

Sustainability Report



2021

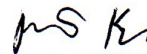
TRINITY WATTHANA

Message from the Chairman

In 2021 Thailand was faced with a dire situation resulting from the spread of COVID-19 that had tremendous impact detrimental to the economy, society and people's way of life both directly and indirectly. Despite the fact that towards the year's end the situation began to ease one must still accept that the way our company conducts its business at present still requires that one must constantly take into consideration the volatility and new forms of risk as well as the uncertainty with regards the global economy. It is also evident that technology in the digital age now plays an important role in the lives of our clients and investors which means that the company must constantly adjust its business strategies so that they remain in tune with the current situation. However, we remain steadfast in our determination to conduct our business in a sustainable manner through corporate governance, adequate risk management, well-cared for staff and continued corporate social responsibility. Nevertheless, in this environment where we have been affected by tremendous impact as a result of human beings and their behavior and business practice this has meant that all sectors are in need of realizing the importance of caring about their environment at a level that is no less than social matters and overseeing business areas.

For this reason, in 2021 the company appointed the ESG committee to oversee policy matters and sustainability plans in 3 main dimensions – the environmental, social and governance (ESG). In its initial stage the ESG committee will probably need to work hard in order to enable the company employees to understand and realize the importance of these three factors which will lead to a common adherence in the work process that follows in the same direction. This will ensure that we achieve the company's goals when it comes to sustainable growth in the long run, that all stakeholders be assured of the highest benefits as well as to be beneficial to society and the country in general. In order to see to it that the organization can enjoy sustainable growth it must also pay attention to stakeholders and the effect on the business chain.

On behalf of the Board of Directors I wish to request the collaboration of all employees and from all stakeholders to kindly offer your support in pushing forth our ESG so that we achieve the plans and goals we have set forth.



(Mr. Pakhawat Kovithvathanaphong)

Chairman

About this Report

Guidelines for the preparation of this report

Trinity Security Group publishes a development report for sustainability annually in order to present what it has accomplished in terms of sustainable development to stakeholders so that they are kept informed on its progress in terms of sustainable development. This report will be distributed in March, 2022.

As such, the 2021 sustainable report covers disclosure of the company group and affiliate companies on environmental, social and governance (ESG) aspects and the report is in line with the standards of the Global Reporting Initiative (GRI Standards) which includes such information as corporate information, management approach and operation indicators with crucial impact in 2021 and linking us with corporate operations and 2030 Sustainable Development Goals (SDG 2030).

Time frame for revealing information in the report

The information found in this report covers per annum operations from January 1, 2021 until December 31, 2021 and the method used conforms to those used by GRI Standards where the level of information revelation follows with the main criteria and applies to the information of the company group and companies in its affiliates as follows:

1. Environmental information covers the performance of Trinity Watthana (Public Company) Ltd. and Trinity Securities Co. Ltd. and is applicable to the main office and certain branches only

2. Social information covers the performance of Trinity Watthana (Public Company) Ltd. and Trinity Securities Co. Ltd. and is applicable to both the main office and branches in Bangkok and its vicinity, Trinity Intelligence Plus Co. Ltd. and Trinity One Co. Ltd.

3. Governance information covers the performance of Trinity Watthana (Public Company) Ltd. and Trinity Securities Co. Ltd.

The information in all three areas applies only to employees and does not include temporary or outsourced staff.

Financial information that appears in this report come from financial statements and information shown in the annual report for 2021 of Trinity Watthana (Public Company) Ltd. which has been audited by a certified accounts auditor. Content and information other than the financial information shown in the report have, however, yet to be certified by an external agency.

Contact information:

Trinity Watthana (Public Company) Ltd.

179 Bangkok City Tower Building 25th, 26th-29th floors

South Sathorn Road, Tung Maha Mek Sub-district

Sathorn District, Bangkok 10120 Telephone : 0 2343 9500 Fax: 0 2343 9690

Vision and Mission

Vision

“A securities company that strives to deliver returns that are better than the market average to stakeholders under the principles of good corporate governance and sustainable management.”

Mission

- To provide a financial and investment advice focusing on delivering good investment returns for our clients.
- To manage matters in ways that create value added to the shareholders.
- To develop competency and provide adequate compensation for the staff.
- To ensure that its management falls under good corporate governance and ethical standards.
- To act responsibly and to participate in and support activities that benefit society and help protect the environment.

Corporate Culture (Trinity DNA)



Beyond Expectation

Determined in delivering investment returns and/or services that are better than the market’s average value or the standard value that exceeds the client’s expectations in order to create a good impression and satisfaction for being Trinity’s client.

Consistency Services

Determined to serve our clients consistently and to ensure that all clients receive the best service possible.

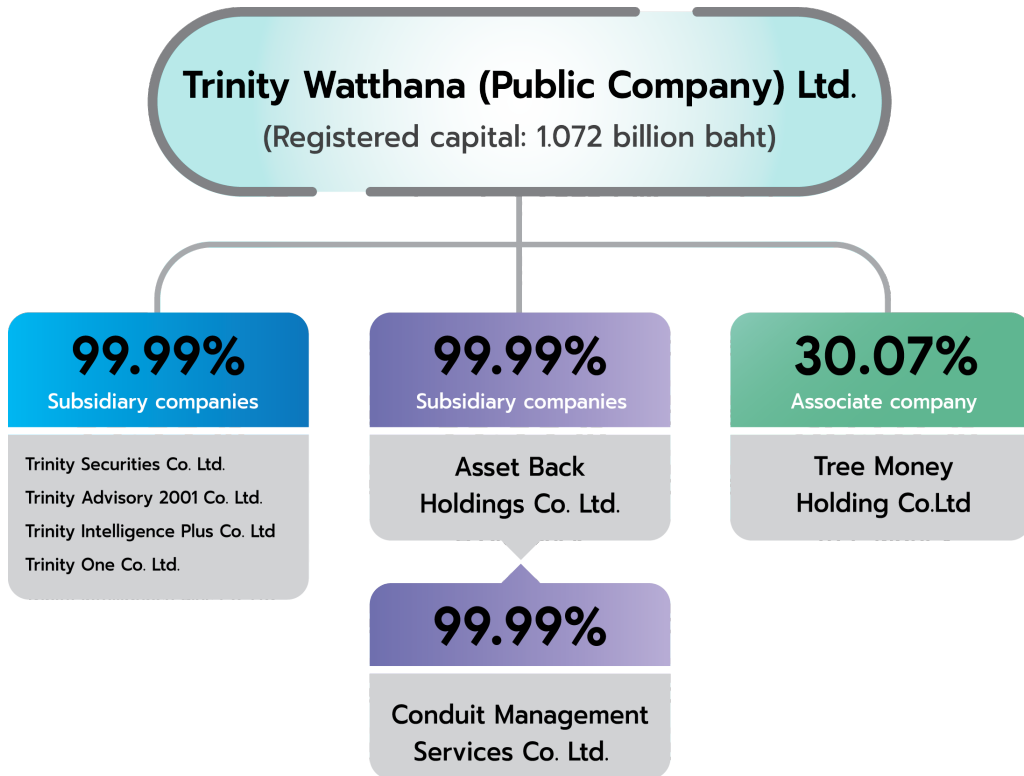
Walk the Talk	Keeping one's word and promises made to each client, co-workers including the administrators. Remain determined to fully make use of one's knowledge and expertise in order to keep to that word/promise.
Pride in Career	Maintaining pride in one's career and in the task one is responsible for, taking pride in being a part of the Trinity family, being determined to work to the best of one's ability for the clients, for oneself as well as for the company.
Ever Learning	Continue to achieve self-development, displaying a thirst for knowledge, searching for answers to what one doesn't know, strive to keep learning and to share the knowledge gained with one's co-workers for one's own benefit as well as for the client and corporate stakeholders.
Integrity	Offering one's service to all groups of clients with sincerity and honesty, showing friendship and good will, taking care of the clients' assets as though it were your own, not being just the person offering the service but the receiver of that service and that the client's benefits should always be the priority.
Compliance Culture	Placing importance on good governance, behave in accordance with the rules and regulations of the company as well as other relevant agencies, maintain a transparent process from the beginning until the end of the process.

About “Trinity”

History of the company and the type of business it conducts

Established in 2001, Trinity Watthana (Public Company) Ltd. was registered and transformed into a public company in 2005. Its main business is as a holding company with Trinity Securities Co. Ltd. as the core company and a 99.40 per cent investment value ratio. The company’s paid-up capital is currently 1,072,024,230 baht.

Trinity Watthana (Public Company) Ltd. also holds 99.99 per cent of its shares in four subsidiary companies namely Trinity Securities Co. Ltd., Trinity Advisory 2001 Co.,Ltd. Trinity Intelligence Plus Co. Ltd., Trinity One Co. Ltd. and Asset Back Holdings Co. Ltd. along with one associate company, Tree Money Holding Co. Ltd.



Businesses operated by the Group

(1) **Trinity Securities Co. Ltd.** with 1.2 billion baht registered capital conducting businesses in these 7 areas: brokerage of securities, sales of securities, investment advisor, securities distribution, loans and loaning out of securities, borrowing and lending assets for trading futures contracts and management of personal funds. It also has the approval of the Securities Exchange Commission and the Stock Exchange of Thailand to offer advice on financial matters as well as to be a representative for sales and buying back of unit trust as well as representative of debenture holders.

(2) **Trinity Advisory 2001 Co. Ltd.** with 10 million baht registered capital the company offers financial consulting and investment banking services along with Trinity Securities Co. Ltd. It also received the approval of the Securities Exchange Commission and the Stock Exchange of Thailand to offer financial advice in accordance with the scope determined by the Stock Exchange of Thailand and is also registered as Financial Adviser (type A) with the Consultant Database Center in order to offer advice on financial matters to various agencies both in both the government and private sectors and companies that are in the liquidation process.

(3) **Trinity Intelligence Plus Co. Ltd.** With a 1.2 billion baht registered capital the company offers consultation on setting up internal control systems, risk management and setting up accounting systems and internal auditing for companies registered in the Stock Exchange of Thailand as well as small and medium sized companies with plans to be registered in the Stock Exchange of Thailand in the future.

(4) **Trinity One Co. Ltd.** having a registered capital of 250,000 it operates business in investments in various ventures.

(5) **Asset Back Holdings Co. Ltd.** with a registered capital of 100,000 baht and having invested in Conduit Management Services Co. Ltd. with 500,000 baht registered capital at the rate of 99.99 percent. It was set up with the objective of managing asset conversion securitization for other companies.

(6) **Tree Money Holding Co. Ltd.** with a registered capital of 71.5 million baht is a joint venture with the main objective of operating the business in investments in a minor company that offer credit at the provincial level under the supervision of the Ministry of Finance (PICO Finance) and other related businesses.

Strategies for steering forth the company's businesses

Trinity Securities Group places its emphasis on developing and presenting new and diverse forms of financial services in order to create stable and sustainable growth for the business while providing good yields upon investments for its clients and shareholders and demonstrating concern for environmental, social and governance impact. Moreover, since it is a Holding Company its business movements need to show flexibility and agility to enable various business and investment expansions that can diversify the company's income structure without having to rely on its main income from the securities business or any one business in particular.

During the past year the Trinity Group has launched financial products that correspond with the four main strategies that propel the company's businesses as follows:

1. Expanding its investments to other businesses in order to diversify its income base so as not to rely mainly on the securities business such as PICO finances and Tree Money Holding Co. Ltd. both of which have plans to be registered in the Stock Exchange of Thailand and to enter into joint investments with Classic Ausires Investment Advisory Securities Co. Ltd. by presenting the "Omthong" service through the "Savvy" platform that enables small scale investors to be able to invest in gold with greater ease and safety with the use of Blockchain technology.

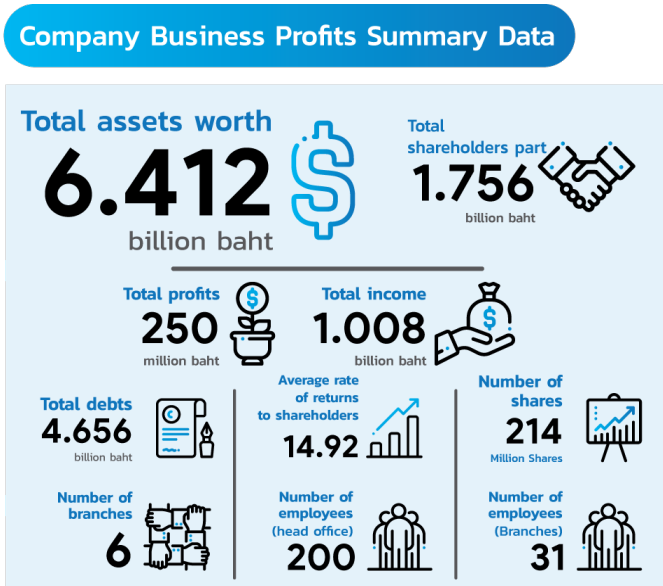
2. Increasing income from fees collected from transactions private funds (p division) and private banking. The goal is to increase the size of assets being managed to 5 billion baht from the current 4 billion baht in the private funds management business. As for private banking it offers financial advice for such companies seeking to be registered in the Stock Exchange of Thailand as AMR Asia. Clover Power (CV) and Beryl 8 Plus (BE8).

3. Expand opportunities for new investments abroad so as to increase investment options for our clients via the Trinity Asian Private Fund (ex-Japan) for investments in stocks in Asian countries (except Japan) and via Vietnamese SSI-SCA funds which is a leading securities company in Vietnam so clients can invest in Vietnamese stocks as if they were Vietnamese nationals (without any Premium which reduces the cost of investment).

4. Increase the opportunities to invest in alternative assets through Cryptocurrency for two centers dealing with buying and selling digital assets i.e. Bitkub Online Co. Ltd. and Satang Corporation Co. Ltd. It also helps to facilitate clients who wish to open accounts and has consistently provided them with the knowledge and information needed.

Awards received:

1. The company received Excellent CG Scoring or five stars and was placed at the top quartile of companies with less than 1 billion baht registered funds announced in the 2021 survey of registered Thai companies organized by the Thai Institute of Directors Association (IOD).
2. The company was also assessed at the 2021 general meeting of ordinary share holders and received a full 100 points by the Thai Investors Association, the Thai Listed Companies Association and the Securities and Exchange Commission of Thailand.



General Information:

Name of company: Trinity Watthana (Public Company) Ltd,

Industrial group: Finance and banking

Type of business: A company registered in the Stock Exchange of Thailand

Head office located at:

179 Bangkok City Tower Building 25th, 26th-29th floors, South Sathon Road,
Tung Maha Mek Sub-district, Sathon District, Bangkok 10120

Company registration number: 0105542027071

Telephone number: 0-2343-9500 or 0-2088-9100

Website: www.trinitythai.com **Facebook:** www.facebook.com/TrinitySecuritiesGroup

Youtube: TrinitySecuritiesGroup **Line Official:** TrinitySecurities

Trinity Group's business value chain

The Trinity Security Group maintains a business value chain with environmental, social and governance (ESG) aspects all of which contribute significantly to the company's strategies for sustainable business operations by aiming to respond to the expectations of stakeholders in all sectors. It covers every process in the business value chain by applying technology to create a strong basis on which to develop the potentials of its business partners and allow its clients growth alongside each other in a strong and sustainable manner.

