



Sustainability
Report
2019

Vision, mission and corporate culture (Trinity DNA)

Vision

"A securities company that strives to deliver a return that is better than the market average to stakeholders under the principles of good governance"

Mission

- Being an investment advisor by focusing on creating profits for customers
- Managing operations in ways that create value for shareholders
- Developing potentials and providing suitable compensation for employees.
- Managing the organization by adhering to good corporate governance principles under the framework of ethics.
- Responsible and participating in supporting activities that benefit society

Corporate culture (Trinity DNA)

The company has communicated to employees for understanding of the culture of the organization. There are 7 cultures, called TRINITY DNA.

Beyond Expectation committed to delivering better return on investment and / or service than the market average or standard values beyond the expectations of customers in order to serve and satisfy the customers

Service Consistency committed to providing consistent service for customers and intend to provide services to all customers thoroughly

Walk the Talk adhering to the promise made to customers, colleague, and executives, and determining to fully use knowledge in order to fulfill those words/promises

Pride in Career proud of the career, job responsibility, and Trinity family and intending to work at full capacity for clients, themselves and the company

Ever Learning developing themselves, pursuing and finding answers to things you don't know all the time. Do not stop to learn and share knowledge with colleagues for their own benefit. Customers and stakeholders of the organization

Integrity serving all groups of customers with honesty and sincerity, showing friendliness to customers, taking care of clients' assets like their own assets, not just a service provider - service recipients, and customer benefits always come first

Compliance Culture emphasizing the importance of good corporate governance, observing the rules and regulations of both the company and related departments with transparent process from beginning to end of the process

About "Trinity"

Trinity Wattana Public Company Limited was founded in 2001 and registered to be a public company in 2002. The company structure is in the form of a holding company that conducts business by investing in other companies. Trinity Wattana Public Company Limited is responsible for establishing policies and overseeing the business of all 5 affiliated companies under the name "Trinity Securities Group"

Trinity Wattana Public Company Limited holds 99.99% of the subsidiary's shares, consisting of 4 companies, namely Trinity Securities Company Limited, Trinity Advisory Company Limited, Trinity Intelligence Company Limited Plus Co., Ltd. and Trinity One Company Limited, 49.95% shareholding in the associated company with another shareholder who has expertise in asset conversion business, which is Asset Back Holding Company Limited, and 30.07% shareholding in the associated Company Tree Money Holding Company Limited

Details of all subsidiary and associated companies are

(1) **Trinity Securities Company Limited** operates securities business, received a license from the Ministry of Finance to operate 7 types of securities businesses, namely securities brokerage, trading securities, investment advisory, underwriting, borrowing and lending securities, trading derivatives, and managing private fund, including being approved by the Securities and Exchange Commission to be a financial advisor and sales and redemption support agent. As of 31 December 2019, the company has 7 branches in Bangkok and other provinces.

(2) **Trinity Advisory 2001 Company Limited** engages in financial advisory and investment banking businesses with Trinity Securities Company Limited, which the company has been approved by Securities and Exchange Commission to act as a financial advisor in accordance with the scope set by Securities and Exchange Commission and Stock Exchange of Thailand. In addition, the company has also been registered as a Class A consultant with the Ministry of Finance's Advisory Information Center to provide financial advisory services to various agencies, both public and private.

(3) **Trinity Intelligence Plus Company Limited** engages in consulting business Place the internal control system Risk management Accounting system Internal auditing for medium-sized companies and small plans that are listed on the stock exchange, including any company that is already registered

(4) **Trinity One Company Limited** operates investment businesses in various businesses

(5) **Asset Back Holding Company Limited** is an associated company operating business and having expertise in asset securitization business. Asset Back Holding Company Limited has invested in 99.99% of Conduit Management Services Company Limited, which was established with the objective of managing asset securitization for other companies

(6) **Tree Money Holding Company Limited** is an associate company conducting business in investing in companies that operate retail loans at the provincial level under supervision (Pico Finance) and other related businesses

Services provided by Trinity Securities Group

Trinity Securities Group provides a full range of securities business services to clients, beginning with providing services in the primary market by being a financial advisor in the structure and fundraising, including being an advisor for internal system implementation and providing services in the secondary market by being a financial consultant and giving advice to invest in securities, supported by the presentation of data and analysis of securities and derivatives from the Securities Analysis Department, both for investment and for prevention of investment risk. In this regard, the company has set targets for the following businesses :

Investment business

The company invests long-term in securities-related businesses or in businesses that are expected to have high growth potential to enable the company to receive benefits in the form of share of profits from subsidiaries or associates continuously in the long term. For short and medium-term investments, the company will invest in trading and available-for-sale securities both debt securities and equity securities that have adequate trading volume and liquidity in the market in order to be able to create returns for the company by using a variety of investment strategies

Lending business with listed securities guaranteed

The company provides services to clients who wish long-term loans by pledging their securities in order for the company to receive income in the form of continuous interest, focusing on customers who are major shareholders in listed companies with good fundamentals and have the potential to grow

Securities and Derivatives Business

The company aims to increase revenue in the securities and derivatives business with the objective to maintain a customer base and provide a full range of services to customers, including

- 1. offering options for investing** in debt instruments, investment units and derivatives along with giving loans for purchasing of securities
- 2. expanding institutional client base and new customers** who do not have time to closely monitor the market by offering services that the company can invest for customers under the investment framework that the customers agree
- 3. offering loan services and lending securities** using a cash account with a system that connects to the securities trading system for convenience and speed
- 4. providing analysis that focus on providing information** and recommend investments
- 5. developing the capability of marketing staffs** to provide investment advice to clients by referring to good quality analysis

