have REUSE activity by using single-page used paper to make a notebook and continue to use?</li> </ul>	<ul style="list-style-type: none"> <li>- Purchase executive cars using hybrid engine systems.</li> <li>- urge the building department in charge of the office building to regularly inspect the air conditioning system according to the energy conservation plan continuously.</li> </ul>
<b>2021 goals</b>	<ul style="list-style-type: none"> <li>- Change the bulbs to the LED bulbs at the office on the 29th floor.</li> <li>- Survey PCs that are used more than its expected usage and change to a new device to save electricity</li> </ul>	<ul style="list-style-type: none"> <li>- Reduce the use of paper by 15%.</li> <li>- Develop an account opening system as an e-opening.</li> <li>- Develop / improve processes to become paperless systems.</li> </ul>	<ul style="list-style-type: none"> <li>- Organize activities to reduce the use of foam and plastic for food.</li> <li>- Organize ongoing activities to campaign waste separation at work.</li> </ul>	<ul style="list-style-type: none"> <li>- Educate employees about the effects of greenhouse gas emissions.</li> <li>- Campaign for employees to travel by public vehicles</li> <li>- Participate in Care the Whale project with the Stock Exchange of Thailand.</li> <li>- Organize an activity to plant 1 tree at your own home</li> </ul>

### 3.3.2 Environmental performance

In recent years, the company remains committed to reducing the negative impact on the environment in various areas, whether to reduce the use of electricity, water supply, waste, or greenhouse gas emissions, by organizing environmental activities in the workplace to campaign and instill awareness of employees and to have environmental responsibility.

The company has organized an activity "Trinity 3 R (Reduce Reuse Recycle)" to promote the reduction of resource consumption and to recycle used resources including finding materials or alternative methods in order to reduce resource consumption and use materials that help reduce global warming. The company offered activities for employees to have fun, and create awareness and cultivation of consciousness as follows:

## **1. Reducing energy consumption**

### **1.1 Computer system management**

The IT Department set up a policy for purchasing and selecting computer equipment, such as personal computer, taking into account the necessity and job characteristics of each individual. It starts from the process of purchasing qualified computers by choosing to purchase computer equipment that has been certified ISO 14000, which is an international standard for efficient environmental management of the organization and preventing environmental pollution caused by the Company's business operations

The company also brings virtualization Used in the organization, both on-premise and on cloud (only work systems that are not related to the Personal Data Act (PDPA) for more than 10 years, helping to reduce server usage and reduce the use of various devices in the Data Center, resulting in saving electricity and reducing the work of the cooling system. As a result of this action, in the year 2020, the company could save 30% of the electricity used in computer systems.

Furthermore, the company also has a project to reuse computers (Roll-out) by changing according to the needs of the individual, which has been done since the company's establishment. The computers that still work well are also donated to a temple, school or charity.

### **1.2 Management of electrical and lighting systems**

In 2020, the company has replaced the light bulbs in the workplace from ordinary light bulbs to LED energy-saving bulbs at the 25th and 26th floor of Bangkok City Tower, the company's headquarters, for 744 LED energy-saving bulbs. The energy consumption can be reduced by 28,283 kW per year or a cost savings of about 169,000 baht per year.

In addition, the company also plans to replace additional LED bulbs to complete the entire office at the Bangkok City Tower, Floor 29, which is expected to reduce energy consumption by another 9,408 kW per year or equivalent to an estimated cost of 95,448 baht. However, the company also focuses on saving electricity in the workplace with consideration to purchase office appliances with energy saving features and cultivate employees to use electricity economically, such as turning off lights and turning off computer screens during lunch break and immediately after work.

### **1.3 Water management**

The company coordinates with the lessor of the office building to modify bathroom accessories to be devices that reduce all water consumption, such as water-saving toilet bowls, sensed toilet bowls for men, automatic soap dispenser to save water and reduce the water usage and change toilet paper and paper towels to be recycled paper. They are installed in the bathrooms of every floor of the office in the Bangkok City Tower, the company's headquarters.

However, from this action, it results in efficient use of water. Save both energy and water and expenses more than 50% or about 48,000 baht per year.

### **2. Reducing paper usage**

Because the company operates in securities trading business, paper is therefore very essential to be used as transaction documents or evidence confirming transactions for customers such as account opening documents, contract documents, transaction reports of securities trading accounts, request forms, payment receipts, receipts, forms, etc. including the use of paper to support the operations within the organization of various departments as well.

Due to the increasing trend of paper consumption, the company has an idea to improve the process of operation both with external parties and within the organization of various departments in order to reduce the amount of paper consumption and to manage the most cost-effective use of paper.

The company has guidelines for reducing the use of paper as follows:

- The company has added news and public relations channels and notifications of various customer transactions via electronics such as SMS, EMAIL, Line @, and Facebook.
- The company establishes a Trinity Member system that allows clients to conduct various securities trading transactions by themselves, including a system to view account movements, summary of return on investment, summary of receipt-payment of securities transfer, deposit-withdrawal of collateral, change of personal information, portfolio, profit / loss report, remaining margin and trading volume, historical trading data, and analysis of securities etc., which customers can access conveniently through the application and through the company's website [www.trinitythai.com](http://www.trinitythai.com).
- The company has a system to collect information of customers who open a trading account with the company in an electronic format since its inception and has developed into a standardized and efficient Management Information System (MIS) by relevant departments in order to retrieve customer information without having to print a copy or storing in the form of a document file.

In addition, the company also has a plan to develop a system for opening a trading account from a filling pattern. The document is used to file in electronic account opening system (E-opening) in collaboration with SETTRADE Co., Ltd. (SETTRADE) which is expected to be completed in the first quarter of 2021.

- Campaign for employees to change communication channels within the organization by providing communication in the organization and outside the organization via EMAIL or LINE instead, as well as inviting customers to switch to receive documents via EMAIL
- Encourage reuse activities by using single-sided used paper to make notes and recycle both sided used paper destroyed and sold to companies that manufacture pulp for recycling

From the above actions, this allows the company to reduce a lot of paper consumption, and it also helps to reduce the operating expenses in the organization, including the cost of paper, ink, shipping costs, and storing documents. It also reduces the amount of waste generated from used paper. It increases work efficiency so that employees can manage their time accordingly, reducing the time to search for documents and minimizing the risk of loss of data, or the risk of data transmission. This increases the efficiency of the organization's work as well. In terms of customers, it improves comfort and can reduce the time from transporting documents by not filling out a lot of documents, responding to customer behavior in the digital age to create customer satisfaction as well. However, the company will collect the paper consumption data including A4 paper, toilet paper in the bathroom and other types of paper of 2020 to compare with the consumption of paper resources in 2021.

### **3. Reducing waste**

The garbage and waste problem in Thailand is becoming more and more serious every year. The more people in the country are consumed, the more waste and waste they produce. Some waste is biodegradable, while other types can be reused. Some types are difficult to decompose or take a long time, at least hundreds of years.

The company is aware of such waste problems and know that if there is a process of waste disposal that is not standardized will cause pollution to the environment, In the long term, it may affect the living conditions of the animal and the health of the people in the country as well.