Primary Activities The business value chain comprises 5 activities as its primary activities which are all connected in accordance with the context by which the company operates its business overall i.e.

1. Management production factors

- 1.1 Capital Most of the company's capital is a short-term revolving fund deriving from the business of brokering assets.
 - Fund raising – funds raised on the part of shareholders through the Stock Exchange of Thailand, issuance of short-term debenture and bill of exchange.
 - Funds for loan in order to purchase or sell assets
 - Short-term investment in securities with liquidity and long-term investments to increase revenues generate returns.
- 1.2 Loans as in short-term loans from financial institutions and applying for credit from financial institutions in order to expand services.
- 1.3 Human resources are at the driving force for the company's transactions and it is for this reason that it places great importance on human resource management by applying the Happy Workplace policy to ensure that its employees are working in a happy environment and area able to use their knowledge and ability to efficiently serve their clients and respond adequately to their needs.

2. Operations

2.1 Creating financial products

- Developing financial products and services that respond to the needs of the target customers.
- Data analysis for stocks, financial information of the company that is raising funds and in need of financial advice in accordance with good professional standards.
- Offering professional advice and acting as financial and investment adviser to clients while conforming with rules, regulations and ethics of the related government agencies.

2.2 Development of sales system

- Developing a system for opening of accounts for trading of stocks from filling in documents to the more efficient E-Opening system.
- Improving and modernizing the trading system in line with current technologies.

3. Distribution of financial products and services

- Developing channels that provide access to services and systems of communications with clients in diverse ways to facilitate and speed up transactions. The company also has offices and branches in Bangkok and upcountry provinces for added convenience for their clients.
- Systems for service and data management enable clients to be able to process transactions through the use of modern technology.

4. Marketing and Sales

- Sales promotion activities to encourage greater interaction between the company and its clients for example training course and seminars that provide knowledge and information to clients, the media and investors on a regular basis.
- Advertising that increases recognition for the company’s brand and financial products. The ads appear both online such as the company’s social media and websites as well as offline in various publications.
- Publicizing matters related to various financial products to clients and investors via the company’s different communication channels.

5. After-sales services

- Having an agency that handles customers’ complaints and suggestions and processes them for relevant sectors to take action.
- Taking into consideration ideas voiced by the clients and survey their needs regularly so as to make changes and improvements as needed in order to improve the work process to ensure greater efficiency.
- The company’s main business activity value chain.

Business value chain in the company’s main activities



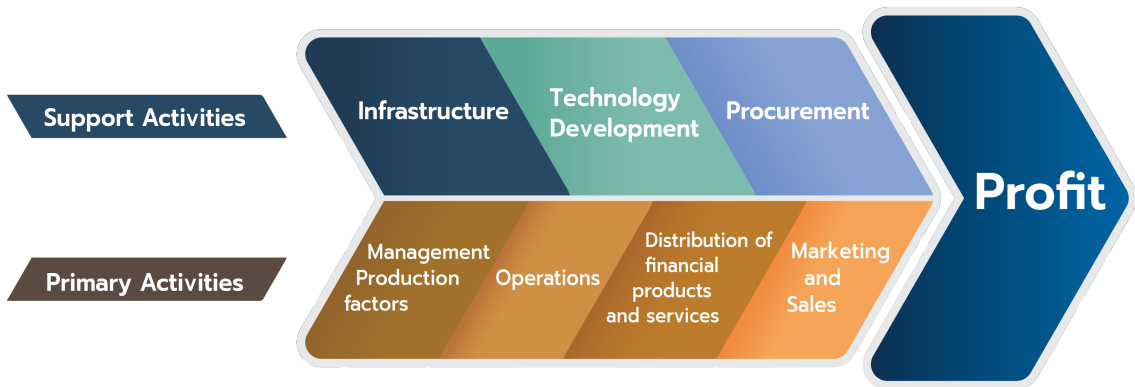
Support Activities

1. Infrastructure the company has developed and improved many important operational systems to keep them constantly up to date. This is to enable us to serve our customers rapidly with precision and accuracy with such systems as stock trading, stock operations system, computer technology system, management data system, risk management data system, customers’ investment data system, accounting and finance system, human resource data management system, communications system both within and outside the company etc.

2. Technology Development Improvement of servicing process by applying the use of modern technology to respond to the needs and the changing business world as well as to study, research and/or find business partners in order to together develop and to always present new alternatives of financial products and/or new formats for customers and investors in order to increase their options and opportunities.

3. Procurement Provide work equipment of good quality and efficiency and make sure that the procurement is carried out with transparency and fairness for the partnering firm. The company should also show determination to find partners that support anti-corruption endeavors which is the path that the company continues to uphold.

Company’s Business Value Chain



Operations in conjunction with social goals

Goals for 2022	Qualitative	Quantitative
<p>1. Equal treatment for staff and labor employees and create a Happy Workplace.</p>	<ul style="list-style-type: none"> - Arrange opportunities for company executives to be able to listen to the staff in the TRINITY Town Hall. - Set up a Committee to Enhance Employee Relations (HR Partner) by selecting representatives from various work sections to present their ideas on human resource management. - Implement an Employee Engagement Survey. 	<ul style="list-style-type: none"> - At least twice a year. - Meeting takes place every trimester and committee term is 2 years each time - Organized regularly each year And the staff members surveyed must not be less than 85 percent of the total number of staff.
<p>2. Develop training courses for employees of the company to improve their knowledge and increase their skills in new forms of investment in accordance with the company's growth.</p>	<ul style="list-style-type: none"> - Training and developing the capability of employees at all levels - Apply the learning system via online platforms so that staff are able to acquire knowledge anywhere at home or at work. 	<ul style="list-style-type: none"> - Number of training hours must not be less than 12 hours per year - Once every trimester
<p>3. Encourage staff to understand and perceive the importance of good institutional.</p>	<ul style="list-style-type: none"> - Organize activities to encourage staff to understand and remember how to conduct themselves in a way that will promote effective work to achieve the goals set by the organization. - Organize activities so that the staff understand and perceive the importance of ESG. 	<ul style="list-style-type: none"> - At least 2 activities per year - at least one activity per year
<p>4. Offer training on knowledge on investment and new forms of investment innovations.</p>	<ul style="list-style-type: none"> - Organize training courses to disseminate knowledge to clients, investors and members of the public 	<ul style="list-style-type: none"> - at least once every trimester

Operations in conjunction with governance goals

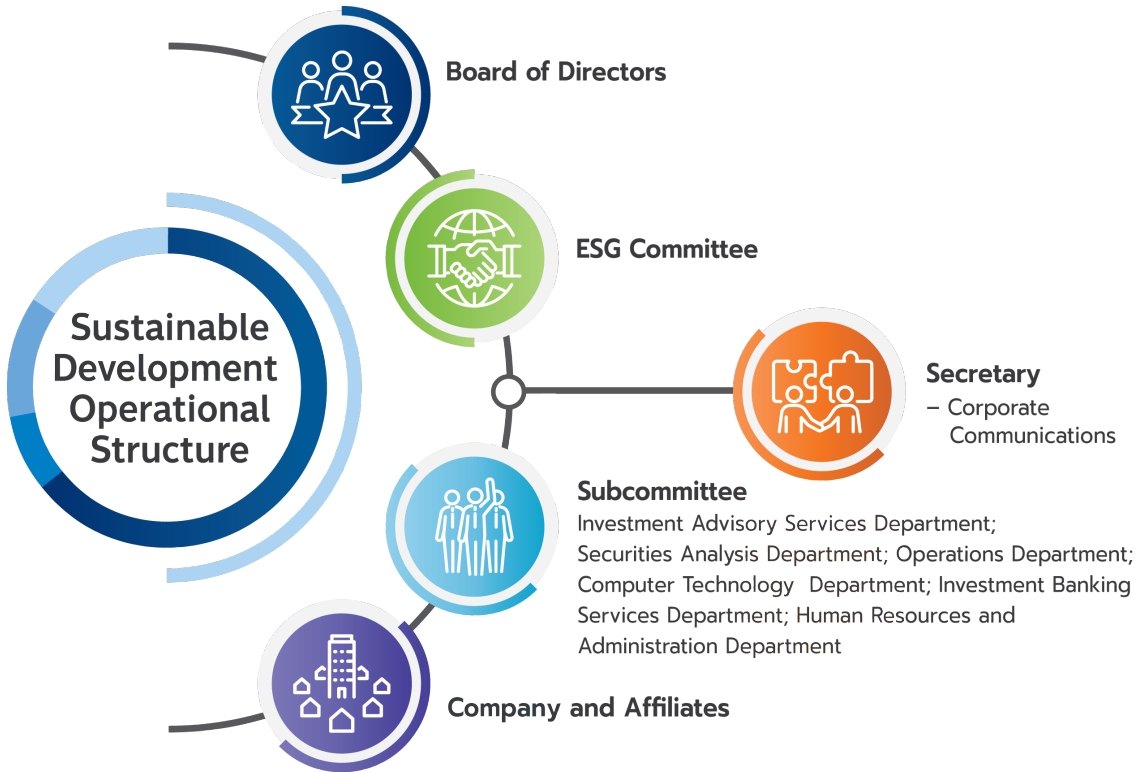
Goals for 2022	Qualitative	Quantitative
1. Operating our business in accordance with principles of ethics and good governance	<ul style="list-style-type: none"> - Hold Opportunity Day activities, providing information on the company to investors and the public - Hold shareholder’s meetings which will be assessed by the AGM Checklist - Management of work under the principles of good governance. 	<ul style="list-style-type: none"> - At least once a year - Scoring no less than 90 percent. - A company that is assessed in the Top Quartile of the CGR report
2. Invent and develop new financial products and/or develop processes Customer Service Procedures.	<ul style="list-style-type: none"> - Invent and/or discover financial innovations or improve the process and procedures so that they are modern and efficient and respond better to the needs of clients and investors. 	<ul style="list-style-type: none"> - Having annual revisions of service process to increase efficiency of service for example the opening of accounts for online securities trading. - Consider the possibility of introducing the RPA (Robot Process Automation) to the work process in order to lessen human error for greater efficiency and to increase work performance speed.
3. Emphasize and efficiently manage risks	<ul style="list-style-type: none"> - Conduct training courses for staff offering programs related to risk management to instill in them risk management consciousness for the organization. - Set up a Risk Management Working Group that is responsible for risk tactics and the company’s overall risks 	<ul style="list-style-type: none"> - At least once a year - Develop management information in Dash Box format for greater efficiency and for greater speed in receiving information in risk management

Goals for 2022	Qualitative	Quantitative
4. PDPA : Personal Data Protection Act	<ul style="list-style-type: none"> - Implement a policy for personal data protection on the part of clients, employees and related persons so as to follow the Personal Data Information Act to be announced June 1, 2022. 	<ul style="list-style-type: none"> - Announce a policy for the personal data protection by May 2022 - Prepare a manual and practical guidelines

Sustainable Development Operation

Setting Sustainable Development Direction

The company has set sustainable development (SD) direction in correspondence with its vision, missions and values and have implemented strategies towards its goals. Achievements have been periodically evaluated to ensure these strategies well respond to the organizational goals in the current competition and changes. To support this operation, the company has appointed an Environmental, Social and Governance (ESG) committee with the following operational structure:



Board of Directors

- Sets SD policies and roadmap
- Supervises SD operations towards its goals

ESG Committee

- Sets ESG policies and operational plans within SD framework
- Supervises the subcommittee in their operations and activities within SD framework in accordance with the organization’s strategic plans

Subcommittee

- Plans ESG activities in accordance with the ESG Committee's policy framework and roadmap
- Develops knowledge and understanding of ESG and SD among all staff members of the organization
- Operates ESG activities according to plan with constant evaluation of their outcomes

Company and Affiliates

- Responsible for management according to plan
- Follow-up on operational outcomes

In 2021, the company has set up an ESG Committee with the company's Managing Director as its chairperson and representatives of executives from many departments as its members. ESG Subcommittee comprises representatives from many departments such as Investment Advisory Services Department, Securities Analysis Department, Operations Department, Computer Technology Department, Corporate Communications Department, Human Resources Department and Administration Section, with the Corporate Communications Department as the ESG Committee's Secretary.

The ESG Committee sets ESG policies and operational plans within SD framework and supervises the subcommittee in their operations and activities within SD framework in accordance with the organization's strategic plans.

The ESG Subcommittee plans and organizes ESG activities according to plan with constant evaluation of their outcomes. In addition, the ESG Subcommittee develops knowledge and understanding of ESG and SD among all staff members and proposes policies and strategies for SD framework to the company's executives.

The approved ESG operational framework for sustainable development is then developed into a roadmap that corresponds with the company's sustainable strategy and used as an achievement indicator of its operation according to plan. Information is later collected into a report available for public access. This process focuses on the development of the company's relationship with its stakeholders and their participation towards the development and improvement of sustainable activities according to the overall industry's good practice principles.

Development of the Company's Relationship with and Response to Stakeholders

The company values the analysis of its stakeholders' demands and believes that their participation is fundamental to the company's understanding of their demands as well as current operation leading towards future development. The company has integrated this participation into its business operation. The specification of stakeholders and types of their participation are in accordance with their priority and

mutual impact. The types of their participation range from informal discussions, meetings and seminars to assessment surveys and questionnaires to ensure that the company's operation meets their demands and expectations.

This analysis of the stakeholders' demands has enabled the company to understand their demands and expectations and to develop products and services to closely meet the demands of each group of stakeholders. The company realizes that the development of the stakeholders' participation is significant for the good mutual relationship. Consequently, the company has clearly set up practice guidelines and service standards for the stakeholders' confidence and prevention of risks and impacts on the company's image, reputation and business operation in accordance with the company's code of conduct and business ethics.

The company values the stakeholders' expectations, interests and concerns, listens to their suggestions and allows them to share their opinions. In order to effectively respond to their demands, the company organizes meetings and analyzes expectations and demands of each group of the stakeholders with the surveys on two groups of them as follows:

1. Employee Engagement Survey is regularly conducted on a yearly basis with the company's recognition of the importance of its staff members, or key stakeholders. In 2021, 86 per cent of staff members answer the E-Survey and the engagement score is 88 per cent, higher than the industry's average.

2. Customer Survey is not conducted in 2021 as customers find it more convenient to share information with account or marketing officials.

Analysis of the Company's Stakeholders

The company categorizes its stakeholders into 2 groups as follows:

1. Internal stakeholders: staff members and shareholders;
2. External stakeholders: customers; investors; partners and creditors; regulators; society, community and environment.