6. having a marketing promotion plan by arranging seminars for customers continuously
7. providing debt trading services for institutional clients while also expanding the retail customer base
8. providing securities distribution services and participating in distribution share securities with other financial institutions including the sale of securities of private businesses and state-owned enterprises
9. managing private fund service by bringing investment options that are suitable for the needs and investment objectives of each client.
10. Providing international investment products with high potential as an alternative to customers

Financial advisory business

The company aims to provide services to customers with business potential by focusing on the quality of the consulting work and providing useful advice for financial management, funding, or increasing financial and business competitiveness by focusing on maintaining relationships to develop financial services for customers in the long run. The company has expertise in consulting for listing companies on the stock market, various types of fundraising, mergers and acquisitions and issuing debt resulting from asset securitization. In addition, being Independent Financial Advisor (IFA) also provides an opinion on important transactions of the company to shareholders.

Summary of financial information, as of December 31, 2019

Total asset 4,401 million Baht

Total liabilities 2,824 million Baht

Total equity 1,577 million Baht

Total revenue 675 million Baht

Net profit 94 million Baht

ROE 6.02%

Cost/Total revenue 86.04%

Debt/Equity ratio 1.79x

Number of shares 94.46 million shares

Market Capitalization As of
December 31, 2019 368 million Baht



Number of branches 7 branches

Summary of information as of December 31,2019

Number of employees 238 persons



Note: Directors are not included

Number of employees by types of employment

		Permanent Employees	Temporary Employees	Total
	2017	110	1	111
	2018	104	2	106
	2019	110	2	112
	2017	133	1	134
	2018	130	-	130
	2019	126	-	126

Note: 1) Full time employees mean employees at all levels from management, commanding, and operational levels such as the President, Managing Director, Deputy Managing Director, Executives, Full time staffs 2) Temporary employees refers to the employee who is hired to work, and there is a definite start and end period for the job, in which the employer and the employee have agreed to a contract in writing from the outset.

Number of employees by area

		Head office	Bangkok and metropolitan area	Provincial
	2017	98	9	4
	2018	95	8	3
	2019	101	8	3
	2017	109	14	11
	2018	108	12	10
	2019	107	10	9

Number of interns	2017	2018	2019
	17	8	10

Corporate membership and network partners

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

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

General information about the company



Name Trinity Watthana Public Company Limited	Head Office address 179/111 Floor 26, Bangkok City Tower Building, South Sathorn Road, Thungmahamek, Sathorn, Bangkok 10120
Industry Finance	No. of registered company 0107545000195
Business Overview Listed company in SET	Phone 0 2801 9100 Fax 0 2343 9690
Business area Thailand	Website www.trinitythai.com

Stakeholder participation

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

1. Employee Engagement Survey by assigning GPS consulting company to conduct the survey. More than 85 percent of the employees participated in the survey, and the total engagement score was 88.22%, which increased 1.44% from the previous year survey (total engagement score in 2019 = 86.78%), higher than the average of Thai companies which are at 65 percent
2. Customer Engagement Survey. In 2019, the company did not conduct a survey directly, but use the inquiries from the staffs that take care of the customer's account

In this regard, Trinity Securities Company Group divides its stakeholders into 7 main groups, namely 1. Employees 2. Shareholders and Investors 3. Customers 4. Partners and Creditors 5. Competitors 6. Regulatory Agencies and 7. Society, community and environment by specifying the expectations, details of communication channels and frequencies, and guidelines for each group of stakeholders as follows,

1. Employee

Expectation	Details of communication channels and frequencies	Guidelines
<ul style="list-style-type: none"> ● Compensation and benefits that can be comparable with the market. ● Opportunities for career advancement ● Opportunity to learn and develop ● Work and personal life balance ● Listening to the opinions of employees ● Fair treatment ● acknowledging various news of the company thoroughly ● Recognition and appreciation of each employee ● Good and safe working environment ● Participating in being good citizens for society and returning for the common good and environment 	<ul style="list-style-type: none"> ● Employee Engagement Survey, 1 time per year ● HR Partner, will meet once a quarter ● Employee Survey in various matters to request an opinion in a referendum manner ● Receiving feedback directly from employees ● Employee's activity committee ● Communication and public relations for company news : Email, Line, Facebook ● Meeting with High-level executives and employees to give information explaining the company's operating direction at least once a year. ● Program for communicating knowledge, values and corporate culture for new employees 	<ul style="list-style-type: none"> ● There is a policy to look after the employees to be happy at work in order to deliver services to customers efficiently by using the concept of Happy Workplace to look after employees and their families. ● Bring suggestions from the Employee Engagement Survey to plan and implement improvements ● Allow employees the opportunity to participate in expressing opinions as well as being aware of the human resource management policy through the HR Partner who is an employee representative for each department and each age range and gender in order to receive a variety of information for each group of people that have different needs ● Promote and ensure that employees work ethically ● Develop and encourage employees to have knowledge about work and to develop their potential in various fields. ● Treat employees fairly and equally, consider human rights principles and not discriminate against employees regardless of their origin, ethnicity, religion, language, gender, age, physical condition, and political opinion. ● All employees have the right to advance in their career based on knowledge, ability, primary principles, and moral ● Considering and reviewing the returns and benefits appropriately ● Giving employees the opportunity to participate in doing good deeds for society through the Trinity Volunteer Club ● Campaign for the environment through the 3 R project.