For this reason, the company has campaigned for employees to be conscious of littering and waste by cultivating the understanding of waste management in the company in accordance with international practices around the world to reduce the amount of waste and waste that affect the environment, causing pollution and pathogens. With public relations to employees, they learn how to dispose of

waste according to the designated sorting system, separating food waste, plastic waste, paper waste and electronic waste. In addition, the company has coordinated with the Bangkok City Tower, the owner of the building that the company leased as an office, so that waste separation was undertaken as well. In 2020, the company has set goals for sustainability action by campaigning for employees to understand correct waste management in the company and has conducted the project in 3 main activities which are

### **1. Waste separation activities**

The company has arranged for waste separation and campaigned for employees to be conscious of littering different types of waste. There are 3 kinds of bins purchased to separate trash into 3 categories: 1. Paper waste, 2. Foam and plastic waste, and 3. Food waste. Garbage bins are placed in the pantry on floors 25, 26 and 29th Floor of Bangkok City Tower. There is also a garbage bin set up in the meeting room area, so that the employees who attend to dine in the meeting room has properly littered the garbage. As a result of the above actions, some employees are encouraged to continue to use them in their daily lives, and began to have the idea of separating garbage back to use at home

### **2. Office equipment management activities**

The company manage various office equipment to use them wisely by bringing office equipment that has been used but is still in good condition to reuse them, for example, computers, printers, calculators, documents, envelopes, etc. For managing paper usage, the company reuses single-sided used paper to make it worthwhile by making a notebook and decomposing paper that are used on both sides with boiling approach and selling to the pulp company to produce paper and reuse further. In addition, we have also campaigned for company employees to refrain from printing unnecessary work and to communicate both inside the organization and outside the organization via EMAIL or LINE instead, as well as inviting customers to switch to receive documents via EMAIL too. There is also a campaign to save the use of paper in the bathroom to reduce the impact on the environment.

### **3. Trinity Lai Tang Kwam Dee activities**

The Company has established a CSR activity plan on a regular basis with a variety of CSR activities and has been interleaved with environmental-related activities. In the past year, the company has conducted 7 activities "Trinity Lai Tang Kwam Dee " and 5 activities related to the environment, including donating old calendars as teaching materials, campaigning for employees to stop using plastic, tube donation for pillow making activit, donation of used paper box parcel activities to produce a table and chair to give to the needy schools and e-waste donation project.

#### **4. Reduce of greenhouse gas emissions**

The company is well aware of the impacts of greenhouse gas emission caused by climate change. Especially in the past year 2020, Bangkok faced a severe problem of small particulate matter or PM 2.5 and directly affected its stakeholders. All groups of companies, therefore, have made efforts in the operation or organizing activities that take into account the environment, such as supporting employees campaigning to reduce energy consumption, the generation of waste, and the use of various appliances that are difficult to decompose, etc.

The company pays attention to management to reduce greenhouse gas problems. It was found that the business activities with the highest amount of greenhouse gas emissions were the use of electricity from office air conditioners and fuel consumption from corporate vehicles. Therefore, the company has measures for the maintenance of air conditioners by urging the building department in charge of the office building to regularly inspect the system to adjust regularly according to the energy conservation plan continuously. And there are plans to replace the company's cars with hybrid engine models by 2026.

However, the company has undertaken activities that reduce the negative impact on the environment, but still considered an indirect operation. In addition, in the past year, the company has not had any environmental conservation activities such as tree planting, forest planting or other activities, which are campaigns on climate change and direct greenhouse gas emissions. As a result, there is no information on greenhouse gas emissions and has not yet done a carbon footprint of an organization registered with the Greenhouse Gas Management Organization (TGO) in accordance with international standards or equivalent.

In 2021, the company plans to join the Care the Whale project organized by the Stock Exchange of Thailand. This is expected to be the starting point for the company to have more concrete knowledge and understanding of the mitigation action.

### **3.4 Sustainability management in the social dimension**

#### **3.4.1 Social policy and practice**

The company has a policy and practice on society with consideration of human rights and comply with the Universal Declaration of Human Rights and the United Nations Guiding Principles on Business and Human Rights ("UNGPs") with a focus on labor and human rights practices, fair, equitable and non-discriminatory respect of human rights in terms of employment, compensation, promotion, and employee training and development without discrimination of gender, age, educational institution, race and religion, as well as supporting employment for disadvantaged groups, such as the disabled, the elderly, the pardon, to create

opportunities to create a stable career and income as part of the achievement of the Sustainable Development Goals (SDGs) of the country and the world and in the years 2019 – 2020. The company has implemented a sustainability report in line with the GRI guidelines and still in the process of developing a human rights risk assessment process based on the UN Guiding Principles on business and Human Rights and humanitarian principles, rights of the International Labor Organization (ILO) and the United Nations Global Compact (UNGC)

However, the company has not yet to written a concrete human rights policy, which is in the process of revamping the human rights content. If the content is complete, the company will continue to publicize the policy on the company's website.

### **3.4.2 Social performance results**

The company has a social action with regard to respect for fundamental human rights of employees, workers, customers, communities and society throughout the business value chain, such as treating labor fairly and equitably, inventing financial products, and serving customers responsibly, including working for the public and society and avoid business operations that will affect human rights abuses. The company open channels for complaints and grievances mechanisms for those who believe their rights are violated or employees in the company who believe that it has not been fair to have formal grievance channel and a proper care process.

The Company operates in two basic human rights areas:

1. Economic, social and cultural rights refer to the right to work, right to food, right to health in accordance with the standards, right to education, and welfare and social rights
2. Civil and political rights refer to the rights to life and freedom, legal, and expression

Important practices for all stakeholders fairly and equitably include:

#### **1. Employees and labor**

The company treats employees and workers with regard to human rights and equality with a focus on human resource management. This is a valuable and important resource that will drive the organization to the success of its vision and the mission of the company. The company pays attention to the development of knowledge, the ability of the personnel to have expertise, appropriate compensation and welfare, including taking care of safety, occupational health and working environment to meet the standards. The company personnel are cultivated to adhere to corporate culture (Trinity DNA) to groom them to have attitudes and behaviors that promote the organization's success and is a happy

workplace. The company adheres to the principles of human resource management, namely

### 1.1 Employment

The company has a policy to hire staff, which will try to recruit, select, and appoint personnel to hold that position by considering the qualified internal persons first. However, the company reserves the right to consider, select, select and appoint people in various positions from third parties as appropriate. In addition, the selection of people to be hired for various positions of the company is done fairly, taking into account the qualifications of each position, educational qualifications, experience, physical conditions and other requirements that are necessary for employees. The company give employees the opportunity to recommend friends or acquaintances come to apply for a job in the Friend Referral Program

The company gives importance to the development of the quality of life of the disabled. Therefore, considering the employment of the disabled according to the Promotion and Development of the Quality of Life of the Disabled Act 2007 and the amendment (Version 2) 2013, Section 35, we hire service for the visually impaired for 2 persons to do massage massage for health and reduce symptoms of Office Syndrome for employees.

The company continues to support the contracting service for the visually impaired in 2021.

### Staff turnover rate

Qualification	2018		2019		2020	
	Type of job		Type of job		Type of job	
	Front Office	Back Office	Front Office	Back Office	Front Office	Back Office
<b>Total</b>	172	64	176	62	168	64
<b>Male</b>	54	52	55	57	53	54
<b>Female</b>	56	74	52	74	54	71

### 1.2 Equal Labor Practices

The company attaches great importance to its employees. The Company realizes that employees are the key mechanism for conducting securities business and pushing for the company's growth, and the Company treats employees with fairness, equality and does not discriminate against employees regardless of their origin, race, language, religion, sex, age, social status including political beliefs and opinions.

