

## **SUSTAINABILITY POLICY**

### **UOB Kay Hian Securities (Thailand) Public Company Limited**

#### **1. Introduction**

UOB Kay Hian Securities (Thailand) Public Company Limited realize the importance of sustainable growth in order to create long-term value for the organization and all stakeholders. Therefore, it emphasis sustainable business operations based on the principles of good governance and social and environmental responsibility.

The Board of Directors agrees to issue this Sustainability Policy in writing in order for all directors, executives and employees of the Company to adhere to the guidelines for sustainable growth which aims to create a balance between economic, social and environmental interests with details as follows;

#### **2. Definition**

In this Sustainability Policy;

Company means UOB Kay Hian Securities (Thailand) Public Company Limited.

Employees means All of the Company's directors, management, permanent and contractual employees.

Relevant Stakeholders means Other business intermediaries who act on behalf of the Company and those involved in business operations throughout the business value chain, such as suppliers, contractors, as well as business partners and joint venture members.

#### **3. Scope of Enforcement**

This Sustainability Policy shall apply to the Employees and all of the Company's activities. In addition, the Company also encourages the Relevant Stakeholders to support and comply with this Sustainability Policy.

#### **4. Duties and Responsibilities**

In order to effectively manage the sustainability of the Company in accordance with the policy and systematic continuity, the Board of Directors has appointed the Sustainability Committee to oversee the sustainability operations, led by the Chief Operating Officer. The Sustainability Committee has established a Sustainability Working Group that has selected representatives from each department. These representatives have jointly studied the sustainability framework and exchanged opinions between the departments including focusing on communication within the organization for Employees to implement to drive business for sustainability and for the maximum benefit of all stakeholders. Duties and Responsibilities of the Board of Directors, Sustainability Committee and the Sustainability Working Group are as follows;

##### Board of Directors

1. Consider and approve policies and strategic direction relating to sustainability.

2. Supervise the operation of the Company in accordance with the Sustainability Policy.
3. The Board of Directors has assigned the Sustainability Committee to oversee this policy to ensure that all Employees have adhered to and complied with this policy.

#### Sustainability Committee

1. The committee will consider and provide suggestions on the Company's sustainable development policies and guidelines, and standardize these matters in accordance with international guidelines or principles. Policies should enable the Company to operate with efficiency and social and environmental responsibility, recognizing stakeholders' interests, to support the sustainable growth of the Company.
2. Provide consultations, recommendations, and suggestions that will be beneficial to the Board and management in enhancing the Company's sustainable development.
3. Perform duties as assigned by the Board of Directors.

#### Sustainability Working Group

Driving the organization towards sustainability is a matter for everyone in the organization to contribute to. Everyone can contribute to and encourage the sustainability of the organization. The Company clearly defines the roles and responsibilities of each party and the main responsibilities relating to each issue as follows:

#### Responsible department & Responsible Issues

##### **Legal Department, Company Secretary and Secretary of Executive**

Responsible for the company's sustainable development policies and guidelines, and communicating progress in sustainability operations to all stakeholders, both internally and externally.

##### **Internal Audit Department and Credit Control Department**

Responsible for risk management covering environmental and social risk factors.

##### **Operations Department**

Responsible for minimizing environmental impact of operations.

##### **Human Resources Department**

Responsible for ensuring employees have a good quality of working life and grow with the Company.

##### **General Administration Department**

Responsible for managing partners in the supply chain.

##### **Compliance Department**

Responsible for anti-corruption and human rights issues.

##### **Finance and Accounting Department**

Responsible for preparing and distributing accurate and transparent financial statements.

## **5. Policy and Procedures**

The company is committed to sustainable business operations, developing the Company's business while taking into account the environmental and social issues including respect for human rights and good corporate governance. The policies and practices are as follows:

### Economic dimension

- Promote the development of financial innovations to increase investment opportunities for customers, whilst taking into account responsibility regarding; the environment, society and good governance. The objective is to achieve sustainable growth with good financial performance, whilst maintaining sustainability for the company and its shareholders;
- Committed to developing good products and services, to meet the needs and requirements of customers;
- Develop robust and high quality growth strategies which can adapt to various changing conditions.

### Environmental dimension

- Natural resource management and environmental sustainability focus on the use of natural resources and the need to take care of the environment throughout the business process by applying appropriate technology to prevent negative environmental impacts that may arise from business operations;
- Support the transition to a low-carbon society, reduce negative environmental impacts and promote environmentally-friendly procurement;
- Promote awareness of environmental stewardship among employees. Provide opportunities for employees to participate in environmental management and stewardship. This helps to create an atmosphere of participation and a channel for employees to share their energy and awareness of the environment.

### Social dimension

- Encourage employees and the public to understand investment products and processes and their role in society;
- Take care of employees, develop the potential of all employees, and recognize human capital as a key asset in the development of the Company's strategy in various fields;
- Conduct business based on good governance principles. Recognize the importance of anti-corruption, which also prevents the organization from being used as a channel for money laundering or financing terrorism.

## **6. Related Policies**

### 6.1 Corporate Governance Policy

6.2 Environmental policy

6.3 Human Rights Policy

6.4 Anti-Corruption Policy

6.5 Risk Management Policy

Approved by the Board of Directors' Meeting on February 27, 2023