



# GTJAI Became Signatory to PRI as a Subsidiary of Guotai Junan Securities

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[10 January 2024, Hong Kong] Guotai Junan International Holdings Limited (“Guotai Junan International”, the “Company” or “GTJAI”, stock code: 1788.HK) announced that on 27 December 2023, its parent company, Guotai Junan Securities Co., Ltd. (“Guotai Junan Securities”), officially signed the Principles for Responsible Investment (“PRI”) in the category of “investment manager”. **Guotai Junan Securities, together with its subsidiaries including Guotai Junan International Holdings Limited, became signatories to PRI.**



According to PRI, responsible investment involves considering environmental, social and governance (ESG) issues in investment decision-making process and ownership practice. PRI believes that ESG issues can affect the performance of investment portfolios, and contribute to an economically efficient and sustainable financial system, which is essential for long-term value creation. As fiduciaries, institutional investors have the obligation to act in the best long-term interests of their beneficiaries. Therefore, PRI requires signatories to commit to the following six Principles for Responsible Investment:

- Principle 1: Incorporating ESG issues into investment analysis and decision-making processes.
- Principle 2: Being active owners and incorporate ESG issues into our ownership policies and practices.
- Principle 3: Seeking appropriate disclosure on ESG issues by the entities in which

we invest.

- Principle 4: Promoting acceptance and implementation of the Principles within the investment industry.
- Principle 5: Working together to enhance our effectiveness in implementing the Principles.
- Principle 6: Reporting on our activities and progress towards implementing the Principles.

As a subsidiary of Guotai Junan Securities, GTJAI has obtained signatory status to PRI in synchronization with the parent company. This milestone signifies the Company's commitment to following in the footsteps of its parent company and entering a new phase in ESG investment and risk management development. Looking ahead, GTJAI will continue to uphold its ESG vision, actively respond to the national “dual carbon” goals, adhere six Principles for Responsible Investment, and integrate and deepen ESG concepts into daily business operations and management. The Company will also strive to create a responsible comprehensive financial services platform and make contributions to high-quality socio-economic development.

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## About the Principles for Responsible Investment

The Principles for Responsible Investment (PRI), also known as the United Nations-supported Principles for Responsible Investment (UN PRI), were jointly developed by a group of investors from the world's largest institutions, upon the invitation of former United Nations Secretary-General Kofi Annan in 2006. Since then, the number of signatories to PRI has rapidly increased. As of the end of 2022, PRI has 5,319 signatories, covering assets under management of US\$121 trillion.

## About GTJAI

**Guotai Junan International (“GTJAI”, Stock Code: 1788.HK)** is the market leader and first mover for internationalization of Chinese Securities Company as well as the first Chinese securities broker listed on the Main Board of The Hong Kong Stock Exchange through initial public offering. It has also been included in FTSE4Good Index by London Stock Exchange of the United Kingdom. Based in Hong Kong, GTJAI provides comprehensive, diversified and high-quality integrated financial services. Core business includes brokerage, corporate finance, asset management, loans and financing, financial products, which cover three dimensions including individual finance (wealth management), institutional finance (institutional investor services and corporate finance services) and investment management. GTJAI has been assigned “Baa2” and “BBB+” long term issuer rating from Moody and Standard & Poor respectively. The controlling shareholder, **Guotai Junan Securities Company Limited (Stock Code: 601211.SH; 2611.HK)**, is the comprehensive financial provider with a long-term, sustainable and overall leading position in the Chinese securities industry. For more information about GTJAI, please visit <http://www.gtjai.com>