2. Customers

Expectation	Details of communication channels and frequencies	Guidelines
<ul style="list-style-type: none"> ● Profit / return on investment ● Fast and consistent service ● New financial products introduced in order to meet customer need ● Obtaining thorough, reliable, timely, and credible information useful for decision making ● Fair price of the service. ● Good corporate governance for staffs ● Code of conduct for maintaining confidential information of customers ● Social and environmental responsibility 	<ul style="list-style-type: none"> ● Offering efficient investment services on the platform called Trinity Smart Wealth. There are 2 types of investment portfolios for investors to choose from: stable portfolios, medium-long term investments by using fundamental analysis data and Wongwai port short-medium term investment by using technical analysis data ● Follow-up on investment returns as recommended by the Securities Analysis Department, compared with benchmark, which is SET index regularly. ● Creating Line @ of the company to ensure that customers will receive information. The analysis is comprehensive and fast. ● Organizing seminars for investment knowledge at least 1 time per month ● Increasing channels of disseminating information on social media analysis including Facebook, Youtube Providing a channel for listening to opinions, reporting complaints, fraud and violation by email and / or postal service. ● Campaign to persuade customers to participate in Corporate social responsibility for the environment 	<ul style="list-style-type: none"> ● Providing information on investment decisions based on the analysis that has been screened and analyzed with principles and criteria. ● Strict training and inspection to ensure that employees comply with regulations and ethics ● Improving the buying-selling system and providing the service periodically to ensure that it can respond to the needs of customers better and more efficiently ● Including the investment website of the company under the name www.trinityquicktrade.com to be on the website www.trinitythai.com to allow customers to access company information more easily ● Campaigning and requesting customers to reduce paper use and reduce global warming by sending various information via Email ● Develop working channels by saving energy and resources such as subscribing IPO shares or debt securities via telephone etc.

3. Shareholders and Investors

Expectation	Details of communication channels and frequencies	Guidelines
<ul style="list-style-type: none"> ● Stable performance and sustainable organization growth ● Return on shareholders and dividend payment at an appropriate level ● Good corporate governance ● Disclosure of information transparently and honestly ● Effective risk management <p>Allowing shareholders to participate in comments and present matters that are important and should be included as an agenda for The shareholders' meeting including participating in the nomination of persons to be elected as the company's directors.</p>	<ul style="list-style-type: none"> ● Annual General Meeting ● Traveling to meet investors and meeting with the executives of institutional investors and analysts ● Conference call between institutional investors and analysts ● Disclosure of information through the SET Portal system of the Stock Exchange of Thailand, printed media and company websites ● Inquiries through the investor relations department Organizing Trinity meeting for media activities (Press Conference) Opening the channel for comments via Company website ● Organizing Opportunity Day annually 	<ul style="list-style-type: none"> ● Treating shareholders and respect the rights of shareholders according to Securities and Exchange Commission (SEC) and the Stock Exchange of Thailand framework ● Treating shareholders Equally ● Adhering to good corporate governance ● Performing in strict accordance with the dividend payment policy ● Updating the company's website for easier access to information ● Supervising the arrangement of the shareholders' meeting to be effective and allowing shareholders to exercise their rights ● Disclosing criteria for granting shareholders the right to propose the agenda for the Annual General Meeting of Shareholders and persons to be considered for election as a director on the company website

4. Partners and Creditors

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

5. Competitors

Expectation	Details of communication channels and frequencies	Guidelines
<ul style="list-style-type: none"> ● Operating business transparently, honestly and legally ● Following the agreement of the Association of Thai Securities Companies 	<ul style="list-style-type: none"> ● Association of Thai Securities Companies 	<ul style="list-style-type: none"> ● The company has a policy that encourages executives to join the public work to develop the main industry and overall industry by becoming a director working group of various committees such as the Stock Exchange Commission Director, and Association of Thai Securities Companies-

6. Regulatory Agencies

Expectation	Details of communication channels and frequencies	Guidelines
<ul style="list-style-type: none"> ● Good corporate governance ● Fairness, transparency, and responsibility to society and the environment. ● Disclosing information and ready for inspection ● Conducting business according to the law and relevant rules ● Communicating to the employees to be informed of the law and in accordance with relevant rules. 	<ul style="list-style-type: none"> ● Communicate rules and regulations to employees via email ● Organizing training for all staff at least once a year to review and be aware of important regulations. 	<ul style="list-style-type: none"> ● Summarizing regulations to convey to employees to acknowledge and act in time for enforcement ● Sharing opinions when new regulations issued ● Summarizing relevant rules and regulations for the Board of Directors to acknowledge. ● Regularly updating Compliance Manual to be used as an employee manual ● Using knowledge and abilities of personnel that the company has in finance and investment

7. Society, community and environment

Expectation	Details of communication channels and frequencies	Guidelines
<ul style="list-style-type: none"> ● Conducting business ethically while participating in social and environmental responsibility ● Providing support and sharing for the better of society as a whole. ● Being a good citizen of society and compensating for society in some way ● Providing financial knowledge for citizens to be able to use in daily life ● Helping to protect the environment 	<ul style="list-style-type: none"> ● Education Project on Savings and Investment under the Happy Money in Happy Workplace Project ● Trinity 3 R project: Reduce Reuse Recycle Project throughout the year ● Project to raise awareness in using resources and environment with the value of "Trinity, the goodness map" 	<ul style="list-style-type: none"> ● Providing financial, investment and public knowledge through the Happy Money in Happy Workplace project by providing knowledge at the workplace of the company that is interested in participating. ● Instilling awareness of social and environmental responsibility to employees through various activities. ● Developing work systems with regard to environmental impacts