The details of these 2 groups of stakeholders are in the following Analysis of the Company's Stakeholders Table, with details of their expectations and the company's response to them:

Analysis of the Company’s Stakeholders Table

1. Internal Stakeholders

Stakeholder	Stakeholders’ Expectations	Responses to Stakeholders’ Expectations
<p>Staff</p>	<ul style="list-style-type: none"> - Market-competitive salary, welfare and benefits. - Career advancement opportunities - Study and self-development opportunities - Balance between work and private life - Listening to staff members’ opinions - Fair and non-discriminatory practice - Full access to the company’s news - Recognition and value of staff members - Good and safe work environment - Good citizenship, social and environmental awareness 	<ul style="list-style-type: none"> - Set up a policy to ensure staff members’ happiness at work for efficient customer service, applying “Happy Workplace” concept in care of staff members and their families. - Apply staff members’ suggestions from Employee Engagement Survey in the company’s planning and implementation of development. - Allow staff members to share opinions and to learn of human resource management policy from an HR Partner, a staff representative, for diverse information from different departments, age groups and genders. - Promote and supervise ethical practice - Develop and promote staff members’ knowledge of their work and their potential development - Treat all staff members fairly and equally in accordance with human rights principles— non-discriminatory practice regarding their birthplace, ethnicity, language, gender, physical condition or political opinion - Ensure all staff members’ eligibility for promotion based on their knowledge and efficiency with fair process - Reconsider staff members’ salary and benefits - Organize Trinity Town Hall for the executives’ discussion with all staff members - Promote staff members’ participation in

Stakeholder	Stakeholders' Expectations	Responses to Stakeholders' Expectations
		social activities by Trinity Volunteers Club - Promote staff members' environmental awareness with 3R and ESG projects
Shareholders	<ul style="list-style-type: none"> - Profitable performance and sustainable growth. - Good return and appropriate dividend for shareholders. - Good governance. - Transparent, straightforward and Verifiable disclosure of information. - Effective risk management system - Allowing shareholders to share their opinions and enlist important matters in the agenda of shareholders' meeting as well as to nominate members of the Board of Directors. 	<ul style="list-style-type: none"> - Treat shareholders and respect their rights, as defined by The Securities and Exchange Commission, Thailand (SEC) and The Stock Exchange of Thailand (SET). - Treat all shareholders equally - Adhere to good governance - Efficiently implement the dividend payment policy as defined - Improve the company's communication channels for easier and more convenient access to information. - Supervise effective organization of shareholders' meeting, encouraging them to exercise their rights. - Publicize shareholders' rights in proposing matters for the shareholders' general meeting and nominating members of the Board of Directors in the company's website.

2. External Stakeholders

Stakeholder	Stakeholders' Expectations	Responses to Stakeholders' Expectations
Customers	<ul style="list-style-type: none"> - Profit/return on investment - Prompt, efficient and consistent service - New financial products to meet customers' demands - Access to complete, reliable and up-to-date information for better decision - Fair service price - Good governance 	<ul style="list-style-type: none"> - Ensure that staff can provide customers with investment information according to analytic reports methodologically processed with professional standard. - Train staff members and strictly examine their practice in accordance with regulations and codes of conduct. - Constantly update trading system and services to better meet customers' demands.

Stakeholder	Stakeholders' Expectations	Responses to Stakeholders' Expectations
	<ul style="list-style-type: none"> - Staff's code of conduct in maintaining customer confidentiality - Social and environmental responsibility 	<ul style="list-style-type: none"> - Provide customers with convenient and prompt access to news and information on investment, financial products and investment knowledge by diversifying communication channels, namely Email, Line, website, Facebook and Telegram - Promote paperless practice to curb global warming by Email submission of reports. - Develop energy- and resource-saving practices such as IPO and bond subscriptions by phone. - Organize staff training in Personal Data Protection Act (PDPA) and hold meeting of related parties to update work system and reports in accordance with the legal requirements.
<p>Investors</p>	<ul style="list-style-type: none"> - Profit/return on investment - New financial products to meet investors' demands - Access to complete, reliable and up-to-date investment information for better investment decision 	<ul style="list-style-type: none"> - Ensure that staff can provide customers with investment information according to analytic reports methodologically processed with professional standard. - Provide investors with convenient and prompt access to news and information on investment, financial products and investment knowledge by diversifying communication channels - Organize trainings for general investors
<p>Partners and Creditors</p>	<ul style="list-style-type: none"> - Transparent and fair selection of Partners. - Equal and fair treatment of all Partners. - Practice in strict accordance with mutual terms and contracts. - Good work system and clear, non-individual-based contact process. - Fair price and transparent procurement system. 	<ul style="list-style-type: none"> - Adhere to transparency, fairness and equality principles in treatment of partners. - Set procurement and hiring procedures with appointment of committees in some cases for fair treatment of partners. - Inform partners of anti-corruption promotion policy. - Comply with loan, product and service purchase conditions of contract agreement.

Stakeholder	Stakeholders' Expectations	Responses to Stakeholders' Expectations
Competitors	<ul style="list-style-type: none"> - Transparent and legal business Operation. - Compliance with the terms of Association of Thai Securities Companies (ASCO). - Participation in the advancement of securities industry. 	<ul style="list-style-type: none"> - Join Thailand's Private Sector Collective Action Coalition Against Corruption (CAC). - Support company executives to participate in the development of securities industry by serving in SET's and ASCO's committees and working groups.
Regulators	<ul style="list-style-type: none"> - Good governance - Fairness, transparency and social and environmental responsibility. - Information disclosure and readiness for inspection. - Legal business practice in compliance with relevant principles. - Internal communication of relevant laws and principles. 	<ul style="list-style-type: none"> - Summarize rules and regulations for staff members and ensure their observation prior to effective date. - Share opinions on new rules and regulations. - Summarize relevant rules and regulations for Board of Directors. - Regularly update Compliance Manual to be used as Employee Operating Manual. - Utilize staff members' knowledge and competency in finance and investment.
Society, Community and Environment	<ul style="list-style-type: none"> - Ethical business operation with social and environmental responsibility. - Support and sharing for overall improvement of living condition. - Good citizenship and payback to the public and society in one way or another Provide the public with financial knowledge for their everyday use. - Environmental protection 	<ul style="list-style-type: none"> - Provide the public with financial and investment knowledge in "Happy Money in Happy Workplace" project at the offices of interested companies. - Promote social and environmental awareness among staff members through various activities. - Develop work system with concern for its environmental impact. - Support executives' and staff members' public services in committees and working groups of organizations for national and public benefits.

Setting an important agenda on sustainability

The company has compiled issues related to stakeholders both internal and external by placing importance on the aspects mainly related to securities industry in comparison with sustainability global standards. There are also assessments of risks that are both in the present and anticipated risks that

could happen which might affect the company’s business operations. These matters would be ranked in terms of their importance and to determine the procedures for the operations to appropriately respond to the needs of stakeholders in each group.

Processes and procedures for assessing key sustainability issues The steps are in order as follows:

1. Specifying the key points

- Reviewing the points in the Sustainability Report found in the 2020 annual report in order to find out whether the key points on sustainability in the previous year have had continued significance in 2021.
- Study the sustainability trends related to business operations by comparing them with the same industrial points with particular emphasis on the points given international attention in the context of sustainability and global changes.
- Compile the main points on sustainability derived from stakeholders within and outside the company such as Employee Engagement Surveys carried out by the Human Resource Section and from Customer Surveys by way of an account executive and/or a marketing executive who oversees clients’ accounts.
- Bring together all points and after scrutiny present them to the company’s board of executives and stakeholders for consideration and approval.

2. Ranking of important points

- Analyze and review information deriving from surveys of company’s stakeholders.
- Ranking in terms of importance on the subject of sustainability according to survey results deriving from representatives of stakeholders in each group and divided into 3 levels low, medium and high and dividing the perspectives into dimensions:

The Horizontal	:	Vital issues to the company
The Vertical	:	Vital issues to stakeholders

3. Checking

- Explain the ranking of importance in points related to sustainability to all lines of work in the company in order to hear the opinions of stakeholders and use them as guidelines for operations that fall in line with the needs of those stakeholders.
- Report on the main points regarding sustainability to the ESG committee for consideration and presenting them to the company’s executive board and publicize them in the Development for Sustainability Report and on the company’s website.

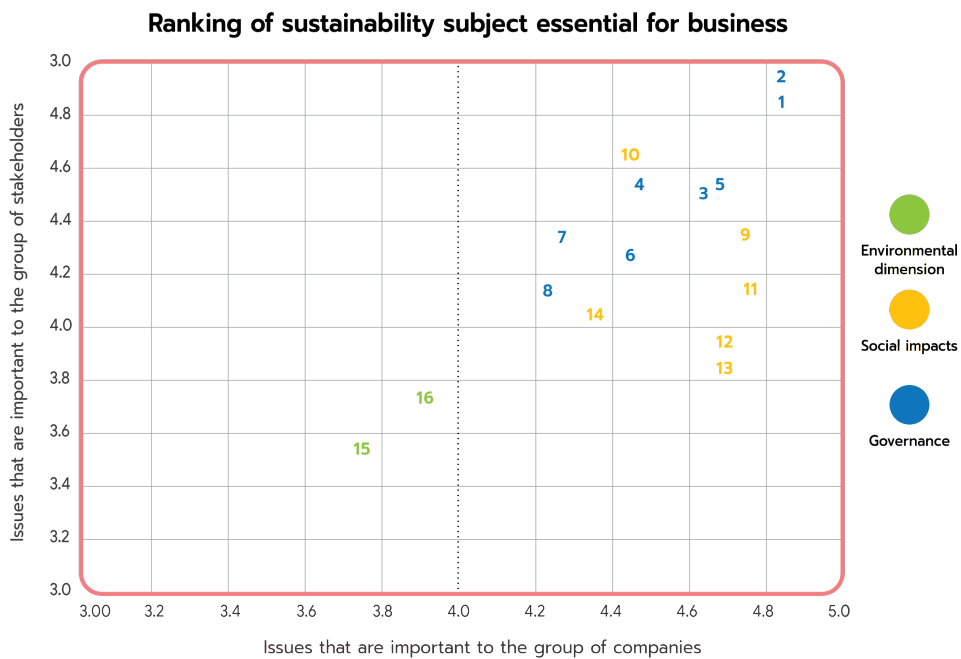
4. Considerations and revisions

- The company prepares the considerations and revisions process after this report has been disseminated and presents them to the stakeholders in order to hear their opinions and suggestions for improvements or alterations in the next report.

Topics on sustainability that are crucial towards business operations

In 2021 there have been continued actions on sustainability along with the development and improvements of operational plans to be appropriately in line with the ranking of importance for the company group and stakeholders. From the process of determining the company’s sustainability topics it is possible to determine 10 crucial sustainability topics all of which may be changed or altered from 2020 to ensure that the main sustainability topics are in line with the company’s business operations and the topics of sustainability according to GRI guidelines.

As such, the results of the rankings for the main topics in sustainability have divided the importance based on how crucial they are for the company and the topics essential to stakeholders. The chart here differentiates the topic based on each ESG. Dimension:






















Issues in each ESG dimension









<h3 style="margin: 0;">Governance</h3>	<h3 style="margin: 0;">Social impacts</h3>	<h3 style="margin: 0;">Environmental dimension</h3>
<ol style="list-style-type: none"> 1. Oversee matters adhering to the principles of good governance 2. Ethics and transparency 3. Institutional risk management 4. Client-centered 5. Development of products and financial services using modern technology. 6. Cyber safety and data protection for client. 7. Customer relations management 8. Financial products with concern for environmental, social and good governance impacts. 	<ol style="list-style-type: none"> 9. Human resource development 10. Extending opportunities for accessing financial services and education. 11. Quality of life and good livelihood of employees. 12. Human rights 13. Just and equal treatment towards laborers 14. Hosting social and environmental activities 	<ol style="list-style-type: none"> 15. Environmental management by the company 16. Risks deriving from climate change Essential sustainability issues

Essential sustainability issues

Essential Sustainability Issues	Sustainability Issues in accordance with GRI guidelines	Scope and Impact		Topics presented in the report	SDGs
		Internal	External		
1. Oversee matters adhering to the principles of good governance	Governance (GRI 102-18, GRI 102-19)	Trinity Watthana Plc. and Trinity Securities Co. Ltd.	All external stakeholders	Oversee matters adhering to the principles of good governance	
2. Ethics and transparency	Ethics and Integrity (GRI 102-16), Anti Corruption (GRI 205)	Trinity Watthana Plc. and Trinity Securities Co. Ltd.	All external stakeholders	Business ethics	
3. Institutional risk management	Product and Services (GRI 103)	Trinity Watthana Plc. and Trinity Securities Co. Ltd.	All external stakeholders	Risk management	

Essential Sustainability Issues	Sustainability Issues in accordance with GRI guidelines	Scope and Impact		Topics presented in the report	SDGs
		Internal	External		
4. Client-centered	Product and Services (GRI 103)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	Clients	Client - centered	  
5. Development of products and financial services using modern technology.	Product and Services (GRI 103)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	Clients	Product development and responsible provision of financial services	 
6. Cyber safety and data protection for client.	Governance (GRI 102-30) Customer Privacy (GRI 103, GRI 418)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	Clients, business partners and creditors	Prevention of cyber crimes.	 
7. Safety and management of customer relations	Product and Services (GRI 103)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	Clients	Survey of customer satisfaction	  
8. Financial products with concern for environmental, social and good governance impacts.	Governance (GRI 102-30, GRI 102-31)	Trinity Watthana Plc. and Trinity Securities Co. Ltd.	Shareholders, clients, society the community and the environment	Responsible development of products and financial services	     
9. Human resource management	Training and Education (GRI 103, GRI 404)	Trinity Watthana Plc., Trinity Securities Co. Ltd., Trinity Intelligence plus Co.,Ltd. and Trinity One Co.,Ltd.	-	Human resource management	  

Essential Sustainability Issues	Sustainability Issues in accordance with GRI guidelines	Scope and Impact		Topics presented in the report	SDGs
		Internal	External		
10. Extending opportunities for accessing financial services and education.	Indirect Economic Impacts (GRI 103, GRI 203) Product Portfolio (GRI 103, FS 7) Local Communities (GRI 103, FS 13, FS 14) Financial Literacy (GRI 103, FS16)	Trinity Watthana Plc., Trinity Securities Co., Ltd., Trinity Intelligence Plus Co., Ltd. and Trinity One Co., Ltd.	Shareholders, clients, society the community and the environment	Offering knowledge on financial an investment matters for the clients	     
11. Quality of life and good livelihood of employees.	Occupational Health and Safety (GRI 103, GRI 403)	Trinity Watthana Plc. Trinity Securities Co., Ltd., Trinity Intelligence Plus Co., Ltd. and Trinity One Co., Ltd.	-	Promoting a better quality of life and good livelihood for employees.	 
12. Human Rights Issues	Human Rights Assessment (GRI 103, GRI 412)	Trinity Watthana Plc. Trinity Securities Co., Ltd., Trinity Intelligence Plus Co., Ltd. and Trinity One Co., Ltd.	Clients, business partners and creditors	Promoting a better quality of life and good livelihood for employees	  
13. Just and equal treatment towards laborers	Employment (GRI 103, GRI 401) Labor / Management Relations (GRI 103, GRI 402) Diversity and Equality Opportunity (GRI 103, GRI 405)	Trinity Watthana Plc. Trinity Securities Co., Ltd., Trinity Intelligence Plus Co., Ltd. and Trinity One Co., Ltd.	Clients, business partners and creditors	Human resource management	 

Essential Sustainability Issues	Sustainability Issues in accordance with GRI guidelines	Scope and Impact		Topics presented in the report	SDGs
		Internal	External		
14. Hosting social and environmental activities	Economic Performance (GRI 103, GRI 201)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	All external stakeholders	Promoting social activities	     
15. Environmental management by the company	Energy, Water, Emissions, Effluent and Waste (GRI 302, GRI 303, GRI 305, GRI 306)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	All external stakeholders	Environmental management by the company and its affiliates	
16. Risks deriving from climate change	Emissions (GRI 103, GRI 305)	Trinity Watthana Plc. and Trinity Securities Co., Ltd.	All external stakeholders	Environmental management by the company and its affiliates	

Corporate Sustainability Framework

The company takes into account sustainable development goals or SDGs proposed by the United Nations and adopted by its 193 state members, implementing them through business and corporate actions.