The company does not choose to operate and provide opportunities for employee growth in the organization based on performance, knowledge, competence and behavior that are consistent with corporate values. Everyone is treated equally throughout the organization with fairness, disclosure, and non-discrimination against customers and business partners

In 2020, the company joined with the Thai Health Promotion Foundation and the Social Innovation Foundation for hiring people with disabilities to work in the organization. The company hires 2 people with disabilities to provide health massage services for employees 2 days a week, in addition to helping promote the quality of life for people with disabilities not to be a burden to the society. It also provides equal opportunities for people in society. For the expenses, the company has to submit under the Promotion and Development of the Quality of Life of Persons with Disabilities Act 2007 at the rate of more than 200,000 baht per year, has been transformed into a piece that is beneficial to the people in the organization.

The company takes into account the scope of labor fair treatment in 3 respects:

1. Respect the right to work in accordance with human rights and the Declaration on Principles and Basic rights at work of the International Labor Organization
2. Provide social protection and protection of employee working conditions
3. Provide protection for the health and safety at work

In addition, the company has created a channel to listen to employees' opinions, namely

1. Establishment of HR Partner Committee to represent employees from various departments by selecting aged employees and different genders to reflect the needs of a wide range of employees. The HR Partner committee is revised every 2 years and has an important duty to present useful human resources opinions to the company. In addition, it is also a medium to disseminate information about human resources policies and plans to employees thoroughly. HR Partner will hold a meeting on a quarterly basis. In 2020, 4 meetings are held.

2. Conduct employee engagement survey, the company has consecutively conducted for 4 years (2020 survey results are provided in the topic of stakeholder analysis in the business value chain) by polling. Any information submitted by employees will be kept confidential, causing employees to express their opinions honestly. This will greatly benefit the company in making corrections and improvements.

### **1.3 Employee compensation and benefits**

The company has a compensation policy and provide appropriate welfare for employees and executives. This is comparable to companies in the same business. In addition, the company places great emphasis on promoting long-term

savings and encourage employees to have good financial health. The compensation can be divided as follows:

1.3.1 Compensation and short-term benefits for rewarding performance and building morale with regard to the principle of justice in accordance with the performance of the company, achieving the goals / work plans of the organization including ability to measure individual performance and compete with the compensation and benefits of companies in the same industry

Short-term compensation and benefits are salaries, wages, overtime pay, living expenses, bonus incentive, referral fee, and social security and benefits contributions

1.3.2 Compensation and post-employment benefits and long-term benefits to motivate and entice employees to bond and work with the company to the fullest extent possible for a long time including building morale and ability to motivate the competent employees with the potential to grow to be a significant force for the company over a long period of time.

Post-employment benefits and other long-term employee benefits are provident funds that are established in accordance with Ministerial Regulation No. 162 (2019). Currently, the company established a provident fund in the name of "TMBAM M Choice Provident Fund". Employees can apply to become a member of the Provident Fund once the probationary period has expired and is hired as an employee. The employees can choose to contribute to the fund at the same rate as the employer contribution rate or can choose to accumulate a maximum of 15 percent, depending on the will of the members, and members can change the deduction once a year, which employees will receive money at the end of membership from the fund. In addition, the fund has established a committee consisting of elected members and appointed members of employers with authorities, duties, and responsibility for overseeing fund administration, including setting investment policies on behalf of all members.

From 2020 to 2021, the Company participated in the "Happy Retirement Company Project" of Securities and Exchange Commission, in order to educate employees on savings, investments and rights for employees to select the maximum provident fund contribution at the rate of 15%, and the Company contribution by the employee's length of service at the rate of not more than 15%, where employees can choose to invest by themselves as employee's choice (Master Fund) for 5 total investment policies, including debt, domestic equity, foreign equity, alternative real estate, and gold and special assets. The staffs can choose up to 19 investment proportions and can change the investment policy every day by making a transaction through the online system of the provident fund manager. When combined with other long-term employee benefits such as compensation received after leaving the job under the labor protection law,

employees will have appropriate savings after retirement from the company, which corresponds to the aging society

In addition, the Company has issued warrants to purchase ordinary shares of the Company (ESOP) to employees under the name TNITY-WA with the objective of motivating and rewarding employees' performance. The warrant will expire for 3 years, expiring in 2021.

The company conducts a survey of compensation and benefits with other securities companies on a 2-year basis and takes the information to adjust the compensation and benefits as appropriate. In 2017, the company developed the Benefit Medical Reimbursement System Management System (BMS) to facilitate staff for reimbursement of medical expenses, for outpatients, inpatients, dental and ophthalmic fees.

For the benefit of the employees' welfare, the company provides regular benefits to the employees as follows,

Welfare provided by Trinity Securities Group	Welfare that employees received
Medical expenses for outpatients and inpatients	✓
Medical expenses in case of inpatient for spouse and children of staffs	✓
Annual health examination for employees, spouses and children	✓
Influenza vaccination	✓
Common medicine cabinet	✓
Compensation fund	✓
Life insurance and medical expenses due to an accident	✓
Supporting staff funerals and family members	✓
Provident fund	✓
Supporting expenses for specific subjects for employees that need a license to work	✓
Loans or source of loans for employees	✓
1. Housing loan benefits	✓
2. Housing loan benefits with the Government Housing Bank	✓
3. Emergency loan benefits	✓
Souvenir after working 15 years	✓
Parking benefits	✓
Leave for religious practice, which is not considered as a leave (receiving a salary)	✓
Leave for doing CSR, which is not considered a leave (receiving a salary)	✓
Allowance for transportation / food expenses	✓
Holiday work allowance	✓

The company requires that pregnant female employees have the right to take maternity leave, not exceeding 90 days, including holidays during the leave and receive wages for no more than 45 days. Pregnant female employees have the right to ask the company to change job duty before or after birth by presenting a first class medical certificate certifying that it is unable to do the same job, which the company will consider changing the suitable job to that employee.

## Statistics of return to work and retention rates of employees after exercise of maternity leave

Cases of leave	Number of employees (persons)		
	2018	2019	2020
Number of employees eligible for maternity leave during the year**	149	137	137
Number of employees who have exercised maternity leave during the year	3	1	2
Number of employees who returned after maternity leave	3	1	2
Number of employees who returned after the maternity leave and continued working after 12 months	3	0	0
Return to Work Rate (1) who returned to work after the maternity leave is over (%)	100	100	100
Retention Rate (2) who returned to work after the maternity leave is over and continued to work after 12 months (%)	100	0	0

### Note

(1) Return to Work Rate = (Number of employees returning to work after the maternity leave period / number of employees according to the gender that can exercise on maternity leave) x 100

(2) Retention rate = (number of employees who returned to work after the maternity leave was completed and continued to work after 12 months / the number of employees returning to work after the end of the previous maternity leave period ) x 100

In addition, the company has set up a welfare committee which is in accordance with the Labor Protection Act 1998, consisting of 5 people, with the responsibility to give advice and suggest the opinions of the human resources department in organizing and improving the welfare for employees, evaluating, and monitoring employee welfare improvements for the benefit of employees and the organization as a whole

### 1.4 Occupational Health and Working Environment

The company has established a policy on safety, occupational health, and working environment, which is in accordance with the ministerial regulations that set standards for the administration and management of occupational health and safety in the year 2006 by requiring the Occupational Safety, Health and Working Environment Committee to be responsible for considering the policy and work safety plan. It includes safety outside the work to prevent and reduce accidents, the danger, illness or annoyance caused by work, or unsafe working conditions to propose to the company. The report recommends measures or guidelines for improvement to be in accordance with the laws relating to safety and safety standards in working for the company. For the safety of the work of employees, contractors and outside people who come to work in the workplace, it is also included in the annual performance report with identifying problems, obstacles and recommendations in the performance of the committee to propose to the

company to consider the regulations and work safety manual. The workplace safety standard is also proposed to the company, and is established a system for reporting unsafe working conditions to be a duty of every employee at all levels. It also considers training programs on work safety and a training program on roles, responsibilities, and safety in all levels of employees as well as promoting and supporting safety activities at work and evaluating the performance of work safety in the workplace. Last but not least, the company will explore safety operations at work and check the statistics of occupational hazards occurring in the workplace 1 time per month.