Sustainability Framework

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



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

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

Sustainability framework of Trinity Securities Group

1. Environmental dimensions include

- Environmental management

2. Social dimensions include

- Creating access to financial services and providing financial literacy
- Human resource management and development
- Human rights and equality of labor practices
- Well-being of employees

3. Good governance dimensions include

- Corporate Governance
- Business ethics and transparency
- Risk management
- Creating financial access through digital development
- Security and privacy of customer data
- Business performance and potentials to grow

Sustainable development management structure

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

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

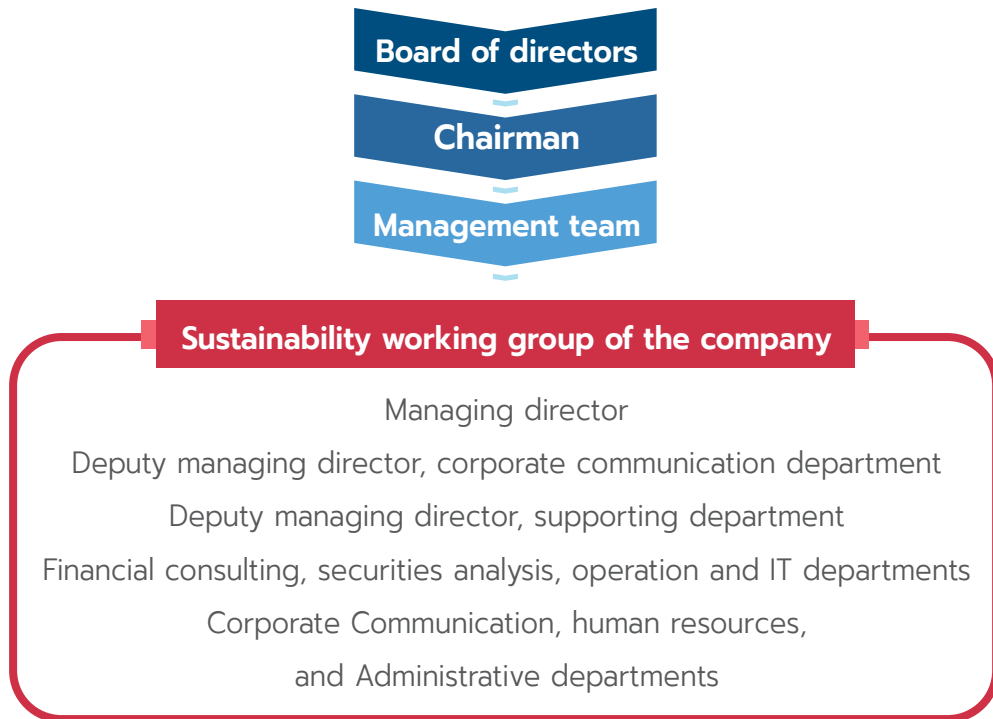
- 1) Operations under the principles of good governance
- 2) Commitment to deliver better returns than the market average to stakeholders
- 3) Supporting activities that are beneficial to society and environmental responsibility
- 4) Awareness and improve the quality of life of employees

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

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

The framework for sustainable development has been approved by the management and will be defined as a roadmap that is consistent with the Sustainable Strategy and is detailed in the activity plan, as well as used as a tool to measure success in accordance with the plan and to compile data for further reporting and disclosure to the public.

Sustainable development management structure



Affiliated companies in Trinity Securities group

Duties and responsibilities of the Sustainability Working Group

Working group	Duties
1. Directors	<ul style="list-style-type: none"> - Formulate policies for sustainable development - Supervise operations to meet the goals
2. Management	<ul style="list-style-type: none"> - Manage plans and activities under the sustainability framework in accordance with the organization strategic plan
3. Working group for sustainability	<ul style="list-style-type: none"> - Define plans and activities within the sustainability framework - Carry out and work with participants from all departments
4. Subsidiaries and associated companies	<ul style="list-style-type: none"> - Responsible for management according to the plan - Follow up on the performance

Defining important sustainability topics

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

Related scope of operations

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

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

The external scope of the organization is the stakeholders of the company as follows

- staffs
- customers
- Shareholders and investors
- Business partners and creditors
- Competitors
- Regulators
- Society, Community and Environment

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

1) Identification of key issues

- Bring up the issues written in the corporate social responsibility report for business sustainability in the 2018 annual report for consideration, whether sustainability matters that were important in the previous year remained important to the year 2019 or not.
- Study the sustainability trends related to business operations by comparing them with the same industry topics and paying attention to topics internationally featured in the context of sustainability and global changing trends.
- Compile important sustainability issues from internal and external stakeholders, such as data from the Customer Engagement Survey in 2019, through the staff that oversee the customer's account and employee engagement survey data.