The company has established the corporate sustainability framework to ensure sustainable operations. Stakeholders play an important role in determining relevant SDGs in environmental, social and governance (ESG) areas. The sustainable development strategy integrates the three key concerns of ESG in the mission statement, drives effective sustainable development and contributes to 10 global SDGs.



The sustainability framework, examined and approved by the board of directors, serves as a blueprint for the 3-year sustainability strategy. The aforementioned strategy provides a guideline for the company and its affiliates and is subject to regular revisions. Both the framework and strategy steer the organization towards tangible and measurable sustainable development. The guiding principles of the sustainability framework and the selected SDGs are as follows:

1. Being a securities company that responsibly provides financial services
2. Being a securities company whose operations adhere to the principles of good corporate governance
3. Being a securities company that takes initiatives related to communal, societal and environmental development

Being a securities company that responsibly provides financial services	Being a securities company whose operations adhere to the principles of good corporate governance	Being a securities company that takes initiatives related to communal, societal and environmental development
<ul style="list-style-type: none"> - Committed to offering investment services which provide satisfactory and acceptable returns - Developing and providing financial products with environmental, social and governance responsibilities - Providing financial services for the digital lifestyle via different online channels - Implementing strict privacy policies to protect client and employee information 	<ul style="list-style-type: none"> - Conducting business while following good corporate governance practices - Acting ethically with regards to customer service - Effectively managing risks - Educating, raising living standards, and being responsible for employees 	<ul style="list-style-type: none"> - Expanding the availability of financial services - Educating clients, investors and employees - Increasing social welfare - Managing environmental impacts

Summary of key operations in accordance with sustainability operations for 2022

Being a securities company that responsibly provides financial services	Being a securities company whose operations adhere to the principles of good corporate governance	Being a securities company that takes initiatives related to communal, societal and environmental development
<ul style="list-style-type: none"> - Implementing corporate social responsibility practices in all financial products - Giving clients professional investment advice in compliance with any rules or regulations set by related organizations - Creating security analyses of listed companies that follow good corporate governance practices 	<ul style="list-style-type: none"> - Ranked "Excellent" in IOD's Corporate Governance Report - Ethically providing services and putting the client's best interest first - Demonstrating a determination to fight corruption and periodically organizing trainings to ensure that employees strictly follow the anti-corruption guidelines - Establishing a code of conduct 	<ul style="list-style-type: none"> - Constantly improving the financial literacy of clients via online channels. For example— - Participating in the Care the Bear, an event-driven project organized by SET. The last new year party, held at the end of 2021, was able to reduce the carbon footprint by 4,012.53 kgCO2e which is an equivalent of the amount of CO2 absorbed by 446 trees each year.

Being a securities company that responsibly provides financial services	Being a securities company whose operations adhere to the principles of good corporate governance	Being a securities company that takes initiatives related to communal, societal and environmental development
<ul style="list-style-type: none"> - Giving financial advice on how to raise capital in accordance with professional standards. - Providing online financial services for the digital lifestyle through various channels such as a mobile application, a website, and the company’s social media. - Underlining the importance of governance, data management and systematic operational review. - Creating opportunities for clients to take part in the CSR initiatives by donating a portion of the stock trading fees and half of the future trading fees to the ASCO Covid-19 relief fund. 	<ul style="list-style-type: none"> that adheres to the risk management policies and organizing trainings and seminars related to risk management to raise an awareness among executives and employees. - Emphasizing cyber security and developing corresponding IT standards to control data access and transfer; performing thorough checkups; implementing international cyber security standards. - Scoring 88 percent in the Employment Engagement Survey. - Maintaining the 93 percent of employee retention from last year. 	<ul style="list-style-type: none"> - Using office supplies efficiently and raising awareness among employees in various ways, including. - Reusing single-sided A4 printouts. - Reusing double-sided printouts to the Foundation for the Blind in Thailand under the Royal Patronage of HM the Queen. - Upcycling fanfold papers into notebooks and donating them to underprivileged children - Making the switch to LED for 1,104 bulbs which helps save 376,905.61 kilowatts per year.

Being a securities company that responsibly provides financial services

Responsibly developing financial products and services

The company is committed to ensuring the efficiency of clients' access to its financial products and services. We aim to increase their financial literacy and foster clients' investment skills which include the ability to earn profit from the various investment products.

It is the company's responsibility to keep developing different financial products and facilitating the online access through multiple channels. The company's initiatives in 2021 are as follows:

1. Effective investment services on the Trinity Smart Wealth platform

Since 2021, the company has offered effective investment services on a platform called Trinity Smart Wealth. The two investment portfolios available are:

1. A stable portfolio with a mid-to-long-term investment plan using primary factors for analysis.
2. A swift portfolio with a with a short-to-long-term investment plan using technical factors for analysis.

The services respond to the needs of customers who do not have time to research or to closely follow market trends. The company's securities analysts select no more than five stocks and provide tips on when to buy or sell. The system sends the information directly to marketing executives to process the trading accordingly. Clients promptly receive investment information via email, SMS and LINE. The services act like a client's personal fund manager who helps secure effective investments.



In 2021, the company improved the system to efficiently meet the SEC's standards. The specifics of the stock universe make it convenient and less time-consuming for clients to make investment decisions. However, the global economy has since been disrupted by the Covid-10 pandemic and the prices of securities have plunged calling for the company's securities analysts in charge of the stable portfolio and the swift portfolio to revise their response strategies as needed.

In 2021, the stable portfolio created a return of 23.7% and realized a return of 13.3% by the end of 2021 (with the 16.4% SETTRI Index).

2. Cryptocurrency investment services

The company offers an alternative for clients to invest in digital assets as they continue to gain increased attention from investors around the world. The option allows investors to have a diversified portfolio that includes cryptocurrencies as well as securities



In 2019, the company has become a selling agent who provides advice to clients who are interested in cryptography investment through Satang Corporation Limited, and in 2020 the company expanded the cryptocurrency exchange services to Bitkub Online Limited. The chosen digital asset exchange companies have been approved and authorized by the SEC.

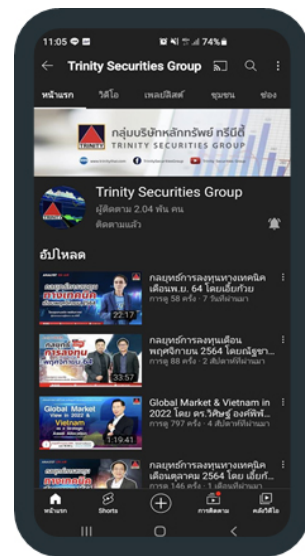
Additionally, for clients who are not familiar with the online system or with the digital platforms, special services are provided to help open an account and give relevant information on interesting digital products.

3. Developing platforms to present securities analyses through social media and Line@

To offer engaging, up-to-date and accessible securities analyses, the company has created new online platforms as follows:

1. Trinity Channel on YouTube
2. Trinity Securities Group Facebook page
3. Line@ named Trinity Securities Group

The three channels provide relevant financial and investment know-hows as well as related news in the form of analysis texts, images, infographics and videos including during the epidemic situation of Covid-19. The company foresees that customers and investors are unable to attend the seminar by themselves. The company produces video clips of technical webinars every month which has been satisfied by customers and many investors.



4. The application Trinity Member on Mobile on smartphones and tablets

Last year the company made adjustments on the Member on Mobile application, available on smartphones and tablets, to remain relevant. Clients can use the application to access the trading system, request to deposit or withdraw collateral, transfer stocks, edit personal information, see real-time updates of both stocks and derivatives on the exchange portfolios and read about investment news and key analyses. This year the company has developed a chat system for clients to instantly communicate

with the account marketing executive in order to be promptly assisted on daily trading, the ex-dividend date, etc.

5. Developing the company’s website www.trinitythai.com

The company has developed an online securities trading system called Trinity E-Opening to make it easy for clients to open a securities trading account by themselves via www.trinitythai.com. The online registration process bypasses the time-consuming paper-based processes and increases the level of security by using a high-tech verification and identification method via National Digital ID (NDID). The NDID platform used for digital transactions between the company and clients, has been endorsed by the SEC and adopted by eight banks namely Siam Commercial Bank, Bangkok Bank, Krungsri Bank, Kasikorn Bank, Kiatnakin Phatra Bank, CIMB Thai Bank, Government Housing Bank and Government Savings Bank.



Customer-centric Policy

In 2021 the Covid-19 pandemic disrupted the global economy and the year-long lockdown policy put a pause on the pre-pandemic life and traditional banking. As a consequence, the company has shifted online and rerouted all communications according to the New Normal protocols for customer convenience. The company has also streamlined its operations with caution as the products and services are modified to meet the needs of various client groups. To provide clients with opportunities for better returns, the company continues to present new products and investment channels.

The company values honest feedbacks collected through customer relationships and situation analysis, and applies them along with its extensive experience in finance, to develop products and services. When making an investment decision, clients are provided with sufficient information and highest level of data protection.

Media Marketing

Being a securities business that offers many different financial products, the company needs established marketing channels and communication channels in order to offer effective, accessible and up-to-date information to clients and general investors. The company's means of communication are marketing executives, tellers, call center agents, a website, Facebook page and LINE Official Account.

The personnel responsible for news updates and lifestyle information include securities analysts, corporate communication officers, business development executives and online customer service administrators, all of whom have been trained to recommend new products and services, to answer questions and to connect with clients through prompt two-way communication.

Customer Satisfaction Survey

The company is dedicated to innovation and customer responsiveness when developing investment products and services. User behavior plays a role in evaluation and analysis in order to ensure the best solution and most satisfied customers. The aforementioned improvement would also enhance product development and customer service. Furthermore, the company's call center provides information on products and services, solves customer service issues and obtain clients' feedbacks which are key in continual service improvement.

There is a designated channel to receive complaints from clients and promptly convey them to involved personnel and direct supervisors who then ascertains a solution and subsequently closure of the case after having informed clients within a timeframe.

To further improve service quality, the company schedules periodical system checkups and performance evaluation on call center personnel who stay thoroughly informed about various products through trainings and extensively prepared by stimulated conversations to effectively answer to different customer needs and questions.

Channels for Feedbacks and Complaints

Channel 1	Personally filing a complaint at the head office or a branch by informing a representative or filling out the feedback form
Channel 2	Mailing a letter of complaint or petition to the audit committee of Trinity Securities Company Limited, 179 Bangkok City Tower, Floor 25-26 and 29, South Sathorn Road, Thung Maha Mek, Sathon, Bangkok, 10120.
Channel 3	Filing a complaint with a call center agent via 02 343 9555
Channel 4	Sending a complaint to compliance@trinitythai.com or auditcommittee@trinitythai.com
Channel 5	Submitting a complaint via www.trinitythai.com or sending a message to the company's Facebook fan page www.facebook.com/Trinitysecuritiesgroup

Providing Financial and Investment Knowledge to Clients

1. Formulating securities analyses and offering investment advice

Trinity Securities Company Limited formulates securities analyses and professionally provides principle-based advice on investment and finance for clients and investors. The quality, accuracy and immediacy of the information is key when making an investment decision. Therefore, to ensure transparency in the process of selecting an analyst firm, the company's securities analysis report includes the Corporate Governance (CG) Score and the list of companies that have joined Thai Collective Action Against Corruption (CAC).

2. Organizing online seminars on financial knowledge for clients

The company has always organized trainings and seminars for clients and investors until the Covid-19 pandemic shifted all educational events online.

In 2021 clients were about to learn about technical analysis, fundamental analysis and monthly investing strategies online through 24 seminars on Facebook and Youtube, 7 zoom sessions on financial literacy with Dr. Visit Ongpipattanakul and 1 zoom session with Leo Global Logistics Public Company Limited, a company that is registered in SEC.



Online educational seminars for investors via Facebook and Youtube organized by Research Department

Seminar Topic	Number of Sessions
Technical analysis seminar led by Kamolchai Pholintawong	12
Monthly investing strategy led by Nuttachart Mekmasin	12

Online educational seminars for investors led by Dr. Visit Ongpipattanakul

Date	Seminar Topic
January 13, 2022	"Post - January Rally : What's Next" Seminar
February 23, 2022	Investing Thailand 2021 Seminar
March 31, 2022	Getting to Know Digital Assets— "How to Win the Game of Crypto?" Insight to the development of cryptocurrency from wave 1, to wave 4 to the futuristic finance world
April 26, 2022	Strategic Global Asset Allocation
June 27, 2022	Choosing Stocks amidst Shrinking Liquidity by Money Chat Program
July 17, 2022	SEC Capital Market Regional Seminar 2021 "The Influence of Digital Transformation Discloser on Firm Value : Empirical Evidence from Listed Firms on the Stock Exchange of Thailand"
October 15, 2022	Global Market View in 2022 & Vietnam as a Strategic Asset Allocation

Effective Customer Data Management

Throughout the year, the company expanded its services to online platforms to answer to how consumer behavior has changed. IT technology has been integrated to facilitate the increase in volume and variety of the data and to ensure its velocity and veracity.

Along the labor-saving IT implementation comes cyber threats that are increasingly aggressive and complex. A reckless human error could result in a breach that jeopardizes the company's and customer's data security.

The company values customers' information and, therefore, constantly increases the level of security and data protection to inspire confidence and instill trust in clients who chooses its financial services. The company's IT Security Framework which includes NIST framework, COBIT5, CIS and OWASP, establishes standards for information technology management and effective operations while adhering to the announcement such as the Computer Act Announcement of the Securities and Exchange Commission and the Stock Exchange of Thailand (SEC), GDPR, Personal Data Protection Act, etc. The company has always reviewed the working guidelines to be current.

Additionally, to safeguard data and IT management and assure uninterrupted business, the company has implemented key technologies to control data access and transfer. All gateways across all associated companies are strictly monitored. Read more about the policy under the topic of Cyber Crime Prevention

Being a Securities Company with Good Governance

Good Corporate Governance

The company emphasizes on good corporate governance as a securities business requires trust and credibility from all involved parties. A favorable corporate image and business performance contribute to long-term growth. Therefore, the company regards good corporate governance as the foundation. Roles and responsibilities of the board members promote and accentuate good corporate governance which in turn fortifies transparency and compatibility. The business will then thrive and yield profits to shareholders in the long term.

The board members are responsible for deliberating the principles of good governance under the guidance of the SEC and the company's regulations. The corporate governance policy, which has been announced to and enforced on all employees, is periodically reviewed and revised according the circumstances.

Ethical Service

As the Trinity Wattana Public Company Limited operates as a Holding Company comprising six subsidiaries and associated companies and one joint venture, one of the company's board members is appointed to be a representative in a subsidiary. Any decision that has a significant Impact on the company requires an approval from the board.

The company also appoints its management executives to also act as a board director of the associated companies. Any transaction between a subsidiary or an associated company and an involved party requires an approval from the company's board of directors. A representative must request for an approval from the board of directors while revealing related documents, collecting data and consolidating the budget within the timeframe.