#### Number of Safety, Occupational Health and Working Environment Committee

Executive employer representatives	Managing -level employer representatives	Employee representatives	Secretary	Total (persons)
1	2	3	1	7

Injury, Occupational disease, and number of deaths due to work occurring during the year 2019	Number of times		Days lost		
	Male	Female	Male	Female	
<b>Injury cases</b>					
Slight cuts	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0
<b>Occupational disease</b>					
Hearing	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0
Muscle and bone injury	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0
Field of vision	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0

Lung function	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0
<b>Death cases</b>					
Work related deaths	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0

The company also gives importance to the dangers that may occur from invasion, including theft. Therefore, the company requires security measures, including access control by installing (Space Access Control) at the entrance on every floor, assigning rights and control of the entrance - the work area of the employees in each department with Access Control system, installing CCTV. And there are security officers 24 hours a day, as well as a plan to support emergency situations Business Continuous Plan with the objective to protect life, property and reduce potential losses.

In addition, the company also emphasizes importance to prevention of money laundering offenses by requiring Know Your Customer and Customer Due Diligence, KYC / CDD, including any transactions of customers with reasonable grounds to suspect or is a career group with a high risk. The relevant department will report the transaction to the Anti-Money Laundering Office in order to prevent a group of people from operating business with the company committing money laundering and providing financial support to terrorism.

### **Succession planning**

The company has a systematic succession planning. This can be seen from the business operations of the company with continuity and having smooth management throughout. The executives and the human resources department will jointly analyze important positions, which must be prepared with a succession plan by determining the qualifications of the successor in order to inherit the position including the selection and evaluation of the potential employees and development plan to prepare for further work.

### **Creating a happy organization (Happy Workplace)**

The company has created love, employee engagement to the organization by using the Holistic HR (Happy 8 Workplace) strategy.

**1. Happy Body** The company has organized activities to promote employee health continuously to encourage employees to focus on health care, whether it's physical activity such as

- support for membership fees for fitness centers
- Fitness campaign "Sweat calories for young children"
- Annual health check and flu vaccination.



**2. Happy Heart** The company has established the Trinity Volunteer Club in order to organize social contribution activities annually, such as

- The company and its employees have taken action to help society in various forms through the Trinity Volunteer Club.

Examples of helping society are:

- During COVID-19: Donate Face Shield to medical personnel of hospitals in regional areas through friends, branch employees in different provinces.

- Donate money to buy rice, dry food, various appliances to the utensils located in various provinces near the Company's branches with branch staff to help take care of the general

- Lunch Scholarship donation to visually impaired children for a longer period of time than 5 years

- Organize an activity to open the shop to bring the money from the sales of the employees donated to give as a scholarship, a lunch scholarship for the students of Wat Nekkhammaram School which is a school that the company has been sponsoring since the year of the great flood 2011 onwards

- Deliver Children's Day gifts to Ban Sidang School, Pattani Province.

- Campaign to collect boxes and package unused given to SCG to enter the transformation into student desks and chairs to give to schools in need.

- Donate 2 dialysis machines to Photharam Hospital Ratchaburi



**3. Happy Society :** The company has provided the opportunity for employees to express their opinions through HR Partner, Provident Fund Committee, Occupational Health and Safety Committee and to provide the company's news information to the employees to be thoroughly informed. Top management speaks with employees in person about the company's operating directions, results, industry conditions, and the environment at least twice a year. There is a well-being questionnaire for the mental state of employees during the severe COVID-19 outbreak and employees have to work at home in order to be used to assess the situation and provide assistance to employees in need.

**4. Happy Relax :** The company has a new year party for employees in order to create a fun and festive atmosphere. In 2020, a COVID-19 outbreak occurs, causing to refrain from organizing the company's birthday party and tourism event



**5. Happy Brain :** Eventhough in 2020 the way of working is different, but the company still promotes employees to develop and continue to learn using modern technology. Employees are trained to use this modern tool effectively. The average number of training hours of employees in year 2020 per person per year was 13.64 hours, which is 26.41% more than in 2019.

**7. Happy Soul :** The company regularly organizes alms-giving events on important occasions, which has many employees joining the merit making. In addition, the company has promoted Buddhism by organizing a Kathin ceremony annually and in organizing the Kathin ceremony, the company also

made merit to persuade the people donate to buy medical equipment to the hospital and scholarships to students of the schools under the temple organized by the company to offer kathin as well.

**8. Happy Money :** The company educates its employees about saving and investing under the company project Happy retirement. The company invited the fund manager to present an overview of the economy, important information, the fund's performance to employees at least 2-3 times a year

**9. Happy Family :** The company takes care of health not only for employees, but also to the health of employees' families by organizing an annual health check-up for the spouse and the children of the staff and arrange for the flu vaccine. In addition, the spouse and children are entitled to inpatient medical treatment rights as well as the rights that the employee receives. In 2020, the company does not hold Family's Day events due to the COVID-19 outbreak, which requires social distance.

#### **Corporate Culture (TRINITY DNA)**

The company pays attention to human resource management, which employees are considered valuable resources and important in driving the organization to the goal in accordance with the vision set by the company. The company has set a human resource policy by emphasizing important to staff care, including the development of knowledge, ability, compensation, appropriate welfare, safety, occupational health and working environment.

In addition, the company has instilled in employees an understanding of the corporate culture called TRINITY DNA by instilling employees with understanding to be aware of organizational culture and practice guidelines, which is the foundation of employee development and leads the company to the goal, vision and mission set.



## 2. Customers

The company understands importance to providing customers with access to financial services with the aim of providing customers with the skills, knowledge, and ability to make investments, including being able to create a return on investment in various financial products of the company, resulting in a stable, sustainable financial status and also helping to improve the quality of life of the people in the society as well

The company has therefore developed a variety of financial products that increase access to financial services more conveniently. In the year 2020, the company has implemented the following services,

### 2.1 Efficient investment services on the platform called Trinity Smart Wealth

The company offers efficient investment services on the platform called Trinity Smart Wealth. There are 2 types of investment portfolios for investors to choose from:

1. "Munkong" portfolio - medium and long term investment by using fundamental analysis data.
2. "Wongwai" portfolio - short-term investment by using technical analysis data.

The image shows two promotional posters for Trinity Smart Wealth investment services. The left poster is for the 'SMART WEALTH' platform, featuring a satellite and the text 'บริการฟรี' (Free service) and 'ลงทุนเริ่มต้นเพียง 300,000 บาท' (Investment starts from 300,000 Baht). The right poster is for the 'MUNKONG WONGVAI' platform, featuring a mountain and water logo and the text 'บริการการลงทุนในหุ้นรูปแบบใหม่' (New stock investment service) and 'ต้นทุนเริ่มต้นเพียง 300,000 บาท' (Investment starts from 300,000 Baht).

This service will respond to customers who have little time to study and closely follow the market and stock price movement. In this regard, the company's securities analyst team will select not more than 5 stocks in the portfolio and provide timing information for buying and selling. The system will send the information directly to the marketing officer to perform the buying-selling according to the signal that the analyst team has informed. Investors will receive investment information quickly via Email, SMS and Line. This service is like having a personal investment manager to follow and conduct investment efficiently.