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

2) Ranking of significant issues

- Analyze and review the data from the internal and external stakeholder survey.
- Prioritize sustainability topics according to the survey results obtained from representatives of stakeholders in each group, by dividing the priority levels into 3 levels: low, medium and high and sharing a view of consideration for its importance into 2 axis,
 - Horizontal axis: topics that are important to Trinity Securities Group
 - Vertical axis: topics that are important to stakeholders

3) Investigation

- Clarify the prioritization of sustainability issues for all departments of the company to acknowledge the opinions of the relevant parties and define it as a guideline for development in accordance with the needs of stakeholders
- Report sustainability issues to the Corporate Governance Committee to consider and present to the Board of Directors for acknowledgment and disclosure in the Sustainability Development Report and on the company website

4) Review

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

Ranking of significant sustainability topics

In accordance with the process of determining material sustainability topics that are operational in 2019, it can be specified into 12 sustainability topics, which can be divided by importance level according to issues that are important to Trinity Securities Group and issues that are important to stakeholders as follows,

Ranking of significant sustainability topics



Issues that are important to the stakeholder group

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

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

Important sustainability topics	GRI guideline	Scope		Topics presented in the report
		Within the company	Outside the company	
Corporate Governance	Governance (GRI 102-18, GRI 102-19)	Every company in the group	customers and shareholders	Corporate Governance Good governance dimension
Business ethics and transparency	Ethics and Integrity (GRI 102-16) Anti-Corruption (GRI 205)	Every company in the group	Customers, shareholders and partners	Business ethics Good governance dimension
Risk management	Governance (GRI 102-30)	Every company in the group	customers and shareholders	Risk management Good governance dimension
Creating financial access through digital development	Product & Service (GRI 103)	Every company in the group	customers	Customer-centric Social dimension
Security and privacy of customer data	Customer Privacy (GRI 103, GRI 418)	Every company in the group	customers	Security and privacy of customer data Good governance dimension
Business performance and ability to grow	Product & Service (GRI 103)	Every company in the group	customers and shareholders	Risk management Good governance dimension
Equal labor practices	Employment (GRI 103 , GRI 401) Labor / Management Relation (GRI 103, GRI 402) Diversity and Equity Opportunity (GRI 103, GRI 405)	Every company in the group	employees	Human resource management Social dimension
Human resource development	Training and Education (GRI 103, GRI 404)	Every company in the group	Every company in the group	Human resource management Social dimension
Well-being of employees	Occupational Health and Safety (GRI 103, GRI 403)	Every company in the group	Every company in the group	Human resource management Social dimension
Human rights	Human Rights Assessment (GRI 103, GRI 412)	Every company in the group	Every company in the group	Human rights Social dimension

Financial education	Financial Literacy (GRI 103, For FS 16)	Every company in the group	employees, customers and community	Creating access to financial services Social dimension
Environmental impact management	Energy, Water, Emissions, Effluent and Waste (GRI 302, GRI 303, GRI 305, GRI 306)	Every company in the group	community and society	Environmental management Environmental dimension

Environmental dimension

Environmental management

Although the nature of the company's business does not have a direct impact on the environment, or causing pollution that is obvious like some factories or businesses, the company has given importance, and always concerned about the environment. The company is well aware of global climate change and the impact on people's lives as a whole, and instills awareness among employees on environmental responsibility.

The company has implemented environmental management through the project "Trinity 3R (Reduce Reuse Recycle)" with the objective of encouraging to reduce the use of resources and recycle used resources, including finding materials or alternative methods to reduce resource use and use materials that help reduce global warming by offering fun activities for employees to join and to create awareness together as follows,

1. Electrical and Lighting System Management

Set up a plan to change the light bulbs in the workplace to LED lamps at the Bangkok City Tower, 25th and 26th Floor, the company's headquarters. It will start operation in 2020 with 744 lamps, which are expected to reduce energy consumption by 28,283 kilowatts per year or representing an expense saving of 169,700 baht per year. In addition, the company is also concerned about saving electricity by considering purchasing electrical appliances in the office that are energy-efficient and also instilling employees to use electricity more efficiently, such as turning off the lights during the lunch break and immediately after work.

2. Water supply management

Adjust the flow rate of the tap at the sink and toilet bowls in the workplace to suit the need, as well as changing the tap system into a sensor system to save water and to reduce wasting water when opening the tap.

3. Efficient waste management

There is a campaign to raise awareness about littering by instilling employees to understand the management of waste in the company in accordance with the practices used around the world to reduce waste and waste that affects, pollute, and spread to the office by publicizing staffs to learn how to dispose of waste according to the sorting system that is specified into food waste, plastic waste and paper waste categories and by providing a clear dumping point at the specified location. The company also cooperate with the owner of the office building to have waste separation as well.

4. Cost-effective management of office equipment

There are various management of office equipment to be used efficiently by bringing office equipment that is used but still in good condition to be reused for maximum benefits, such as computers, printers, calculators, file folders, envelopes, etc. In terms of managing paper usage, the company chooses paper that is made from recycled paper. The company also reuses single-page used paper by creating a notebook and recycling used paper on both sides by destroying it to sell to companies that produce pulp to make recycled paper. Moreover, we also campaign for employees to refrain from printing unnecessarily and to have communication, both within the organization and outside the organization, via Email or Line instead, as well as inviting customers to switch to receive documents via Email too.