Data governance calls for the board members, management executives and employees of the Trinity Wattana Public Company Limited and the subsidiaries to strictly follow the Compliance Manual which lists related regulations, for example, workplace ethics and employees' purchases of securities. The company has established the "Data Governance" guideline to avoid conflicts of interest and protect clients' data.

Business Ethics

The company has always valued ethical business practices and regarded them as basic practices in the company's business ethics manual. To demonstrate the commitment to transparency and standardization, the company has integrated business ethics in workplace ethics to which all employees must strictly adhere. Moreover, the company promotes good government awareness among employees

through the orientation training, educational training, internal communication and personal reminders for board members, management executive and employees to steer clear from any violations of laws, rules, and regulations that puts corporation reputation at risk.

Workplace Ethics

1. *Professional Integrity:* Maintaining appropriate professional integrity and implementing the principle of equal treatment in service provision
2. *Attentiveness and Caution:* Maintaining professional standards which include resourcefulness, competence and attentiveness
3. *General business practices:* Strictly complying with the law, regulations and standards that are related to securities and/or futures businesses
4. *Customer Data:* Collecting sufficient customer data to gauge the client's status and investment goal, and giving comprehensive investment advice sufficient to facilitate the decision making process of the particular clients and other clients alike
5. *Conflicts of interest:* Avoiding possible conflicts interests within the company and within the company group. If there is a conflict of interest, the company's member is required to treat clients fairly and equally, a procedure which may be achieved by revealing certain information, under by the confidentiality regulations, by refusing service or by any other appropriate means, without taking advantage of the clients.
6. *Customer asset protection:* Keeping customer assets appropriately separate from those of the company and identifiable
7. *Financial stability:* Being confident in the company's status and having the ability to meet its debts and continue operations
8. *Corporate structure and internal control structure:* Establishing the corporate structure to uphold efficient management. There is a strong internal control system and proper recording of information. as well as having a process of recruiting personnel with sufficient knowledge and competence to perform their duties. The members must determine the rules of operation to be in accordance with in accordance with applicable laws and regulations.
9. *Business and the greater good:* participating in team events for the greater good and valuing the benefit of the company over that of yourself
10. *Solidarity with associates:* Refraining from any actions that would negatively affect associates or would lead to disunity
11. *Solidarity with governing organization:* Overtly cooperating with governing organization and notifying the organization of any information that needs attention

The company reviews business ethics and workplace ethics annually and updates the topics of ethics to stay relevant. In addition, managing executives of all levels are held responsible for any violation against business ethics done by their subordinate.

Corruption Prevention

The company places emphasis on preventing corruption as it is detrimental to economic growth. The policy to prevent and combat corruption provides guidance for and promotes trust in its business operations so the stakeholders can be confident of the company's transparency.

Preventive Anti-corruption Policies

- 1) The company does not tolerate corruption in any kind of business, transaction or organization.
- 2) The company's directors, management executives and employees do not tolerate corruption whether it be for personal gains or favors for families, friends or acquaintances, whether directly or indirectly as they need strictly comply with anti-corruption measures
- 3) The company communicates the anti-corruption policy since the beginning of an employment and gives follow-up trainings on a regular basis. Additionally, the company implements routine checks to monitor and assure compliance to this anti-corruption policy, and reviews operational guidelines and regulations to stay up-to-date with the evolving business, rules, regulations, and legal mandates.
- 4) The company will create and maintain the corporate culture that regards corruption as unacceptable in public and private sectors alike.
- 5) The company applies the zero-tolerance to corruption policy and complies with all anti-corruption laws.
- 6) The company has no policy to be involved with or support political corruption.
- 7) The company has no policy to support its staff from paying money to ensure facilitating from government officials.
- 8) The company has no policy to receive gifts from government officials, governmental organizations, private organizations, clients, associates, partners, counterparties or any other individuals on any occasion.

The company established its anti-corruption policy and measures since 2015, received a membership approval from the CAC in April 2015 and earned its membership renewal in November 2018. Moreover, the company has been assessed by the SEC supported Thaipat Institute on the progress level of Thai listed companies with respect to anti-corruption called Anti-corruption Progress Indicators of 2016. The aforementioned achievements demonstrate the meticulously monitored practices of the anti-corruption policy.

In accordance with the guidelines, the company communicates and organizes at least one training session on its anti-corruption policy. The audit team also includes the corruption risk assessment in the unit assessment plans to assure compliance. The audit committees determine whether the anti-corruption assessment and guidelines are appropriate and sufficient in preventing and combating corruption.

Risk Management

Due to the importance of continuous corporate risk management, the company has established risk management policies to determine acceptable risk level and risk management measures for directors and management executives. Risk management is a factor when determining corporate strategies and operations to generate growth and profits for stakeholders in the long term and to prevent adverse effects on the company's business and stability. The company's strategies that are in line with standard guidelines and practices and the group risk management principles, incorporate the entire business group. The factors taken into consideration are strategic risks, credit risks, marketing risks, liquidity risks and operational risks all within the risk management framework which clearly assigns duties and responsibilities and dictates independent agencies. Each business unit is assessed according to its post-risk performance.

A key objective of risk management is to create awareness of corporate risk, assigned responsibility, competency to manage corporate risk, good governance and the emerging risk. This is integrated in the corporate strategy and operation. The company also realizes the importance of contributing to creating social value. For example, the Trinity Securities Company Limited integrates anti-corruption in the business and considers being certified and/or being declared a member of the Thai CAC as investment factors.

Effective resource management based on an acceptable level of risk in relation to best returns brings about success and the corporate group's competitive advantage. At the same time, the company also aims to bring about the highest returns for the shareholders in the long term.

The Risk Management Process

The company's risk management processes comprise risk identification, risk assessment, risk monitoring and control and risk reporting. The process remains up-to-date with the evolving environment and the international standards. Consistent overall risk management follow-ups provide feedbacks to increase the efficiency of the risk management system.

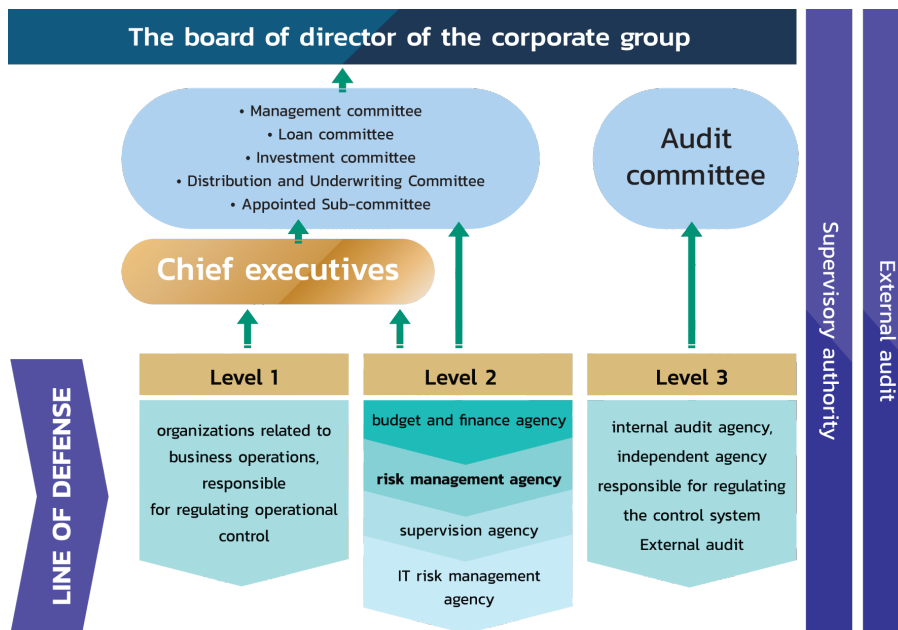
1. *Risk identification:* Risk identification is the act of indicating risk in terms of types, causes and factors, both external and internal. It also includes considering or predicting the risk at hand or plausible risk in the future

2. *Risk assessment:* Risk assessment is the application of tools and methods to assess risk. The process needs to be examined, approved and reviewed within an appropriate time frame.
3. *Risk monitoring and control:* Risk monitoring and control assure the practices of the risk policy, risk guidelines and scope of risk. Reporting various types of risks comprehensively, timely and adequately in many aspects to ensure the most effective risk management.
4. *Risk reporting:* Reporting on risk needs to be comprehensive, in time and sufficient in multiple areas to optimize the efficiency of the risk management

The Risk Management Structure

The company assigns the board of directors of the Trinity Watthana Public Company Limited to risk management and internal control of the company and associated companies. The board then appoints the operating committee of risk management to oversee strategic risk, overall corporate risk and itemized risk of each risk type. A chief executive of each business in the company acts as a consultant to supervise the strategic risk of each organization and each chain of command.

The management committee comprises the chairman and the chief executive who are specialized in risk in securities trading. In a thorough manner, the committee establishes for the company group the policy framework and risk management strategy which provide guidelines for the operating committee’s execution which is supported by members of the risk management team, for example, a loan committee which makes certain that the lending clients meet regulatory standards and a business continuity steering committee who determine the risks posed by cyberattacks and the covid-19 pandemic



In 2021 the company established an operating committee to protect clients' personal information and establish cyber security. The director of computer and technology oversees the operation and supervises the application of technology is compatible with the business strategy, transaction volume, technological complexity and relevant risks. The SEC's standards regard good governance, security as well as suitable information technology management as elements of the corporate risk management. The company's risk management plan results in monitoring and effective corporate risk management in general. It can also be adopted as the company's strategic plan and applied to the preventive measures and three-level risk control which is the main risk management framework. The company's risk management needs to be ever-evolving to create financial sustainability.

Embedding Risk Awareness in Corporate Culture

The company places emphasis on raising an awareness of risk management among management executives and staff of all levels through the yearly specialized training on risk management topics, for example, the relevant regulatory and legal issues, operational risk management and corruption prevention. In 2021, 13 employees participated in the training. Moreover, the company plans on implementing risk management in the company values.

Cyber Crime Prevention

The company acknowledges the importance of information security by establishing the IT standards for the entire company group to strictly control access, transfer and inspection of all levels, to safely manage the information and technology and to assure business continuity. To protect clients' data from security breaches and misuses, the company's preventive measures against cyber attacks stays up-to-date to meet the International standards and to be compatible to the business strategy and operation.

Key Technology Policies

1. *IT Infrastructure & Security*: Enhancing the efficiency, stability and security of the IT structure to ensure 24/7 availability
2. *Data Management & Data Privacy*: Enhancing the data management process to enable a complete data integration encompassing the internal data as well as the external data to answer to the needs of clients and internal users within the law
3. *Application Management & Application Security*: Enhancing the efficiency of the IT system to completely connect all internal networks to power the digital life
4. *IT Governance*: Enhancing IT governance to improve and add value to the organization and to enable transparency in every process contributing to sustainability and stability

5. *IT Capability*: enhancing the knowledge and competences among staff to optimize effectiveness and efficiency of the IT development and integration enabling adaptability needed in the fast-paced industry.

Improving the life quality and well-being of employees

The company prioritizes the quality of life and well-being of employees as the human resource is critical to the continuous success and growth of the organization. The established human resource policy is applied to the entire company group to set the standards. The company prioritizes employee welfare from skill and competence development toward expertise, to proper compensation and benefits, to safety, occupational health, to occupational environment, to the human treatment according to the corporate value.

Social Policy and Human Rights

The company's social policy and practices respect the Universal Declaration for Human Rights (UDHR) and the United Nations Guiding Principles on Business and Human Rights (UNGPs) which prioritize fair treatment and human rights to equality and non-discrimination. The organizational practices of employment, compensation, promotion, training and skill development are applied to all without regard to gender, age, educational institution, race or religion. The company also promotes employment for the disadvantaged namely persons with disabilities, older adults and ex-offenders, to provide career opportunities and stable incomes for the groups and contribute to the national and global SDGs. Between 2000-2001, the company's SDG report complied with the GRI guidelines and started the process of risk assessment regarding company-associated human rights according to the UN Guiding Principles on Business and Human Rights, the principles and rights at work complying to the International Labour Organization (ILO) and the principles of the United Nations Global Compact (UNGC).

However, the company has not concretely established the human rights policy as it is in the process to make adjustments to details related to human rights. Once the adjustments have been made, the company will publicize the policy on the company's website.

Human Rights and Social Policies

Adhering to the human rights and social policies, the company respects the fundamental human rights of employees and workers, clients, communities and society, and value chains, demonstrated through equal and fair labor treatment, the innovation of financial products, service integrity and CSI projects. Additionally, with the intention to avoid any violations against human rights, the company provides complaint channels to formally hear from those whose rights have been violated and from those who have been treated unfairly, and to resolve the issue. The two fundamental groups of human rights supported by the company are

1. Economic, social and cultural rights: Economic, social and cultural rights are the rights to employment, food, standard well-being, education and social welfare.

2. Civil and political rights: Civil and political rights encompass the rights to living, freedom, political equality and freedom to expression.

Human Resource Management

In addition to respect for human rights and equality, the company places great emphasis on HR management as the human resource is most valuable and crucial in helping the company achieve its vision and mission.

The company prioritizes on ensuring the following factors development of skill and competences toward expertise, proper compensation and benefits, safety, occupational health, standard work environment and the corporate culture or Trinity DNA that condition the desired attitudes and behaviors among employees to promote a happy workplace that is also successful. The essential HR principles are as follows:

1. Ethical Hiring

It is the company's policy to recruit a new employee to fill in a job vacancy by prioritizing suitable internal candidates. However, the company reserves the right to recruit an external candidate if deemed appropriate and suitable. In any case, the employee selection process remains fair as the candidate must have the educational qualification, experience, physical condition, and any other required qualification for the position. The company also invites employees to recommend friends or acquaintances as candidates through the Employee Referral Program.

The company considers 3 aspects of fair labor treatment namely:

1. Respecting human rights in the work place according to ILO's Declaration on Fundamental Principles and Rights at Work
2. Providing social security and appropriate working condition
3. Providing occupational health and safety



Succession Planning

The company systematically executes succession planning, proven by the seamless transitions in leadership in the past. Directors and the HR department identify critical positions in need for a succession plan and determine potential candidates, within and outside the same department. If there are no internal prospects, the company resorts to the external talent pools and prepare for developing future candidates.

Basic Staff Information

There are 200 employees (excluding managing directors and temporary employees)

The total number of staff categorized into different employment types

	year	Full-time staff	Contract staff	Total
 Male employees	2019	107	2	109
	2020	105	2	107
	2021	104	2	106
 Female employees	2019	126	1	127
	2020	123	1	124
	2021	124	1	125

Notes:

- 1) Full-time staff includes workers of all levels from executive, managerial to operational of different roles including Operations Director, Managing Director, Head of Department and full-time staff members.
- 2) Contract staff include all workers who are employed by Trinity to perform non-routine work in the employer's business or commerce, for a predetermined length of time, employed for a duration of time intervals with a preset end or level of achievement, or employed for seasonal work for a specified period of no more than two years with a signed contract since the start of the employment.