In 2020, the company has improved the work system to be more efficient according to the criteria of SEC by defining the scope of the securities that are within the investment criteria according to the specified criteria (Stock Universe) in order to facilitate and save time for customers to consider and approve. However, in the last year, the world economy has been hit by the COVID-19 outbreak. This affects the price of the securities a lot. The results of investment management in Trinity Smart Wealth service were not as expected. The team has meetings all the time to find suitable investment strategies in the future. The company has increased the frequency of presenting investment information in both portfolios to the clients closely.

## 2.2 Digital asset investment service (Cryptocurrency)

The company has studied new options for investors to invest in digital assets. The company believes that digital assets will be an alternative to financial products that investors all over the world will pay much attention to in the future. Also, it is another option for investors to diversify their investment aside from investing in the securities business.

In 2019, the company launched a service as Selling Agent, introducing customers interested in investing in digital assets, opening an investment account through a digital asset trading center of Satang Corporation Co., Ltd. and in 2020, the company has expanded its service through the digital asset trading center Bit Kub online Co., Ltd. Both of which are certified duly by the Securities and Exchange Commission (SEC). The company offers a special service to clients who open investment accounts through the introduction of the company by facilitating to help open an account. There will be a number of customers who are unfamiliar with opening an account online or through digital media as well as providing information, knowledge on interesting digital products, investment advice, and the timing of buying and selling bitcoin digital assets through the company's technical analysis.



## 2.3 Developing formats and channels for presenting securities analysis via Social Media and Line @

The company has developed a format and channel for presenting securities analysis to be more interesting and up-to-date. Customers can easily access through these channels:

1. Youtube: on the Youtube channel of the company called Trinity Channel
2. Facebook: on the Trinity Securities Group page
3. Line @ financial information being presented and important investments, including news related to investments. The data formats are divided into contents such as, analysis, images, InfoGraphic, and clip formats. It also includes the analysis of the company's analysts in Real Time format via Facebook Live and create video clips on Youtube Live, which has received good response from customers.

#### **2.4 Trinity Member Application on Mobile and Tablet**

In the past year, the company has improved the Trinity Member on Mobile application through a mobile phone or tablet to be more modern. Customers can use the application as a way to access the securities trading system and make transactions for depositing and withdrawing collateral, transferring stocks, modifying personal information, and viewing portfolios in real time trading for both stock and derivatives accounts. It also includes news related to investments and various important analysis. And this year, the company has developed a Chat system so that customers can communicate with marketing staff who take care of accounts quickly and can service quickly, such as requesting various information about daily trading data and XD dates.

#### **2.5 Company website development in the name of [www.trinitythai.com](http://www.trinitythai.com)**

The company has integrated the company's investment website in the name [www.trinityquicktrade.com](http://www.trinityquicktrade.com) to be on the corporate website [www.trinitythai.com](http://www.trinitythai.com) in one place to make it easier for customers to access company information. It is a combination of a website that provides access to the securities trading system and company information on the same website. The company has a plan to develop an online account opening system called Trinity E-Opening to facilitate clients to open trading accounts in person through the website. It is expected to be completed in 2021.

#### **2.6 Financial Education for Employees Project**

The company provides training to educate employees both from staff level to senior management regularly and more than that specified by relevant government agencies, including encouraging employees to have a career license in various professional fields and necessary in our business by supporting training and/or exams, such as CFA / CISA courses, etc. Staff development training is conducted both within and outside the organization by considering the information in the annual performance evaluation, assessment of the competency of employees, and the need for work and main responsibility.

For training for employee development, the company aims to increase knowledge, potential for employees, and to ensure that employees can deliver services to clients and investors effectively.



### Training history for the year 2020

No	Training session list	Participants	No, of hours	Expenses
1	Within the organization	363	1,686	423,580
2	Outside the organization	185	1,454	476,722
	Total	548	3,140	900,302

### 3. Community and Society

Since the company operates a securities business and financial business, the nature of the Company's business therefore has no direct impact on the community and the surrounding society like an industrial factory or some kind of business. So far, the company has no complaints from the community on social issues and the environment

However, with the responsibility to the community and society that want to improve the quality of life and promote participation in the community, the company therefore realizes that the resources that the company has can be used to make the most of the knowledge of various financial products. Therefore, in 2020, the company has continuously held seminars, training financial literacy to the general public, namely

#### 3.1 Project to provide financial literacy to customers

##### 3.1.1 Produce securities analysis and offering advice on investment

Trinity Securities Company Limited produces securities analysis and offering advice on investment finance for investors with professionalism and emphasis on importance to quality presentation information. It is accurate and fast to be used as a supporting information for investment decisions and / or for effective financial management. The company selects the companies to prepare the analysis. The company has disclosed the assessment results of listed companies (CG Score) and information of companies participating in the Thai Private Sector Collective Action Coalition against Corruption (Thai CAC) in the securities analysis report. In addition, the company develops investment advisors to have knowledge and abilities to have potential in creating added value to the clients

by adhering to professional ethics to perform the work correctly in accordance with the specified rules to protect the interests of customers. The company has designed stringent measures in order to monitor the misuse of inside information.

### 3.1.2 Arranging training and seminars for investor clients via Facebook

Training and seminars for investor clients are held on a monthly basis. We have a training seminar by Live via Facebook of the company. In the year 2020, seminars are organized for customers both institutions and individuals including investors for 31 times, which are technical factors, fundamental data, and investment strategies.



### 3.1.3 Providing knowledge on saving and investment under the Happy Money in Happy Workplace Project

The company has brought knowledge, talents, strengths of personnel and the resources that the company has oknowledge of financial products to pass on the knowledge and experience in investing and conveyed the willingness of the personnel to to be beneficial to society. The Company's team of speakers has prepared content that is easy to understand and presented to the company's stakeholders. Stakeholders include employees, customers, shareholders, neighboring communities, trading partners and general investors at stakeholders' workplaces. The topics presented are not intended for business interests, but aims to create knowledge and understanding for investors. The speakers gave advice on resources that investors can study on their own and use them in making investment decisions, and provided full opportunity for investors to ask questions. This project has been well received and can build the reputation of Trinity to be more widely known

In 2020, the Company will continue to educate on saving and investing under the Happy Money project. Due to the COVID-19 epidemic, many companies let employees work at home and are inconvenient to outsiders into the company area, which may have a random risk of infection. Therefore, there is only one activity organized under the topic of Fund and Tax Return for staff, faculty members of Faculty of Arts Chulalongkorn University through Zoom application

## **3.2 Seminars to educate investors**

### **3.2.1 The company organizes the seminar "2020, organizing an investment army for a decade of risk."**

It is a seminar for investors to build a better understanding of the strategy in 2020 investment for positive factors, and the trade war that has already reached its peak and given manufacturers and buyers higher confidence. The global economy has a slight chance of expanding due to a less worsening trade war. The company recommends a 30% equity portfolio (divided into 10% Thai shares and 20% foreign stocks), with Asian stocks such as China and Vietnam that can be invested with Foreign Premium, 30% debt instruments (10% Thai bonds and foreign debt instruments 20%), 10% gold (invest in funds that are fully hedged money), 10% real estate funds (divided into 5% domestic funds and 5% foreign funds), 20% cash to be used as a timing for buying asset in the period of time that investment has been reduced in value

### **3.2.2 The Company held a seminar "The Big Picture and The Market Theme in the Deflation World"**

The company organized a seminar "The Big Picture and The Market Theme in the Deflation World" through Zoom application to customers and investors. In the world is entering deflation, how do we cope? Economic recession and unemployment are high. The amount of debt in the household sector is high. And foreign tourists entering Thailand lost more than 76% in March, indicating a recession on the weak global economic recovery

### **3.2.3 Seminar The Big Picture & The Asset Allocation for the day after tomorrow**

Stock picks amid Episode 2 crisis, a new world after COVID-19 changes, consumer behavior use of the Internet for business, e-commerce, education and non-formal education publishing, changes in travel behavior, high demand for home delivery, reduced office sizes, increased interest in health and hygiene in the pharmaceutical business, and more innovative medical business.

