



# 大新金融集團有限公司

## DAH SING FINANCIAL HOLDINGS LIMITED

*(Incorporated in Hong Kong with limited liability under the Companies Ordinance)*

(Stock Code: 440)

### Shareholders Communication Policy

#### 1. Purpose

- 1.1 Dah Sing Financial Holdings Limited (the “Company”) is committed to providing shareholders of the Company (the “Shareholders”) with ready, equal and timely access to all publicly available information of the Company that is accurate, comprehensible and informative.
- 1.2 This Shareholders Communication Policy (the “Policy”) sets out the framework in place to promote effective communication with Shareholders so as to enable them to engage actively with the Company and exercise their rights as Shareholders in an informed manner.

#### 2. General policy

- 2.1 The Board and the Company shall maintain an on-going and effective communication with Shareholders and, as appropriate, the investment community<sup>1</sup> at large to disseminate relevant information about the Company to enable them to make informed decisions.
- 2.2 Relevant information shall include but shall not be limited to financial information as contained in results announcements and annual and interim reports, and other information as required by law, rules and regulations in Hong Kong from time to time.
- 2.3 The Company shall comply with all relevant laws, regulations and rules in all communications with Shareholders and the investment community.
- 2.4 The officers who are responsible for dealing with the Shareholders and investment community are required to observe the Company’s framework for disclosure of inside information and applicable rules and regulations.

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<sup>1</sup> For the purpose of this Policy, reference to the investment community is intended to include the Company’s potential investors as well as analysts reporting and analyzing the Company’s performance.

### **3. Communication means and channels**

3.1 The Company disseminates information to Shareholders and the investment community through a wide range of channels and means including publications (e.g. annual reports, interim reports, notices, circulars, and announcements), website (e.g. publication posted on the Company's website including the ESG reports<sup>2</sup>), and in person (attending shareholders meetings and analyst briefings or press conference).

3.2 Communication channels include but not limited to:

3.2.1 annual and interim reports, notices, circulars, announcements and press releases;

3.2.2 the Company's official website at [www.dahsing.com](http://www.dahsing.com);

3.2.3 the website of the Hong Kong Exchanges and Clearing Limited at [www.hkexnews.hk](http://www.hkexnews.hk);

3.2.4 shareholders' meetings (including annual general meetings, extraordinary general meetings or any other shareholders meetings); and

3.2.5 analyst briefings and meetings, media conferences, investor conferences, investor road-shows, etc.

### **4. Corporate communications<sup>3</sup>**

4.1 Shareholders will be provided with corporate communications which are written in English and Chinese languages and may choose the means of receipt of the said corporate communications (i.e. in electronic form via the Company's website or in printed form). Shareholders who have opted for electronic form will receive notifications of publications of the corporate communications. Shareholders may at any time change their choice of means of receipt of the corporate communications, free of charge, by giving reasonable notice in writing to the Company's Share Registrar. Contact information of the Company's Share Registrar is set out in paragraph 8.1 of this Policy.

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<sup>2</sup> ESG reports mean Environmental, Social and Governance Reports

<sup>3</sup> Corporate communications refer to any document(s) issued or to be issued by the Company for the information or action of holders of any of the Company's securities, including but not limited to (a) the directors' report and annual accounts together with a copy of the auditor's report; (b) the interim report; (c) a notice of meeting; (d) a listing document; (e) a circular; and (f) a form of proxy.

- 4.2 Shareholders are encouraged to access the corporate communications posted on the Company's website to help reduce the quantity of printed copies and hence the impact on the environment.

## **5. Corporate website**

- 5.1 The Company's website offers timely access of the Company's latest information by shareholders, investment community and the general public, on which the Company's announcements, annual reports, interim reports, ESG reports<sup>2</sup> and other corporate communications, financial information, press releases and other corporate information are posted.

## **6. Shareholders' meetings**

- 6.1 The Board of Directors of the Company endeavours to maintain an ongoing dialogue with Shareholders and, in particular, to use annual general meetings, extraordinary general meetings or any other Shareholders' meetings to communicate with Shareholders directly.
- 6.2 Notices of general meetings and the accompanying papers are provided within a prescribed period of time prior to the meetings on the websites of the Company ([www.dahsing.com](http://www.dahsing.com)) and Hong Kong Exchanges and Clearing Limited ([www.hkexnews.hk](http://www.hkexnews.hk)). These documents are also posted to those Shareholders who have elected to receive a hard copy of such communication.
- 6.3 Appropriate arrangements will be put in place to encourage Shareholders to participate in shareholders' meetings. Shareholders who are unable to participate in any shareholders' meetings will be encouraged to appoint proxies to attend the shareholders' meeting and vote on their behalf.
- 6.4 The chairman of the Board should attend the annual general meeting. He should also invite the chairman of the audit, nomination and remuneration, and any other committees, as appropriate, to attend. In their absence, he should invite another member of the committee or his duly appointed delegate to attend. The aforesaid persons should be available to answer questions at the annual general meeting. The chairman of the independent board committee, if any, should also be available to answer questions at any general meeting to approve a connected transaction or any other transaction that requires independent shareholders' approval.
- 6.5 The Company's management should ensure the external auditor attends the annual general meeting to answer questions about the conduct of the audit, the preparation and content of the auditors' report, the accounting policies adopted by the Company, and auditor independence.

- 6.6 The chairman of annual general meetings or other general meetings shall provide an explanation of the detailed procedures of conducting a poll to Shareholders and answer any question from Shareholders on voting by poll at such meetings to ensure Shareholders are familiar with such procedures.
- 6.7 For each substantially separate issue at shareholders' meetings, a separate resolution should be proposed by the chairman of that meeting. The Company should avoid unnecessary "bundling" of resolutions unless the Board finds them interdependent and linked, forming one significant proposal. Where the resolutions are "bundled", the Company should explain the reasons and material implications in the notice of the meeting.
- 6.8 In accordance with the relevant requirements of the Listing Rules, each of the resolutions set out in the notice of the annual general meeting and other general meetings shall be voted on by poll except where the chairman, in good faith, decides to allow a resolution which relates purely to a procedural or administrative matter to be voted on by a show of hands. The chairman of the meeting shall ensure that shareholders and their proxies understand the procedures for voting by poll and answers any questions from shareholders on such procedure.
- 6.9 Independent scrutineers shall be appointed for the vote-taking at shareholders' meetings.
- 6.10 Poll results will be posted on the websites of the Company and Hong Kong Exchanges and Clearing Limited as soon as practicable.

## **7. Review of the Policy**

- 7.1 The Policy is subject to review by the Board on an annual basis to ensure its effectiveness.

## **8. Enquiries**

- 8.1 Shareholders should direct their enquiries relating to their shareholdings, such as share transfer and registration, change of address, loss of share certificates or dividend warrants, to the Company's Share Registrar. The contact details are:

Computershare Hong Kong Investor Services Limited  
Shops 1712-1716, Hopewell Centre, 183 Queen's Road East, Wan Chai, Hong Kong  
Tel: (852) 2862 8555  
Fax: (852) 2865 0990 / 2529 6087  
Online Feedback website:  
[https://www.computershare.com/hk/en/online\\_feedback](https://www.computershare.com/hk/en/online_feedback)

8.2 Shareholders and the investment community may make a request for the Company's information to the extent such information is publicly available by post to the Company's registered office address at 26th Floor, Dah Sing Financial Centre, 248 Queen's Road East, Wan Chai, Hong Kong or via email through the "Help & Support – Contact Us" section of the Company's website ([www.dahsing.com](http://www.dahsing.com)).

Hong Kong, December 2022