Total number of staff categorized into types of work

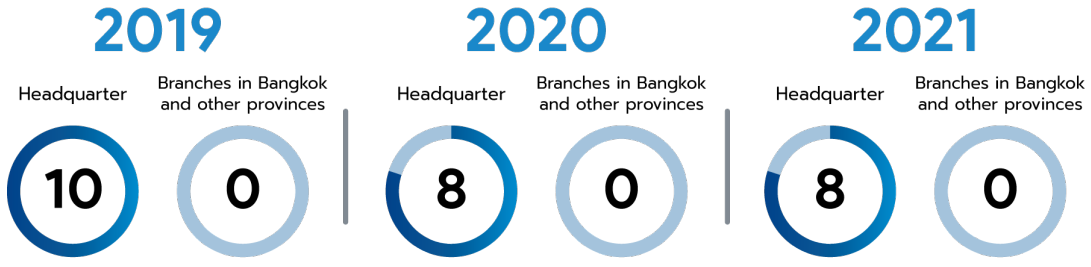
Staff Types	2019		2020		2021	
	Front Office	Back Office	Front Office	Back Office	Front Office	Back Office
Total	169	67	168	64	164	67
Male	81	28	83	24	81	25
Female	88	39	85	40	83	42

Total number of staff categorized into locations

2019			2020			2021		
Headquarter	98		Headquarter	96		Headquarter	95	
Branches in Bangkok and other provinces	11		Branches in Bangkok and other provinces	11		Branches in Bangkok and other provinces	11	
Male employees			Female employees					
Headquarter	107		Headquarter	105		Headquarter	105	
Branches in Bangkok and other provinces	20		Branches in Bangkok and other provinces	20		Branches in Bangkok and other provinces	20	

Notes: The total number of staff includes full-time staff and contract staff excluding the board of directors and temporary staff.

Number of Interns



Note: The yearly number of interns excludes temporary staff.

2. Equal Opportunities and Labor Practices

The company realizes that employees play a significant role in the securities business and contribute to the success and growth of the company. Furthermore, the company treats all employees fairly, equally and universally regardless of their race, language, religion, gender, age, social status, belief and political inclination.

The company does not discriminate against or favor any employees but provide opportunities for professional development based on one’s performance, knowledge, skills and behaviors that are compatible with the organizational culture. The equal treatment is regulated by the corporate anti-discrimination guidelines. To further promote equality, the company has built the following employee feedback channels:

1. The HR Partner committee: The HR Partner committee comprise employees of different age and genders and from different departments to represent employees' varied needs. Members of the committee change every two years. The committee play an important role in offering their valuable opinions on the human resources and in relaying news and information on the company's HR policies and roadmap to all employees. The HR Partner committee usually meet every quarter; however, there was no meeting in the entire 2021 as the Covid-19 outbreak made it necessary for most employees work from home.

2. Employee Engagement Survey: The company has conducted the Employee Engagement Survey for 5 consecutive years. (See the 2021 survey results under the topic of “Stakeholder Analysis and

Value Chain.”) The results of opinion polls and employee information remain confidential to allow candor which is most valuable for the company’s development.

Furthermore, in 2021 the company stressed on improving the quality of life for people with disabilities and partnered with Thai Health Promotion Foundation (ThaiHealth) and SET Social Impact to promote employment for persons with disabilities complying with the Empowerment of Persons with Disabilities Act, B.E. 2550 (2007) as amended until Act (No.2), B.E. 2556 (2013), Section 35. Two visually impaired massage therapists are hired to give therapeutic office syndrome relief massages to employees twice a week. The employment helps unburden the society of the subsidized wages as well as provide equal opportunities. The company’s expenses of more than 200,000 baht that would otherwise be dispensed to the Empowerment of Persons with Disabilities Act, B.E. 2550 (2007) can turn into a useful service for the organization. In 2021, the Covid-19 pandemic situation prevented the visually impaired massage therapists from providing the service; however, the company continued to provide the payment for the entire year. Once the situation turns back to normal, they will return to work as usual.

3. Compensation and Employees’ Benefits

The company provides compensation and appropriate benefits for employees and executives, which are comparable to other companies in the same business. In addition, the company also places importance on long-term savings and encourages its employees to have strong financial health. The compensation provided can be categorized as follows:

3.1 Compensation and short-term benefits are offered to reward performance and build morale on a basis of fairness. The compensation should correspond with the company’s operation performance, achieve the department’s goals/plans, indicate individual operation performance, and be competitive with the compensation and benefits offered by other companies in the same industry.

The form of compensation and short-term benefits provided to employees and executives include salary, wage, overtime, living expenses, bonus, incentive referral fees, and social security subsidy and welfare.

3.2 Post-employment benefits and compensation and long-term benefits are offered as an incentive and to encourage loyalty and long-term commitment with the company, as well as to build morale and motivate skilled employees who have growth potential to remain with the company.

The form of compensation and long-term benefits provided to employees and executives include a provident fund established in compliance with the Ministerial Regulations No. 162 (B.E. 2562). At present, the company’s provident fund was established under the name “Registered TMBAM M Choice Provident Fund.” Employees are entitled to the provident fund after they pass the probationary period and are officially employed. The employees can contribute to the provident fund at the same rate as the employers or can opt for the highest amount of 15%. The amount of contribution is voluntary and the

employees can change the rate once a year. Employees will receive the money from the provident fund after their membership is terminated. The fund has appointed a committee consisting of committee members elected by fund members and appointed by employers to oversee and manage the fund, as well as determine the investment policy for all members.

In 2019 and 2020, the company has joined the Securities and Exchange Commission (SEC)’s “Happy Retirement Company Project” to educate employees about savings and investment and allow employees to choose their contribution to be up to 15% with which the company will contribute based on the employees’ period of employment but no more than 15%. Employees are eligible to select their own investment plan in a Employees’ Choice manner, with five Master Fund policies which are bonds, domestic equities, international equities, real estate futures, gold futures, and special assets. There are 23 options of investment plans for employees to choose from, which can be changed every day via an online system of the provident fund manager. Combined with other long-term benefits provided to employees, such as compensation after termination of employment according to the labor protection law, employees will receive appropriate amounts of savings after retirement from the company, in accordance with the move towards an aging society.

The company conducts a survey of compensations and benefits with other securities companies every two years. The data from the survey is used in the consideration of appropriate adjustment of compensation and benefits. At present, the company is providing more welfare benefits to the employees than is required by law. The company has also developed the Benefit Management System (BMS) which handles medical expense claims to facilitate employees’ claims of expenses for inpatient, outpatient, dental, and ophthalmological expenses.

Employee Benefits

Benefits offered by Trinity Securities Group	Benefits for employees
In-patient and out-patient medical expenses	✓
In-patient medical expenses for employees’ spouses and children	✓
Annual health check-up for employees, spouses, and children	✓
Flu vaccination	✓
Essential medicine kit	✓
Compensation funds	✓
Life insurance and medical expenses in case of accidents	✓
Funeral aid for employees and family members	✓
Provident funds	✓

Benefits offered by Trinity Securities Group	Benefits for employees
Financial support for specialized training for employees requiring professional license	✓
Loans or sources of loan offered for employees	✓
Accommodation loans	✓
Accommodation loans from the Government Housing Bank (GHB)	✓
Emergency loans	✓
Tokens of appreciation for 15th and 20th anniversaries	✓
Parking	✓
Paid leave for religious retreats	✓
Paid leave for CSR commitments	✓
Transport/Food support	✓
Support for work during holidays	✓

The company grants pregnant female employees a maternity leave of no more than 90 days per pregnancy, including existing holidays during the leave period, and no more than 45 days of pay. Pregnant female employees are eligible to request a temporary change of responsibilities in the same position before or after giving birth. A medical certificate signed by a medical doctor certifying that said employee cannot perform the current tasks is required for the company to consider giving the employee suitable responsibilities.

Return to work rate and retention rate after maternity leave

Cases of leave	Number of employees		
	2019	2020	2021
Number of employees eligible for maternity leave per year**	137	137	136
Number of employees who take maternity leave per year	1	2	-
Number of employees who return to work after maternity leave	1	2	-
Number of employees who return to work after maternity leave and remain at work for 12 months	0	0	-
Return to work rate (1) after the maternity leave (percent)	100	100	100
Retention rate (2) of employees who return to work after their maternity leave and remain at work for 12 months (percent)	0	0	-

Remark:

(1) Return to Work Rate = (The number of employees who return to work after their maternity leave / number of employees by gender who take maternity leave) x 100

(2) Retention Rate = (The number of employees who return to work after their maternity leave and who remain at work for 12 months afterwards / number of employees who return to work after their maternity leave in the previous report) x 100

In compliance with the Labor Protection Act B.E. 2541, the company has appointed a welfare committee consisting of five members to provide counsel and suggestions to Human Resources regarding the provision and improvement of welfare benefits for employees, as well as evaluate and monitor the improvement of employees' benefits for the good of the employees and the organization.

1. Safety, Occupational Health, and Work Environment

The company has devised a safety, occupational health, and work environment policy that complies with the Ministerial Regulations on Administration Standards and Management of Safety, Occupational Health and Work Environment B.E. 2549. A committee on safety, occupational health, and work environment has been appointed to handle the policy and plans on occupational safety, including off-the-job safety, and reduce the occurrences of accidents, danger, illnesses, or work-related disturbances, as well as occupational risk. The committee is also responsible for reporting its annual operation performance and recommending to the company measures or ways to improve practices that will comply with the laws related to safety and occupational safety standards for the safety of employees, contractors, and outsiders who are on the grounds to conduct business. Any problems, obstacles, and suggestions about the operation of the committee should be identified and presented to the company. Moreover, the committee's duties also include proposing regulations and manual on occupational safety and workplace safety standards and establishing a system of reporting unsafe workplace conditions to be implemented as a task for all employees.

The committee is also responsible for considering training programs regarding occupational safety and training about duties and responsibilities in the safety of employees at all levels.

In addition, it is the committee's role to promote and support activities related to occupational health, evaluate the in-house operations on occupational safety, survey the operations on occupational safety, and perform a monthly check of workplace accidents statistics.

Number of Members of Safety, Occupational Health, and Work Environment Committee

Employer representative at executive level	Employer representatives at managerial level	Employee representatives	Secretaries	Total
1	2	3	1	7

Types of injuries, occupational illnesses, and occupational fatality that occurred in 2020		Times		Lost days	
		Male	Female	Male	Female
Injuries					
Small injuries	Head Office	0	0	0	0
	Bangkok and vicinity branches	0	0	0	0
	Regional branches	0	0	0	0
Occupational Illnesses					
Hearing	Head Office	0	0	0	0
	Bangkok and vicinity branches	0	0	0	0
	Regional branches	0	0	0	0
Muscles and bones injuries	Head Office	0	0	0	0
	Bangkok and vicinity branches	0	0	0	0
	Regional branches	0	0	0	0
Vision	Head Office	0	0	0	0
	Bangkok and vicinity branches	0	0	0	0
	Regional branches	0	0	0	0
Lung competence	Head Office	0	0	0	0
	Bangkok and vicinity branches	0	0	0	0
	Regional branches	0	0	0	0
Fatality					
Occupational fatality	Head Office	0	0	0	0
	Bangkok and vicinity branches	0	0	0	0
	Regional branches	0	0	0	0

The company also realizes the potential danger from breaking in and entering, as well as robbery. Thus, it has put in place security measures including a space access control system at the doors on every floor, an access control system that determines and controls the access rights of employees in each department, CCTV installation, and 24-hour security guards. The company also has a business continuous plan, an emergency response plan which aims to protect lives and possessions and mitigate potential loss.

In addition, the company places importance on preventing money laundering crimes and requires a Know Your Customer and Customer Due Diligence, KYC/CDD practice to inquire facts about customers. The concern also extends to any transactions by suspicious customers or those belonging to high-risk occupations. The related departments will report such transactions to the Anti-Money Laundering Office to prevent such individuals from exploiting business transactions with the company as a way to commit money laundering crimes and fund terrorism.

5. Employee Training

The company continuously provides training to enhance employees' knowledge to employees from the level of officers to high-level executives. The training offered exceeds the amount required by related government agencies. Moreover, the company encourages its employees to obtain needed permits in business in various fields by organizing training and/or tests, e.g. CFA/CISA, etc. The training is held both within the organization and outside through training/seminars with external organizations, which are considered based on annual performance evaluations, employees' competency evaluations, and requirements of the responsibilities. Not only does the company aim to enhance employees' knowledge and potential, it also hopes to ensure efficient services and quality suggestions from employees to customers and investors.

Training/seminar records in 2021

No	Training/Seminar	Participants	Hours	Expenses
1	Internal training/seminar	340	1,380	23,019
2	External training/seminar	74	1,239	317,540
	Total	414	2,619	340,559

6. Creating a Happy Workplace

The company strives towards a happy workplace and aims for its employees to treat the workplace as their second home. Thus, there are activities organized to foster love and bonding between employees and the company in various dimensions as follows:

Happy Body

The company regularly organizes activities that focus on caring for and monitoring employees' health every year. In 2021, the company specifically emphasized employees' vaccination and arranged for them to receive the vaccine from affiliated hospitals early on. Moreover, with employees' health in mind, the company implemented a work-from-home policy and provided equipment and work solution for employees to continue their work at home without it affecting their services to customers and investors. For employees who needed to come to the office, the company had measures to ensure their hygiene and prevent disease contraction. Annual health check-ups were provided as usual but with more control in terms of schedule and venue to avoid crowdedness. Social distancing was emphasized and free flu vaccination was also offered. Furthermore, in 2021, on the occasion of the company's 20th anniversary, the company offered its employees a gift set consisting of one box of face masks, one bottle of alcohol gel, an employee identification card, employee card hanging strings, and a jacket.



Happy Heart

The company organized different forms of charitable activities through the Trinity Volunteer Club to cultivate social consciousness and altruistic spirit in employees. In 2021, the company organized various charitable activities which a large number of employees participated in, namely:

- Providing lunch for and giving scholarships to visually impaired students at Bangkok School for the Blind.
- Contributing starting savings for students in the Savings Discipline Schools Project in conjunction with the National Savings Funds (NSF)
- Giving scholarships to Ban Suedang School, Pattani, located in the three southern border provinces.
- Fostering employees' conservation spirit and reusing office supplies that are still in good conditions, e.g. collecting unused containers and donating to SCG to be transformed into tables and chairs for students.

- Transforming continuous stationery used with old printers that the company no longer uses into notebooks for future use.

Happy Society

The company allows employees to express their opinions through the HR Partner Committee, the Provident Fund Committee, and the Safety and Occupational Health Committee. Also, to ensure thorough communication of the company's news, high-level executives will make an appearance to discuss the company's operations, turnover, and industry conditions with the employees at least twice a year. In the period of heavy spread of the COVID-19, during which employees had to work from home, questionnaires regarding employees' mental health and well-being were conducted occasionally to evaluate the situation and offer help to those in need.

Happy Relax

Under normal circumstances, the company organizes employee recreational activities such as the company's anniversary, New Year's party, and annual trips to create a joyful atmosphere for the employees. However, in 2021, due to circumstances, the company's anniversary party and annual trip were canceled. However, the New Year's party was still held under the new normal regulations with social distancing and individual food and drinks to avoid contact.

Happy Brain

Although the method of working in 2021 was different from other years due to the COVID-19 pandemic with most employees working from home, the company continued to encourage employees to continuously develop themselves and learn on an online platform. The average training hours of employees in 2021 were 11.34 hours per employee per year.