### **3.2.4 The company participated in the activity of SET online roaming, teaching newcomers to invest in Surat Thani Province.**

The company participated in the activity of SET online roaming, teaching newbies to invest in Surat Thani Province. Webinars on the topic of seminars "New Featured Stock" is a seminar for beginners who are interested in investing in stocks easily. People who stay at home can invest. The company offers 5 stocks that are suitable for the novice investor.

### **3.2.5 Direction of Asset Allocation Webinar**

The webinar reveal the investment direction for 2020, the asset class direction, must-have stocks in the investment portfolio, and how to invest next year, types

of fund and investment direction and trend of Vietnam fund 2021 for clients and investors.

### 3.2.6 Seminar on bridging the new investment world

Seminar to Bridge the New Investment World, Asset Allocation in 2021 and The Bottom up Strategy finding the S curve, is a seminar on digital age trends in 2021 and the technology that will change the business world permanently along with disclosing the asset class direction that must be in the investment portfolio as a guideline for investing after the crisis. If events start to return to normal, diversification is expected to seize opportunities, generate returns appropriately, and is resilient to potential volatility. The recommendation is as follows: 10% invest in gold 20% invest in Thai stocks 20% hold in cash 30% invest in debt instruments 20% invest in foreign markets. Foreign investment that responds well. The company has a fund "TRINITY ASIAN PRIVATE FUND (ex-Japan)" to support clients and investors who want to diversify their investments abroad.

In addition, the company provides opportunities for listed companies or companies that are about to be listed on the stock exchange to present company information to customers, investors and employees of the company on a regular basis.

Date	Seminar Topic
October 1, 2020	Lecture for the IPO : Peerapat Technology Plc. (PRAPAT)
October 2, 2020	Lecture for the IPO : D house Pattana Plc. (DHOUSE)
October 21, 2020	Lecture and Roadshow for IPO : LEO Global Logistics Plc.(LEO)
November 4, 2020	Lecture for the IPO : Right Tunnelling (RT)
December 4, 2020	Lecture for the IPO : Index International Group (IND)

### 3.3 Organize an Opportunity Day activity to provide transparent information about the company to shareholders and investors.

In 2020, the company presented the company's information to shareholders, investors, and general public at the Opportunity Day event organized by the Stock Exchange of Thailand via the Zoom system due to the COVID-19 epidemic. Managing Director of the Company presented the information by presenting an overview of the company strategies that the company has implemented and will continue to do so. The company presented performance and activity plans in response to the company's social, environmental and governance management and gave the audience the opportunity to ask questions and answer questions from shareholders, investors and the general public. You can view the retrospective clip presenting the company information via the website of the Stock Exchange of Thailand.

### **3.4 Support and encourage executives and employees to work for society**

The company believes that business can grow with the entire industry. It cannot grow into only one company. Therefore, the company supports and encourages executives and employees, who are knowledgeable, capable, experienced and expert in capital market business to have the opportunity to work for society as a whole by working with associations, various societies, and being a teacher or counselor in various educational institutions. They will help develop, create progress, and grow for the industry as a whole and the country at the same time. Our employees of the company participate as a working committee member and speaker in many organizations, both public and private sectors, as follows,

#### **Mr. Pakhawat Kovithvatthanaphong**

- Vice Chairman, Thai Listed Companies Association
- Advisory Board, Thai Securities Company Association
- President of the Human Capital Management Club, Thai Listed Companies Association
- Subcommittee on Memorandum of Understanding and Performance Evaluation of State owned enterprises (Sector)
- Advisor, Master of Economics Program, financial economics, Faculty of Economic Development (Outside office hours) National Institute of Development Administration
- Chairman of the Mentor Recruitment and allocate new government officer in New Generation Change Management Development Project to practice government administration in the private sector, Institute for Good Governance Promotion
- Committee for Selection of Personnel and Government Officers to Participate in New Generation Change Management Program, the Public Sector Development Commission
- Chairperson of the working group to set the development plan and upgrade the quality of personnel for securities companies, Stock Exchange of Thailand
- Committee and Treasurer Professor Sangvian Intharachai Foundation
- Honored Committee in the advisory committee for state securities disposal, State Owned Enterprise Policy Office
- Committee and advisor in Center for Building Competitive Enterprises (CBCE)
- Committee of award for Outstanding State Owned Enterprise, State Enterprise Policy Office
- Subcommittee on Consideration for Cooperation of Outstanding Development Award 2019, State Enterprise Policy Office
- Appeal honored committee with high experience in accounting and finance, Stock Exchange of Thailand

**Mr. Charnchai Kongthongluck**

- Vice Chairman, Thai Securities Company Association
- Chairman of the Board Derivatives Business Association
- Chairman of the Disciplinary Subcommittee, The Stock Exchange of Thailand
- Director, Thailand Futures Exchange Pcl.
- Chairman of the Disciplinary Subcommittee, Stock Exchange of Thailand
- Director of Securities Company For Securities Business Public Company Limited
- Chairman of the Derivatives Business Committee  
Futures Exchange (Thailand) Company Limited

**Dr. Visit Ongpipattanakul**

- Honored committee on Intellectual Property Management Committee  
Thammasat University
- Lecturer, Master in Finance (MIF), Thammasat University and committee on  
Bachelor and Master Thesis Examination Committee, Faculty of Commerce and  
Accountancy, Thammasat University
- Lecturer, Business Valuation Program, Department of Real Estate  
Faculty of Commerce and Accountancy, Thammasat University
- Guest Speaker on Money Chat
- Invited guest speakers for the College of Innovation, Rangsit University
- Invited guest speaker, Securities Analysts Association and Stock Exchange of  
Thailand Course instructor for advanced finance for property developers,  
Thai Real Estate Business School

**Mrs. Niyada Changtrakul**

- Advisor, Human Resource Management Club, Thai Securities Company  
Association
- Committee Human Capital Club, Thai Listed Companies Association
- Working group for setting up a plan for development and improvement of  
personnel quality, Thai Securities Company Association
- Vice Chairperson of the EDP Foundation
- Executive Committee, Faculty of Arts, Chulalongkorn University
- Vice Chairman, Arts Alumni Association, Chulalongkorn University
- Advisor to the Preparatory College Alumni Association in the royal patronage
- Secretary of Student committee in Capital Market Program, No.25
- Secretary of Student committee Medical Governance Certificate  
Program For Executives, No.8
- Director Foundation for Good Governance on Medicine
- Director of the Fund, Faculty of Medicine Vajira Hospital

**Ms. Suwannee Limpanavongsaen**

- Vice committee, Securities Performance Supervision Club, Thai Securities Company Association
- Working Group on Personal Data Protection Act, Thai Securities Company Association
- Working Group on Data Acquisition with the Legal Execution Department, Thai Securities Company Association
- Working Group on Foreign Transactions, Thai Securities Company Association

**Corporate membership and network partners**

Trinity Securities Group has joined as a member of the organization and economic and social alliance networks to participate in policies and guidelines, as well as various operating standards, and to develop and implement sustainability related to the business, including

1. Thai listed company association
2. Thailand investors relation club
3. Thailand Responsible Business Network
4. Human Capital Management club
5. Thailand's Private Sector Collective Action Coalition Against Corruption
6. Partnership Against Corruption for Thailand (PACT)
7. Thai Bond Market Association
8. Investment Banking club, Association of Thai Securities Company
9. Compliance club, Association of Thai Securities Company
10. Information Technology club, Association of Thai Securities Company
11. Back Office Operation club, Association of Thai Securities Company
12. Future industry club, Association of Thai Securities Company
13. Human resources club, Association of Thai Securities Company
14. Happy Retirement Company Project

**3.5 Sustainability management in the corporate governance dimension**

The company gives importance to corporate governance with the view that the securities business is a business that involves investment, building trust and credibility with stakeholders. Therefore, helping to promote the image and performance help the company to grow sustainably in the long run. The company adheres to the principles of good corporate governance as a good foundation for business operations. The company is aware of its role and duty and the responsibility of the board in promoting and giving importance to good corporate governance in order for the company to operate transparently, and have the ability to compete, which will lead to the growth of the business and adding value for shareholders in the long term.