5. Project to raise awareness in using resources And environment with the value of "Trinity, the goodness map

The company has set plans for doing CSR activities on a regular basis, which are diverse CSR activities and have included activities related to the environment as well. In the past year, the company conducted 7 activities of "*Trinity, the goodness map*" and 5 activities related to the environment, including old calendar donations for teaching and learning media, good-quality bathroom appliances donations (obtained from hotels) to needy patients, campaign to stop employees from using plastic tube donations for making pillows, and electronic waste donations (Read more about this topic in social dimension, the topic of social actions)

Social dimension

- Creating access to financial services
- Financial education
- Human resource management
- Human rights operations
- Social action

Creating access to financial services

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

The company has therefore developed a variety of financial products that increase access to financial services more conveniently. In the year 2019, the company has implemented the following services,

Efficient investment services on the platform called Trinity Smart Wealth

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

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

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



Digital asset investment service (Cryptocurrency)

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

The company provides a service as a selling agent to recommend customers interested in investing in digital assets by opening an investment account through Digital Satang Corporation Trading Center Company Limited which is a company that has been properly certified by Securities and Exchange Commission (SEC). In this regard, the company offers special services to clients who open investment accounts through the guidance of the company by providing information, knowledge about interesting digital products and investment advice and timing of buying and selling digital bitcoin assets.



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

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

1. Youtube: on the Youtube channel of the company called Trinity Channel
2. Facebook: on the Trinity Securities Group page
3. Line @ financial information being presented and important investments, including news related to investments. The data formats are divided into contents such as, analysis, images, InfoGraphic, and clip formats

It also includes the analysis of the company's analysts in Real Time format via Facebook Live and create video clips on Youtube Live, which has received good response from customers.

Trinity Member on Mobile application via mobile phone or tablet

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

Company website development in the name of www.trinitythai.com

In the year 2019, the company has updated the website of the company to be more modern and have a plan to include the company's investment website www.trinityquicktrade.com on the organization's website as www.trinitythai.com in one place for customers to easily access company information. The website will provide access to a trading system and have a deposit-withdrawal program by yourself through the Trinity Member program while being able to access company information on the same website.

Financial education

Financial education for individuals

Education Project on savings and investment under the Happy Money in Happy Workplace Project

The company applies knowledge, capabilities, strengths of personnel, and the resources that the company has in financial products, transfers knowledge and experience in investment, commits to convey knowledge of personnel who wants to be beneficial to society. The speaker team of the company has prepared the content that is easy to understand and present to the stakeholders of the company, including employees, customers, shareholders, nearby communities, trading partners, and general investors at the workplace of stakeholders. The topics are not intended for business benefits, but hoping to create knowledge and understanding for investors. The speakers have provided advice on resources that investors can study by themselves and be useful in making investment decisions, allowing investors to ask questions fully. This project has been well responded and able to build Trinity's reputation to become known in the wider circle.

In the year 2019, the Company continued to provide knowledge on saving and investment under the **Happy Money** Project by organizing speakers and teams to educate employees, investors, and the workplace for 4 companies with approximately 255 participants.

NO.	Participating companies	No. of participants
1.	PTT Exploration and Production PCL	75
2.	Faculty of Arts, Chulalongkorn University	60
3.	Salee Colour PCL	80
4.	IFCG Company Limited	40



Project for providing financial knowledge to clients and investors

Trinity Securities Company Limited produces securities research reports and offers advice on investment and financials to clients and investors professionally. The company emphasizes importance to quality of presentation information, accurate and fast, to be used as information for investment decisions and / or for effective financial management..

The company has selected and developed investment advisors to have knowledge and ability to create more value for customers' investments by adhering to the professional ethics that will operate properly in accordance with the rules and regulations to protect the interests of customers. The company has designed strict measures to monitor and prevent the misuse of inside information.

Training and seminars for investors are organized on a monthly basis. In the year 2019, there were 18 training sessions for institutional and individual clients, including investors, which are about technical data, fundamental information, and investment strategy so that the participants do not have to pay anything. Customers and investors are also able to access training sessions via the company Facebook at the same time.

Financial Education for Employees Project

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

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

Training history for the year 2019

No.	Training session list	Participants	No, of hours ¹	Expenses
1.	Within the organization	235	1,468	203,050
2.	Outside the organization	86	1,023	611,296
	Total	321	2,491	814,346

Project for providing transparent information of the company to shareholders and investors

The company arranges Opportunity Day annually. However, it is observed that each year, there are not many shareholders, investors interested in company information. Therefore, in order for the customers and investors to be more aware of the information of the company in the year 2019, the company presents the operating information, vision, mission, and goals through the media by holding a press conference for the performance of the company and allows journalists to ask questions. Journalists from various media are interested in participating heavily.



Financial education for foreign businesses

Seminar on Investment in Private Funds "Trinity Asian Private Fund"

The company, together with AZ Investment Management Singapore (AZIM), held a seminar to introduce investment in foreign funds to create knowledge and understanding in investment strategies and give customers the opportunity to increase investment channels abroad more conveniently. Since the beginning of 2019, the global economy has started to grow slower than last year and has a negative tendency due to the impact of the trade war of the United States and China, including the risk of a political and economic cycle that is in the downturn. At the same time, the company foresees that the Asian market is attractive for investment. With populations in Asian countries accounting for 58% of the world population, they make the Asian economy as large as many important countries of the world combined. Moreover, with the recent Asian market (not including Japan), it has had a remarkable GDP growth since 1980. The company, therefore, sees investment opportunities in Asia and is interested in investing in certain sectors and in certain Asian companies with good returns.

On this occasion, the company introduced the company's financial products under the name of "Trinity Asian Private Fund" as an alternative fund, if the client wishes to diversify their investment abroad.