Happy Soul

Throughout the years, the company has held merit-making events for special occasions which were always attended by a large number of employees. However, in 2021, with the ongoing pandemic, there were no merit-making events at the company, but the company still performed the Tod Kathin ceremony to preserve religious traditions and maintain Buddhism like in the past. Apart from this, the company also showed social responsibility by donating money to buy medical supplies to hospitals nearby the temple at which the Kathin ceremony was performed, as well as giving scholarships to needy students in the school belonging to the temple.



Happy Money

The company educates the employees on savings and investment under the Happy Retirement Company Project. Fund managers are invited to present the overall picture of the economy and the essential information and performance of the funds to employees at least 2-3 times a year. In 2021, the training was not organized due to the COVID-19 pandemic.

Happy Family

While the company places importance on its employees' health, its healthcare does not only cover the employees, but also the employees' family members as well. Annual health check-ups are provided for employees' spouses and children, including flu vaccination funded by the company. Spouses and children are also eligible for inpatient medical expenses like the employees. In addition, the company organizes Family's Day activity, a trip for the employees' families to enjoy activities outside of the city. However, due to the COVID-19 pandemic in 2021, which required social distancing, Family's Day was not organized.

On Being a Socially and Environmentally Responsible Securities Company

As the company's business operations lie in assets and finance, the nature of such business does not have a direct impact on the society and surrounding environments unlike factories or certain businesses. As a result, the company has received no complaints from the community regarding social or environmental issues so far.

Nevertheless, the company is determined to support activities that responsibly benefit the community, society, and the environment. As such, it has taken opportunities to engage with the community and society as the company's capability and resources allow, including sharing knowledge in finance, investment, and various financial products. The purpose is to improve the quality of life and enhance the potential of the people in the community and society, which will then positively affect the social conditions and the country's overall economy.

Social Activities Support

In 2021, despite the COVID-19 pandemic, the company continued to impart knowledge on finance to the general public in various forms as follows

1. Educating the general public on savings and investment

The company has synthesized its knowledge, capabilities, human resource strengths, and resources into the investment knowledge and experience to share with the public through employees who are capable, determined, and willing to effect social benefits. The company's speakers prepare the information that is easy to understand, which they then present to the stakeholders, namely employees, clients, shareholders, surrounding communities, business partners, and general investors, at the stakeholders' place of business. The topics presented are geared not towards profits but towards building knowledge and understanding for investors. The speakers also recommend sources where investors can find out information to be used in their investment decision-making process and allow investors to ask questions. The endeavors are well received and serve to spread Trinity's reputation to a wider audience.

In 2021, the company continued its Happy Money in Happy Workplace project to share knowledge on savings and investment. However, due to the COVID-19 pandemic which caused many offices to have their employees work from home or not allow outsiders into the company to prevent disease contraction, the activity was held online on five occasions. The details are as follows:

Educating the general public on savings and investment in 2021

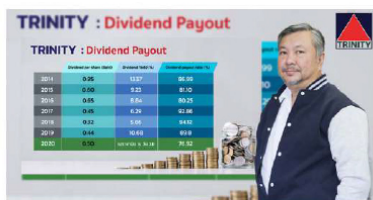
Date	Topic	Venue
February 19, 2021	Investment in Digital Assets	Faculty of Arts, Chulalongkorn University
February 23, 2021	Investment in Digital Assets	Faculty of Economics and Finance, Bangkok University
September 22, 2021	Investment in stocks with technical factors	Bangkok University
September 24, 2021	Investment in Digital Assets	Bangkok University
December 7, 2021	Investment in Digital Assets	Siam Business Administration Technological College Saphan Mai and Nonthaburi

2. Organizing Opportunity Day to give transparent information of the company to shareholders and investors

In 2021, Trinity’s President presented the company’s information to shareholders, investors, analysts, and the general public in the Opportunity Day event organized by the Securities and Exchange Commission, Thailand (SEC), on an online platform due to the COVID-19 pandemic.

The presentation included the company’s overall information, quarterly turnover, business strategies and future operation plan, and plans for economic, social, environmental, and good governance activities. The audience was also allowed to ask questions for better understanding of the company’s business. Those interested can watch the recording of this presentation on SEC’s website. Moreover, a summary of the information was put into a press release and sent to the press to be publicized to shareholders, investors, analysts and the general public.

3. Disclosing the company’s turnover and business directions every quarter



“กรุงศรี” ปลื้มกำไร 63 พุ่ง 35% ใจดีปันผล 50 สต. เปิดสถิติ 6 ปี ยอดเฉลี่ย 10%



The company regularly discloses information on its quarterly turnover, business strategies, and future operation plans in press conferences every year. However, due to the pandemic from 2019-2020, the company canceled such events and switched to sending out press releases to the press to be publicized to shareholders, investors, analysts, and the general public. In 2021, a total of 4 press releases containing the company’s turnover and business directions were publicized every quarter via over 30 channels of media, online platforms, and print media.

4. Encouraging executives and employees to participate in socially responsible causes

The company encourages executives and employees who are skilled and knowledgeable, with experience and expertise in the stock market to contribute to society. This includes collaborating with the government, associations, and clubs, as well as serving as consultants in educational institutions to create progress and growth to the industry and the country as a whole. The company's employees have taken part as committee members, consultants, working groups, and speakers in various government and private organizations as follows:

- Mr. Pakhawat Kovithvathanaphong**
- Vice President of the Thai Listed Companies Association
 - Consultant to the Association of Securities Companies committee
 - President of Human Capital Management Club
Thai Listed Companies Association
 - Subcommittee member for devising agreements and evaluating the operations of state enterprises operating in transport, State Enterprise Policy Office, Ministry of Finance
 - Adviser for the Master of Economics Program (Financial Economics), School of Development Economics (Part-Time Program)
National Institute of Development Administration
 - President of the committee for mentor recruitment and government officials appointment in the Public Service Executive Development program to be employed in private organization administration, Institute for Good Governance Promotion
 - Chairman of the working group to determine development plans and plans for enhancing the quality of personnel in securities companies the Stock Exchange of Thailand
 - Committee member and treasurer of Professor Sangvian Indaravijaya Foundation
 - Honorary committee member of the consultative committee for the government's securities sale, State Enterprise Policy Office
 - Judging committee member for the SOE Awards
State Enterprise Policy Office
 - Subcommittee member for deliberating the Outstanding Collaboration for Development and Outstanding Services Awards 2021
State Enterprise Policy Office
 - Subcommittee member for evaluating the operations performance of state enterprises operating in transport, State Enterprise Policy Office
- Mr. Charnchai Kongthongluck**
- Vice President of Association of Securities Companies
 - Committee member of Association of Securities Companies

- Chair of the Futures Industry Club
- Committee member of Thailand Futures Exchange (TFEX)
- Committee member of TSFC Securities Public Company Limited
- Subcommittee chair of the Derivatives Investor Protection Fund (DIPF)
- Subcommittee member for deliberating rules on intermediaries and market regulation, Securities and Exchange Commission
- Dr.Visit Ongpipattanakul**
 - Honorary committee member of the Intellectual Property Management Committee, Thammasat University
 - Special lecturer in Master of Finance (MIF) program Thammasat University
 - Committee member of Bachelor's and Master's thesis defenses, Thammasat Business School
 - Special lecturer in the Business Valuation program, Real Estate Department, Thammasat Business School
 - Guest speaker on Money Chat
 - Guest speaker at College of Innovation, Rangsit University
 - Guest speaker at the Securities Analysts Association and the Stock Exchange of Thailand
 - Special lecturer in the Advanced Finance for Real Estate Developers course, Thai Real Estate Business School
- Ms. Niyada Changtrakul**
 - Adviser to the Human Resource Management Club, Association of Securities Companies
 - Committee member of Human Capital Club, Thai Listed Companies Association
 - Member of the working group to determine a human resource development and enhancement plan Association of Securities Companies
 - Vice President of the EDP Foundation
 - Managing committee member of the Faculty of Arts Chulalongkorn University
 - Vice President of the Faculty of Arts Alumni Association Chulalongkorn University
 - Adviser to the President of Triam Udom Suksa Alumni Society
 - Secretary of the Capital Market program students batch 25
 - Secretary of the students of the Good Governance on Medicine Certificate program for high-level executives batch 8
 - Committee member of the Foundation for Good Governance on Medicine

	- Member of the property capitalization committee Faculty of Medicine Vajira Hospital Fund
Ms.Suwannee Limpanawongsaen	- Consultant to the Compliance Club Association of Securities Companies - Working group member on the Personal Data Protection Act, Association of Securities Companies - Working group member on information exchange with the Legal Execution Department, Association of Securities Companies - Working group member on overseas transactions, Association of Securities - Working group member on net capital rule (NCR), Association of Securities Companies

In addition, Trinity Group has joined forces with various economic and social partner organizations and network members in order to adopt policy, practices, and operational standards into the sustainability operations relating to the company’s business. The partners are as follows:

Partner organizations or members

1. Thai Listed Companies Association
2. Association of Securities Companies
3. Thai Bond Market Association
4. Futures Industry Club
5. Thai Investor Relations Club, Thai Listed Companies Association
6. CSR Club, Thai Listed Companies Association
7. Thai Company Secretary Club, Thai Listed Companies Association
8. Thai Private Sector Collective Action Against Corruption
9. Partnership Against Corruption for Thailand (PACT Network)
10. Investment Banking Club, Association of Securities Companies
11. Human Capital Management Club, Thai Listed Companies Association
12. Human Resources Club, Association of Securities Companies

5. Forms of support for society

5.1 Education opportunities

1. **Scholarship and school supplies:** The company has always placed importance on youths’ education. In 2021, the company organized promotional activities encouraging employees to contribute scholarships to students in need. Furthermore, the company also raised funds to buy toys and donate them to kindergarten and primary school students in Ban Suedang

School, Sai Buri, Pattani, located in the three southern border provinces as gifts of goodwill on the occasion of the National Children’s Day. In 2021, the scholarships awarded are as follows:

Month	School	Amount
July	Giving scholarships to Bangkok School for the Blind	97,200
October	Donating to the Savings Project with the National Savings Funds (NSF) for 8 schools: Nongkhai Wittayakarn School, Wangluangpittayasan School, Sangkhom Wittaya School, Wat Inthararam School, Ritthinarongron School, Chaengron Wittaya School, Pradoonaisongtham School, and Makkasan Phitthaya School	100,000
November	Giving scholarships to Ban Wangkatha School, Nakhon Ratchasima	400,000

2. **School development fund:** The COVID-19 pandemic forced students to learn online at home, resulting in the dilapidation of school buildings and grounds from negligence. This may lead to students not having space for activities once schools reopen. The company donated funding to Watnakkhammaram School, Pathum Thani, for cementing activity grounds for students. The funding from executives and employees’ donations amounted to 20,000 baht.



3. **Lunch fund:** The company patronizes Bangkok School for the Blind and regularly sponsors lunch for visually-impaired students at the school every year. In 2021, the company sponsored one lunch for 150 students, totaling 10,000 baht.

5.2 Public Health Support The COVID-19 pandemic has taught the company and its employees about public health situations and needs, including the congested conditions when receiving medical treatment, the lack of medical supplies, and the lack of financial funding from the government for urgent matters. In the past year, the company held activities to ask for donations from employees and the public with the intention to support and create opportunities to access medical services and improve the people’s quality of life. The details of the activities are as follows:

Month	Activities
Mitigation of the COVID-19 pandemic situation	
May	Donated to Thai Red Cross Society for buying emergency survival packs for COVID-19 patients
May	Gave N95 masks to the Department of Corrections, Ministry of Justice.
May	Provided red trash bags (bags for contagious garbage) for Police General Hospital
May	Donated 2 high-flow ventilators, in collaboration with other supporters, to Panyanantaphikkhu Chonprathan Medical Center
June	Gave medical equipment to medical personnel at Ban Laem Hospital, Phetchaburi
August	Gave medical equipment to medical personnel at Ban Laem Hospital, Phetchaburi
August	Donated face shields to medical personnel and COVID-19 patients
August	Sorted plastic bottles and donated them to Less Plastic Thailand project to be turned into PPE suits for medical personnel
September	Joined the “ASCO to Prevent COVID-19” project under the Association of Securities Companies
September	Gave PPE suits, N95 masks, face shields, and food to medical personnel at Benchakitti Park Hospital, at which a building has been adjusted to receive yellow-group COVID-19 patients
October	Gave N95 masks, meal boxes, and drinks to medical personnel at Bhumibol Adulyadej Hospital
November	Gave drinks to medical personnel of Bangpakok 1 Hospital at Asiatique vaccination point
Fund sourcing and purchase of medical supplies	
November	Contributed to purchasing medical supplies for Makut Kiri Wan Hospital, Nakhon Ratchasima
November	Contributed to purchasing medical supplies for Wang Katha Health Promotion Hospital, Nakhon Ratchasima
Campaigning for blood donation from employees	
October	Organized blood donation activities for Thai Red Cross Society during the blood shortage from the COVID-19 pandemic

5.3 Donations to communities and society The company has formed the Trinity Volunteer Club to unite employees with a charitable mind and foster social consciousness. The club has organized different activities to cultivate social consciousness. In 2021, the pandemic rendered group activities outside the company impossible, limiting the activities to only donations, with the details as follows:

Month	Activities
April	Collected unused containers and donated to SCG to be transformed into tables and chairs for students
October	Conducted two “Trinity for Charity” projects, which are donating good condition second-hand goods to Camillian Home for Children Living With Disabilities and donating second-hand clothes to Galya Rajanagarindra Institute
December	Transformed continuous stationery used with old printers that the company no longer uses into notebooks for future use

5.4 Support for religious activities The company supports religious activities and organizes the Tod Kathin ceremony to perpetuate Thai traditions, maintain Buddhism, and bring about blessings to the company and its employees. In 2021, the company performed the Tod Kathin ceremony at Wat Sa Kathiam, Nakhon Pathom, on October 31, 2021, and at Wat Ban Wang Katha, Nakhon Ratchasima, on November 7, 2021. On November 7, the company also gave scholarships and career development grants, as well as bought school supplies to donate to Ban Wang Katha School and donated medical equipment to Makut Kiri Wan Hospital and Wang Katha Health Promotion Hospital, Nakhon Ratchasima, in the total amount of 1,071,777 baht.

Trinity Group's Environmental Management

Environmental Management Policy

Although the company's business operations do not have a direct impact on the environment nor cause significant pollution like factories or some businesses, the company realizes the importance of climate change and its effects on people's livelihood. Therefore, the environment has been a constant concern of the company. It has also established clear policies and practices regarding the environment and organized various projects as a manner of environmental management.

Practices Regarding the Environment

In 2021, the company devised environmental policy as a framework and as business practices to reflect its responsibility towards the environment. The main points of the environmental responsibility operations framework and practices include the following:

1. Strictly complied with the environmental regulations and standards
2. Organized activities to support the policy to reduce negative environmental impact
3. Include environmental issues in the risk assessment in management, operations, and business decision making
4. Develop and improve work processes so that there is little to no impact on the environment and encourage efficient and economical use of resources
5. Campaign for and encourage employees to develop social consciousness or join activities for the environment both at the workplace or at their personal residence
6. Prevent pollution or environmental damage from the company's operations or activities
7. Promote the purchase of products or services that are environmentally friendly or that affect the environment the least
8. Study the ways and processes that help reduce environmental impact from the company's activities

Plans for operations regarding the environment

In 2021, the company determined plans for environmental practices as a framework for operations regarding the environment. To ensure the fruition of such a framework, the plans have been established for operations until 2022. The purpose is to promote projects and activities that build environmental responsibility among employees and stakeholders and to keep track of the environmental operations to ensure they follow the plans.