The Board of Directors is responsible for considering the principles of good corporate governance, according to the guidelines of the Stock Exchange of Thailand, and comply with the regulations of the company. The company specified "corporate governance policy" which was announced to employees to know and comply, This policy will be reviewed periodically and has been adjusted to suit the situation.

### **Supervision of operations of subsidiaries and associated companies**

Trinity Watthana Public Company Limited operates its business in the form of a holding company, consisting of 6 subsidiaries and associated companies. The company will appoint a committee to be a representative in the subsidiary. And if the subsidiary company has a business operation that significantly affects the company, the subsidiary company must first seek approval from the board of directors meeting. The main policy that the subsidiaries in the group implement must be approved by the board of Trinity Watthana Public Company Limited.

For associated companies, the company will assign the management of the company to be the directors of the associated company to jointly set policies and oversee the management of associated companies. In the case of transactions between subsidiaries or associated companies with connected persons, it must be approved by the board of directors. The representative of the company must submit the request to the Board of Directors for approval first and provide information disclosure, including accounting recording in accordance with the criteria for preparing the consolidated financial statements on time.

For overseeing the use of inside information, the directors, executives, and employees of Trinity Watthana Public Company Limited and its subsidiaries must strictly comply with the requirements in the Compliance Manual, in which there are rules and regulations, including business ethics of the company, executives and employees, and trading of employees' securities. The company has set the guidelines "Supervision of the use of internal information" as a guideline to prevent conflict of interest of the company and keeping customers' confidential information.

### **Business Ethics**

The company has always emphasized on operating with business ethics, which has been defined as the basic rules of the company in the company's code of business ethics in order to demonstrate the commitment to conduct business transparently and is the same standard. The company has integrated business ethics as a part of staff ethics. All employees must strictly abide by. The company has promoted the creation of good corporate governance practices for employees throughout the organization through orientation for new employees, training, sending news through various media of the organization, and reminding the directors, executives and staffs to be cautious and prevent any action that is a violation of regulations and regulations that may bring damage to the company.

## Employee Ethics

1. Professional Integrity: Performing duties with honesty in the profession by adhering to equality in service provision.
2. Skill, attention and prudence: standardized operations with knowledge, ability and attention in performing duties.
3. General business practices: complying with laws, rules and standards of securities business and / or forward contracts strictly.
4. Information about customers: Sufficient information about customers for the purpose of determining the status and objectives of customer investment, providing investment advice to clients with correct, complete, and sufficient information for decisions of customers, and providing that same information to every customer.
5. Conflict of interest: Avoiding conflicts of interest that may occur both within the company and within the group. If conflicts of interest arise, members must treat customers fairly and equitably, which may be achieved by disclosing information or by setting up rules regarding confidentiality within the company, or by refusing to provide the service or by any other appropriate means. Members must refrain from seeking customer benefits from it.
6. Protecting customer property: Keeping customer property separate from the company's property and have appropriate prevention and treatment, which can specify which belong to which customer.
7. Financial stability: Ensuring that the company is in good standing and have sufficient funds to support any obligations from the operation and potential risks from doing the business.
8. Organizational organization and internal control: providing organization structure in order to have efficient management with a strict internal control system and appropriate data recording, as well as having a recruitment process that has ensured that employees have knowledge and sufficient ability to perform duties. Members must establish operational rules in accordance with applicable laws and regulations.
9. Overall business Benefits: Cooperating with groups in activities for the common good and must keep public interest above personal benefits.
10. Relations with business partners: refraining from doing any act which is harmful to members, or acts that cause disunity in the group.
11. Relationship with supervising organizations: Opening cooperation with regulatory bodies and notifying the regulatory organization immediately, if there is any information that regulators should know.

The company will review the business ethics and ethics of employees annually. And the code of ethics is up to date, appropriate for current events. In addition, executives at all levels must be liable for the issue of business ethics and employee ethics. If there is a violation of the ethics of the employees, the executives involved must also be responsible.

### **Corruption Prevention**

The company emphasizes the prevention of corruption because it was seen as a sabotage and affecting the overall economy and society. Therefore, the company has set a policy to prevent and combat corruption to be a guideline for operations and to create confidence in the operations of the company, including showing to the company's stakeholders that the operations of the business of the company are transparent.

### **Anti-Corruption Policy**

- 1) The company does not accept corruption, which covers business and all items of all related departments
- 2) The directors, executives and employees of the company do not accept corruption whether for the benefit of oneself, family, friends, or acquaintances in any form, directly or indirectly, which must strictly comply with anti-corruption measures
- 3) The company requires communication and understanding of the company personnel since starting work, and has regular training with regular reviews of anti-corruption policies in order to ensure compliance with this policy. The company will review the guidelines and operational requirements to be in line with business changes, regulations, and legal requirements
- 4) The company will create and maintain organizational culture, which adheres to that corruption is unacceptable in both business transactions with the public or private sectors
- 5) The company has a completely anti-corruption policy. (Zero-Tolerance Policy) and comply with all laws relating to anti-corruption in Thailand
- 6) The company has no policy to be in the role or supporting political activities that are not correct
- 7) The company does not have a policy to encourage employees to pay government officials' convenience fees.

The company announced policies and guidelines for preventing and combating corruption in January 2015, certified as a member of the Private Sector Collective Action Coalition against Corruption in April 2015, and confirmed the membership renewal in November 2018. The company was evaluated by Thaipat Institute in the assessment program for Sustainability Story Anti-Corruption Progress Indicators of Thai Listed Companies in 2016, which has been certified by CAC (Thailand's

Private Sector Collective Action Coalition Against Corruption), demonstrating the implementation by reviewing the adequacy of all processes from the Audit Committee.

The company has complied with the specified practice by having communication and training for employees regularly at least once a year, along with annual staff training, and evaluating the internal control system to prevent fraud risks every time the Internal Audit Department inspecting various systems according to the inspection plan to ensure that the operations of various departments is in accordance with the internal control system specified by the company. The Audit Committee agrees to review the assessment of the work system, policies and guidelines for prevention and anti-corruption that are appropriate and sufficient to prevent and combat corruption.

### **Risk management**

The company emphasizes great importance to manage the overall corporate risk continuously by specifying risk management policies, acceptable risk appetite, and guidelines for risk management at the level of directors and executives, as well as taking risk management as part of the strategy formulation and the company's business operations in order for the business to grow and generate stable returns in the long term for all stakeholders. The company also prevents the potential impact on the company's operations and stability. The company has established a risk management strategy that is in line with international guidelines and practices covering the entire business group according to the integrated risk management guideline, consisting of strategic risk, credit risk, marketing risk, liquidity risk and operational risk under the risk management structure, including an independent risk management department. It clearly defines duties and responsibilities that business units will be evaluated based on risk-adjusted performance assessments.