Seminar on Investment in Vietnam National Investment Fund

The company, together with the Vietnamese fund SSI-SCA, has organized a seminar to give knowledge about investment in Vietnam to create investment knowledge and understanding that will give customers the opportunity to increase investment channels in Vietnam without having to pay a premium when investing in stocks with foreign ownership limit (FOL).

Currently, investing in Vietnam requires people who have a good understanding of the Vietnamese stock market, have a deep understanding of thought systems, culture and have access to deeper information than foreigners. It also requires the ability to search for good stocks and dive into both qualitative and quantitative insights to assess the value of shares and businesses to make investment decisions for each stock. The company has prepared personnel with expertise in the aforementioned investments to serve customers as well and considered as an opportunity to create good return for customers as well. Many customers are very interested in investing in this Vietnam fund.



Human resource management

Equal labor practices

The company greatly emphasizes employees, with awareness that employees are an important mechanism in the securities business to move the company forward. The company treats employees with fairness, quality, and not discriminating against employees regardless of their origins, ethnicity, language, religion, gender, age, social status, including political beliefs and opinions by taking into account the 3 scopes of the fair treatment to the labor, which are

1. Respect the right to work in accordance with human rights principles and in accordance with the declaration on the principles and basic rights of work of the International Labor Organization.
2. Provide social and working conditions protection for employees
3. Provide protection for health and safety at work.

In addition, the company has established a channel for listening to employees' opinions, including

1. The establishment of the HR Partner Committee is to represent employees from various departments by selecting employees whose age and gender are different to reflect the needs of various employees. The HR Partner Board is updated every 2 years and has an important duty to present comments about human resources that are beneficial to the company. It is also a medium for disseminating information about policies and human resource plans to employees thoroughly. The HR Partner will hold a meeting every quarter. In 2019, there were 4 meetings in total.

2. Employee Engagement Survey, which the company has conducted the survey for 3 years. In the year 2019, the company hired an external consulting company (GPS Company Limited) to prepare for the 3rd consecutive year in order to give employees confidence that opinions or information that has been submitted for comment will be kept as a secret and can convey courageous and honestly, which will greatly benefit the company to fix the issues.

Supporting the disabled

The company has collaborated with the Thai Health Promotion Foundation and Social Innovation Foundation in hiring people with disabilities to work in organizations. The company employs 2 people with disabilities to provide health massage services for employees, 2 days a week. In addition to helping to promote the quality of life for the disabled, they will not be a burden to society and provide equal opportunities to people in society. For the expenses that the company has to deliver according to the Promotion and Development of the Quality of Life of the Disabled Act 2007 at the rate of 200,000 baht, it has been transformed into a piece of work that will tangibly benefit people in the organization.



Working for the public

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

Mr. Pakhawat Kovithvatthanaphong

- Vice Chairman, Thai Listed Companies Association
- Advisory Board, Thai Securities Company Association
- President of the Human Capital Management Club, Thai Listed Companies Association
- Subcommittee on Memorandum of Understanding and Performance Evaluation of State owned enterprises (Sector)
- Advisor, Master of Economics Program, financial economics, Faculty of Economic Development (Outside office hours) National Institute of Development Administration

- Chairman of the Mentor Recruitment and allocate new government officer in New Generation Change Management Development Project to practice government administration in the private sector, Institute for Good Governance Promotion
- Committee for Selection of Personnel and Government Officers to Participate in New Generation Change Management Program, the Public Sector Development Commission
- Chairperson of the working group to set the development plan and upgrade the quality of personnel for securities company, Stock Exchange of Thailand
- Committee and Treasurer Professor Sangvian Intharachai Foundation
- Honored Committee in the advisory committee for state securities disposal, State Owned Enterprise Policy Office
- Committee and advisor in Center for Building Competitive Enterprises (CBCE)
- Committee of award for Outstanding State Owned Enterprise, State Enterprise Policy Office
- Subcommittee on Consideration for Cooperation of Outstanding Development Award 2019, State Enterprise Policy Office
- Appeal honored committee with high experience in accounting and finance, Stock Exchange of Thailand

Mr.Charnchai Kongthongluck

- Vice Chairman, Thai Securities Company Association
- Chairman of the Derivatives Business Committee
- Chairman of the Disciplinary Subcommittee, Stock Exchange of Thailand
- Director, Thailand Futures Exchange Pcl.

Dr. Visit Ongpipattanakul

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

Ms. Niyada Changtrakul

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

Ms.Suwannee Limpanavongsaen

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

Compensation management

Compensation and employee benefits

The company has paid compensation and provided appropriate welfare by comparing with companies in the same business. In addition, the company focuses on the promotion of long-term savings, supports employees to have good financial health. The remuneration can be divided as follows:

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

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

In the year 2019, the company received an honorary award to be a golden retirement company, which is selected from a total of 181 listed companies and only 28 companies have received this gold award.



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

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

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

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

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

Cases of leave	Number of employees(persons)		
	2017	2018	2019
Number of employees eligible for maternity leave during the year**	160	149	137
Number of employees who have exercised maternity leave during the year	1	3	1
Number of employees who returned after maternity leave	1	3	1
Number of employees who returned after the maternity leave and continued working after 12 months	1	3	0
Return to Work Rate (1) who returned to work after the maternity leave is over (%)	100	100	100
Retention Rate (2) who returned to work after the maternity leave is over and continued to work after 12 months (%)	100	100	0

Note

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

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

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

Non-discrimination

The company gives the opportunity to grow the career of the employees in the organization by considering performance, knowledge, ability, and behavior in line with corporate values, with equal treatment throughout the organization. In addition, business operations also consider transparency, fair disclosure, and not discriminating against customers and partners.