The company had followed the plans efficiently. However, the COVID-19 pandemic caused some activities to fall short of the goals due to the employees working from home, especially training that

required practice from the employees such as garbage sorting, styrofoam use reduction, public transportation promotion, etc.

Nevertheless, the company is committed to continuously fostering a consciousness about the environment in its employees. In 2022, the emphasis still falls on the 4 types of environmental management that relates to the company’s business operations, which are reducing energy and environment use, reducing paper use, reducing garbage and waste, and reducing greenhouse gas emissions.

Trinity Group’s Operations Plans Regarding the Environment

Operations plans 2021	
Reduce energy use	<ul style="list-style-type: none"> - Switched to LED lightbulbs on the 29th floor of the head office and at the company’s new or relocated branch offices - Surveyed for old PCs and changed to newer models to save electricity
Reduce paper use	<ul style="list-style-type: none"> - Aimed to reduce the use of paper by at least 15% compared to 2020 - Conducted paperless communications and operations with outsiders and within the company and switched to using online communication channels such as SMS, e-mail, Line@, and Facebook - Developed an online system for opening an account for trading assets (E-opening) to replace the paper-based one
Reduce garbage and waste	<ul style="list-style-type: none"> - Held activities promoting the correct way of garbage sorting by educating employees how to sort garbage - Encouraged employees to reduce the use of styrofoam and plastic food containers and use personal reusable containers
Reduce greenhouse gas emissions	<ul style="list-style-type: none"> - Educated employees on the impact of greenhouse gases - Encouraged employees, customers, and investors to use public transportation when commuting to the company for activities and events - Joined SEC’s Care the Bear project, a project for organizing events with environmental concern in mind

Operations plans 2022	
Reduce energy use	<ul style="list-style-type: none"> - Maintain the LED light bulbs at the Head Office and switched to LED light bulbs at new or relocated branch offices - Aim to reduce the electricity in the computer system by at least 30% - PR and encourage employees to turn off the lights and the computer screens during lunch breaks

Operations plans 2022	
	<ul style="list-style-type: none"> - Conduct a computer roll-out program by repurposing old computers based on each employee's needs - Run a donation program for working computers to donate to temples, schools, or other charity organizations for optimal use of the resources and for the greater good
Reduce paper use	<ul style="list-style-type: none"> - Switch restroom equipment to water-reduction kind for efficiency - PR and encourage employees to use only one sheet of paper towel in the restroom and use as much toilet paper as needed - Organize activities to promote the reuse of paper by turning single-sided A4 paper into notebooks for further use - Conduct paperless communications and operations with outsiders and within the company and switch to using online communication channels such as SMS, e-mail, Line@, and Facebook - Develop an online system for opening an account for trading assets (E-opening) to replace the paper-based one
Reduce garbage and waste	<ul style="list-style-type: none"> - PR and campaign for employees to develop a conscience in throwing out garbage and waste - Hold activities promoting the correct way of garbage sorting by educating employees how to sort garbage and extending the activities to encourage employees to adopt the practice at home - Encourage employees to reduce the use of styrofoam and plastic food containers and use personal reusable containers - Efficiently manage office appliance use by bringing used office supplies which are in good condition back to use again for the utmost efficiency, e.g. computers, printers, calculators, binders, envelopes
Reduce greenhouse gas emissions	<ul style="list-style-type: none"> - Educate employees on the impact of greenhouse gases - Plan to change the company's cars to hybrid vehicles within 2026 - Ensure that the Premises Department in charge of office buildings perform consistent maintenance checks on air-conditioners in compliance with the energy conservation plans - Encourage employees, customers, and investors to use public transportation when commuting to the company for activities and events - Join SEC's Care the Bear project, a project for organizing events with environmental concern in mind, in all activities both online and on site

Outcome of operations regarding the environment

In 2021, the company was determined to reduce the negative impact on the environment in various aspects, including reducing the use of electricity, water, reducing garbage and waste, and reducing greenhouse gas emissions. Towards this end, the company organized activities related to the environment to foster social consciousness and social responsibility in the company’s employees. The “Trinity 3 Rs (Reduce Reuse Recycle)” activities were held to promote reduced use and reuse of resources, including seeking for materials or methods to reduce the use of resources as well as using materials to alleviate climate change. Various activities were organized for employee engagement and awareness, leading to social consciousness. The details are as follows:

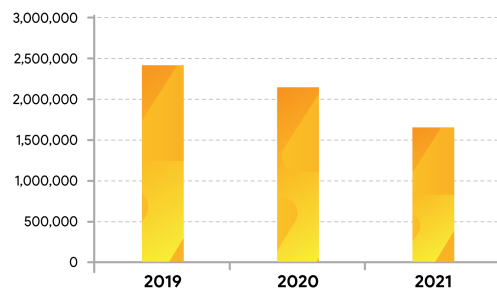
1. Reducing energy consumption and environmental impact

1.1 Electrical and lighting management

In 2020 the company replaced 744 old light bulbs on the 25th and 26th floors of Bangkok City Tower, with energy-saving LED T8 bulbs, saving 28,283 kilowatts or 169,000 baht per year.

The outcome confirmed the benefits of making the switch to LED T8; therefore, the company replaced 360 remaining bulbs on the 29th floor of Bangkok City Tower and 60 bulbs at the Rama 2 office of Trinity Securities Company Limited, saving 17,962.56 kilowatts or 107,775.36 baht per year

 The Electricity Expense



2021 was when the company faced a Covid-19 pandemic outbreak and some employees had to work from home. Therefore, the electricity bills have been reducing each year from 2,429,129.76 baht/year in 2019, 2,154,425.98 baht/year in 2020 and to 1,777,520.37 baht/year in 2021

However, the company realizes that part of the reduction in electricity consumption was the fact that some employees worked from home during a pandemic outbreak and hopes to keep power usage under control. The office will prioritize energy-efficient appliances and raise awareness of power consumption among employees, for example, by asking employees to turn off the lights and the computer’s screen during the lunch break and right after finishing the day’s work

1.2 Computer system management

The computer technology department has established the policy and guidelines for computer procurement and preferences to ensure that employees have a suitable computer to perform their assigned responsibilities. The purchased computer should be of appropriate specifications and meet the

ISO 14000 standards, which is a series of international standards to improve environmental performance while reducing its impact on the environment.

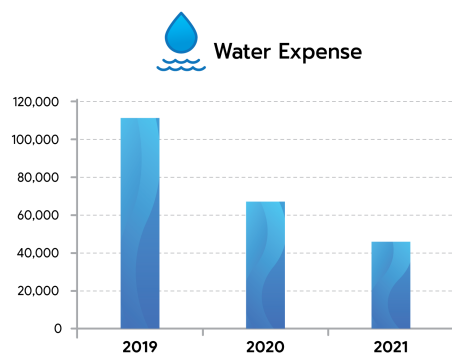
The company implements virtualization both on-premise and (only for the systems that are not related to the Personal Data Protection Act or PDPA) on a cloud system for more than 10 years to lessen the workload of the server and of the devices in the Data Center. The virtualization helps save electricity and reduce the work of the cooling system. As a result, in 2021 the company was able to save on the electricity consumption of the computer systems by 30 percent 30.

Additionally, the “Roll-out” project, starting since the company was founded, repurposes old computers to new users for whose tasks the devices are adequate. Older working computers are donated to a temple, school or charity.

1.3 Water resource management

The company submitted a request for the lessor to change all bathroom accessories to the energy-efficient type such as water-saving flush toilets, sensor-operated urinal toilets, automatic soap dispensers and automatic sink faucets. The automation contributes to water conservation and reduces mindless water consumption. The toilet papers and paper towels have also been switched to the recycled kind and installed in all office bathrooms on floors of the headquarter at Bangkok City Tower

The operation ensures the efficiency of water usage, saves energy and reduces expenses. However, due to the work-from-home situation, the water consumption has reduced by 29 percent or by more than 48 units which is by 41 percent when compared to the usage in 2020.



2. Reducing the Use of Paper

As the company operates a securities trading business, paper is an absolute necessity for documenting or confirming transactions, such as documents for opening accounts, various contract papers, brokerage account statements, request forms, payment receipts, and other forms. Additionally, paper is also used to support the operations of various departments within the organization.

Due to the upward trend of paper usage, the company has taken the initiative to improve its working process with external parties as well as the internal operations of various departments with the goal of reducing and optimizing paper usage. To this end, the company has implemented the following guidelines:

- The company has added electronic channels for publicizing news and notifying customers of various transactions, such as SMS, email, Line@, and Facebook.
- Created the Trinity Member platform to enable customers to perform various securities trading transactions themselves via www.trinitythai.com, such as viewing their account statement, summary of return on investment, and summary of income received, etc.
- Customers can perform securities settlement, deposit and withdraw collateral, edit personal information, and view holdings, profit/loss report, remaining margin, trading volume, past transactions, confirmations, and stock analysis, among other actions, via the Application and www.trinitythai.com.
- The company has a systematic, up-to-standards, and efficient electronic Management Information System which includes the data of clients who have opened trading accounts with the company since its establishment. Relevant departments can retrieve customer information without having to print copies or file documents.
- In collaboration with Settrade Dot Com Company Limited, the company has transitioned the system for opening trading accounts from paper-based to an E-opening system.
- Campaigning for employees to switch channels for internal communication and arranging for communication both within the organization and outside the organization to take place via email or LINE instead, as well as encouraging customers to receive documents via email.
- Promoting REUSE by turning single-sided paper into notebooks and RECYCLING by donating post-consumer paper to the Foundation for the Blind in Thailand under the royal patronage of H.M. the Queen for use as learning materials as well as selling it to companies that produce pulp to make recycled paper.
- The aforementioned undertakings have allowed the company to significantly reduce paper usage along with the cost of internal operations, from the cost of paper and ink all the way to shipping and document storage, as well as reduce waste from used paper.

Furthermore, these initiatives have also increased work efficiency by allowing employees to manage their time appropriately and reducing the time it takes to search for documents as well as lessened the risks associated with data delivery, such as data loss. For clients, they add convenience by eliminating the need to transport and fill in large quantities of documents and are better suited to consumer behavior in the digital age, thus increasing customer satisfaction.



3. Reducing Garbage and Waste

The problem of waste is increasing in severity every year. The more consumers there are in the country, the more waste is generated. Some types of waste are biodegradable, some can be reused, while some do not break down easily or may take decades or centuries to do so. The company is aware of the waste problem and realizes that having a substandard waste disposal process will result in environmental pollution as well as potential long-term impact on the quality of life of animals and the health and wellness of the people in the country.

For this reason, the company has fostered waste awareness among employees by instilling an understanding of how to manage the waste discarded by the company in accordance with international standards in order to reduce the amount of waste that impacts the environment, creates pollution, and spreads various germs and diseases in the facility. This has been achieved by educating employees on how to sort waste according to the established system into categories like food waste, plastic, paper, and electronic waste along with clearly designating waste disposal stations. The company has also coordinated with Bangkok City Tower, the lessor of the company's headquarters, to make arrangements for waste sorting as well. In 2021, the company's sustainability goal was to promote employee awareness of proper waste management and, to this end, it has carried out the following 3 primary programs:

1. Waste Sorting Program

The company has arranged for waste sorting and promoted proper waste disposal among employees by procuring trash bins with 3 compartments for separating trash into 3 different types, namely 1. paper, 2. foam and plastic, and 3. food waste, and placing them in the kitchens on floors 25, 26, and 29 of Bangkok City Tower as well as in the meeting room to ensure that employees who dine in the meeting room dispose of waste properly. This initiative has inspired some employees to implement day-to-day waste sorting in their own homes.

2. Cost Effective Management of Office Equipment Program

๓ The company maximizes the value of office equipment by reusing equipment that is still in good condition, such as computers, printers, calculators, files and folders, and envelopes. As for paper use, the company reuses single-sided paper by turning it into notebooks and donates fully used paper to the Foundation for the Blind in Thailand under the royal patronage of H.M. the Queen for use as learning materials. Paper that is not in reuseable condition is sold to companies that produce pulp to make recycled paper. Aside from this, we discourage employees from printing documents unnecessarily, limit internal and external communications to



email and LINE, and encourage customers to receive various documents by email. For toilet paper, signs have been placed in bathrooms promoting mindful use of toilet paper, such as using only 1 square, in order to reduce environmental impact.

3. Trinity Treasure Map Program

The company has established a roadmap for conducting a variety of ESG activities regularly, including environmental activities. Last year, the company conducted 6 “Trinity Treasure Map” activities, 5 of which were related to the environment, namely donating old calendars for use as learning materials, repurposing cardboard boxes into field hospital beds in collaboration with SCGP, sorting and donating plastic bottles, donating old clothes and items in good condition to Camillian Home for Children Living with Disabilities, recycling paper, and turning single-sided paper into notebooks.

4. Reducing Greenhouse Gas Emissions

The company is fully aware of the impact of greenhouse gas emissions on climate change. Particularly, in the past 2 years (2020-2021), Bangkok has faced the severe problem of fine particulate matter (PM 2.5), which has directly affected all of the company’s stakeholders. Thus, the company has taken the initiative to carry out environmentally conscious activities and programs, such as campaigning for employees to reduce energy use, waste production, catering utensils during seminars and meetings, and non-biodegradable office equipment, for example.

In this regard, the Company places great importance to reducing greenhouse gas emissions and has concluded that the company activities emitting the highest amount of greenhouse gases are as follows:

1. Use of electricity to power air conditioners in the office. In the past year, the company has thus established a policy to improve its air conditioners by requiring the management company which oversees its headquarters to consistently maintain the system in accordance with the energy conservation plan.

2. Use of fossil fuels to power company cars. Last year, the company outlined a plan to transition fully to the use of hybrid vehicles by the year 2026.

3. Use of fossil fuels to power the cars of employees, customers, and investors attending various activities hosted by the company. Last year the company participated in Care the Bear, an environmentally friendly event planning program. In planning each event, the company reduced the use of energy as well as paper, plastic, and foam products in every aspect of the event and opted for reusable decorative materials. The company also sent out communication ahead of each event encouraging attendees to use public transportation and put up signs reminding attendees to only take as



much food as they plan to eat, for example. Moreover, the company also conducted surveys on attendees' mode of transportation and used the data to assess the environmental impact of the event as a starting point for the company to gain more concrete knowledge and understanding of how to reduce greenhouse gas emissions

Nevertheless, the company's aforementioned initiatives to reduce its negative impact on the environment are still considered indirect actions. In addition, in the past year, the company did not conduct any environmental conservation activities like planting trees, reforestation, or other campaigns directly addressing climate change and greenhouse gas emissions. As a result, the company lacks data on greenhouse gas emissions and has not been able to compile a Carbon Footprint Report that is registered with the Thailand Greenhouse Gas Management Organization (TGO) in accordance with international standards or equivalent.