The risk management's main objective is to raise risk awareness for risk responsibility, to manage risks throughout the organization, and to maintain the standards of good governance, including emerging risks by being part of the strategy and business operations of the organization. It is also aware of its involvement in promoting the process of creating values that are valuable to the society. For example, Trinity Securities Company Limited has adopted anti-corruption in its operations by using certified membership and / or declaration of membership intention of the Private Sector Collective Action Coalition against Corruption (CAC) is a factor in considering investment.

The efficient allocation of resources on the basis of acceptable risk compared to the best return has resulted in success and the competitiveness of the company. At the same time, the company also has the goal of creating maximum return by taking into account the risk to shareholders in the long run.

**Risk management process**

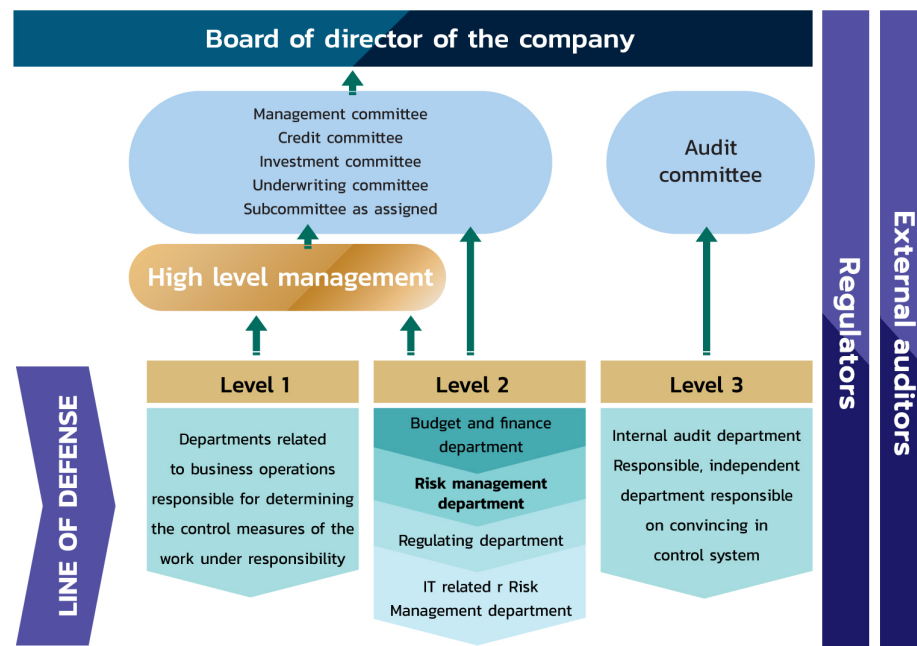
The company has a risk management process, consisting of risk identification, risk assessment, risk tracking and control, and risk reporting, which have been continuously developed to be in line with changes in the environment and international standards. The company constantly monitors the overall risk situation to consider improving the risk management system to be effective.

1. Risk identification is an indication of risk both in terms of the type of risk, causes, and risk factors both external and internal factors, including consideration or anticipation of the risk that the company is experiencing or new risks that may occur in the future
2. Risk assessment is the introduction of various tools and methods used to assess the risk, which must be reviewed, approved, and reviewed within an appropriate time frame
3. Risk tracking and control is to monitor and control the implementation of the risk policy, regulations related to risk and scope of risk to comply with the risk policy and risk level approved by the Board of Directors by following up and controlling such risks regularly and continuously
4. Risk reporting is to report different types of risks, which is comprehensive, timely and sufficient in many perspectives for risk management to be most effective

**Risk management structure**

Trinity Securities Group has appointed the Board of Directors of Trinity Wattana Public Company Limited to oversee the risk and the internal control of the Trinity Securities Group. The Board has appointed the Management Committee to oversee both strategic risk, the overall risk of the organization, and risk at the level of each type of risk. In this regard, the senior management of each business of the company will act as consultants to oversee the strategic risk management of all organizations and departments.

The management committee consists of the chairman and senior management that have expertise in risk related to securities business responsible for determining the policy framework and a comprehensive risk management strategy for the group. There are various operating committees to manage the risk in accordance with the policy with the risk management of the organization as a supporting unit such as the credit committee to consider providing a credit line for customers to meet quality criteria and business continuity management committee to consider the risks posed by the threat of cyber / virus Covid-19.



In the year 2020, the company established a working group to protect customers' personal information and cyber security protection with computer executives and technology responsible for the operation and supervise the use of technology in accordance with the strategy of business operations, transaction volume, the complexity of the technology. The risks involved is considered a part of overall risk management in accordance with the regulations of the Stock Exchange of Thailand that wants securities companies to have good governance security and information technology risk management that is appropriate. With the company's risk management plan, it results in oversight and manage risks efficiently with the organization as a whole that can be used as a strategic plan for the company and implemented in consideration of prevention guidelines. The risk control will be controlled for 3 levels, which are the main structure of risk management including the development of risk management systems on a regular basis to ensure financial sustainability.

### **Raising awareness in risk management organizations**

The company emphasizes importance to raising awareness among executives and employees at various levels through training and seminars to provide knowledge in courses related to risk management, such as regulations and relevant laws, operational risk management, and fraud prevention. There are 185 employees in the training in 2020, 98% of the total staff. And in the future, the company has plans to put risk management as part of corporate values.

## **Security and privacy of customer data**

### **Cyber-crime prevention**

The company emphasizes importance to information security. The information technology policy has been set to be the same standard for the entire group of companies in order to control access to data, and transfers with strict monitoring at all stages for safe data management and information management and to be able to run business continuously, including putting cyber protection measures up to date with international standards and changing to match the strategy and business operations to prevent customer's personal information from being leaked or used by unrelated parties.

### **Key technology policy**

#### **1. IT Infrastructure & Security**

Enhance the level of information technology infrastructure for efficiency, stability and security. Support 24 hours a day, 7 days a week.

#### **2. Data Management & Data Privacy**

Enhanced data management to lead to full integration of internal and external data to meet the needs of customers and internal users, which must be in accordance with the law

#### **3. Application Management & Application Security**

Upgrade the information technology system to be more efficient and create a system of links in all dimensions, in line with the digital life

#### **4. IT Governance**

Enhance good governance in information technology in creating potential and added value for the organization and check every step for sustainable and stable growth

#### **5. IT Capability**

Enhance and improve knowledge, ability of personnel in order to be able to develop and use information technology effectively and at maximum effectiveness, allowing to be able to compete in a rapidly changing business.

### **Achievement Awards**

From our commitment to developing financial products and services, taking into account the interests of all groups of stakeholders under the principles of good governance, social responsibility and environment as a part of sustainable development, as a result, in 2020 Trinity Wattana Public Company Limited has received awards from various institutions as follows:

**1. Award SET Awards 2020 in the category of Deal of the year awards**

Trinity Securities Company Limited, Investment Banking Department, won SET AWARDS 2020 in the category of Deal of the year awards for capital market fund raising (Capital Market Fund Raising Deal) Bangkok Commercial Asset Management Public Company Limited (BAM)

**2. Top Quartile Companies Award**

Trinity Wattana Public Company Limited was rated Very Good and placed in the Top Quartile of companies with registered capital less than 1,000 million baht as assessed by IOD (Thai Institute of Directors).