Occupational health and safety

The company has established a policy on safety, occupational health, and working environment, which is in accordance with the ministerial regulations that set standards for the administration and management of occupational health and safety in the year 2006 by requiring the Occupational Safety, Health and Working Environment Committee to be responsible for considering the policy and work safety plan. It includes safety outside the work to prevent and reduce accidents, the danger, illness or annoyance caused by work, or unsafe working conditions to propose to the company. The report recommends measures or guidelines for improvement to be in accordance with the laws relating to safety and safety standards in working for the company. For the safety of the work of employees, contractors and outside people who come to work in the workplace, it is also included in the annual performance report with identifying problems, obstacles and recommendations in the performance of the committee to propose to the company to consider the regulations and work safety manual. The workplace safety standard is also proposed to the company, and is established a system for reporting unsafe working conditions to be a duty of every employee at all levels. It also considers training programs on work safety and a training program on roles, responsibilities, and safety in all levels of employees as well as promoting and supporting safety activities at work and evaluating the performance of work safety in the workplace. Last but not least, the company will explore safety operations at work and check the statistics of occupational hazards occurring in the workplace 1 time per month.

Number of Safety, Occupational Health and Working Environment Committee

Name of the company	Executive employer representatives	Managing level employer representatives	Employee representatives	Secretary	Total (persons)
Trinity Securities Company Limited	1	2	3	1	7
Trinity Advisory 2001 Company Limited	0	0	0	0	0
Trinity Watthana PCL	0	0	0	0	0
Trinity Intelligence plus Company Limited	0	0	0	0	0

Note: The data in the table shows the number of components of the Safety, Occupational Health and Working Environment Committee of the company with the number of employees 50 persons or more.

For statistical data on the number of sick leave of employees, hospitalization rate of employees, injuries or occupational diseases, absence rate and the number of hours off due to work-related illness can be summarized as follows,

Year	Number of sick leave per year per person	Inpatient rate per annum
2017	1.4	25.7
2018	1.3	19.5
2019	1.2	14.7

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

Death cases					
Work related deaths	Head quarters	0	0	0	0
	Bangkok and Metropolitan area Branch	0	0	0	0
	Regional branch	0	0	0	0

Information	Unit	Jan-Dec 2019					
		Gender		Area			Total
		Male	Femal	Head quarters	Bangkok and Metropolitan area Branch	Regional branch	
Absence rate	%	0	0	0	0	0	0
Sick days	days	98.5	221	290	4	25.5	319.5
Number of hours off work due to illness unrelated to work	days * 7.30 hour	719	1,613	2,117	29	186	2,332

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

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

Succession planning

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

Creating a happy organization

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



- 1. Happy Body** The company has organized activities to promote employee health continuously to encourage employees to focus on health care, whether it's physical activity Trinityx4share, support for membership fees for fitness centers, annual health check, flu vaccination, etc. In addition, employees are encouraged to participate in sports competitions between securities companies, including badminton, table tennis and football
- 2. Happy Heart** The company has established the Trinity Volunteer Club in order to organize social contribution activities annually, such as lunch activities, giving things and donations to blind schools in Bangkok, etc.
- 3. Happy Society** The company has created a pleasant atmosphere in the organization, has teamwork, help each other, communication with the whole organization, and arrange financial training for interested employees of the company, so that those employees have knowledge Financial Literacy and understanding the principles of saving, investment, etc. to ensure that there is enough money after retirement.
- 4. Happy Relax** The company has organized annual outings every year, to allow employees to rest from work all year. There were also a New Year's party and company anniversary celebration to give employees the opportunity to socialize and relax.
- 5. Happy Brain** The company has continuously provided training courses in both hard skill or soft skill courses as well as courses to renew employees' work permits. In addition, guest speakers are invited to give new knowledge for employees such as the direction of ICO & Cryptocurrency, The Art of Storytelling, Inbound Marketing, D-I-S-C, the key to winning people's hearts, and communication strategies to please every generation.
- 6. Happy Soul** The company has made merit events and offered dry food on important occasions on a regular basis by inviting the monks to preach and holding a Kathin ceremony in various temples annually.

- 7. **Happy Money** The company has educated employees on savings and investments and provided provident fund as an employee 's choice so employees can choose to invest in desired returns and at acceptable risk. In addition, housing loans are also provided for employees, and contact financial institutions for employees to refinance and reduce the debt burden for the employees.
- 8. **Happy Family** บริษัทฯ ได้จัดกิจกรรม Family Day เป็นประจำทุกปี รวมถึงได้ให้คู่สมรส และบุตรของพนักงานเข้ารับการตรวจสุขภาพเป็นประจำทุกปี



Responsibility to employees

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

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



Employment

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

The company gives importance to the development of the quality of life of the disabled. Therefore, considering the employment of the disabled according to the Promotion and Development of the Quality of Life of the Disabled Act 2007 and the amendment (Version 2) 2013, Section 35, we hire service for the visually impaired for 2 persons to do massage massage for health and reduce symptoms of Office Syndrome for employees. There is still a policy to support hiring services for the visually impaired in the year 2020.

For statistics of data of employee turnover rate and total number of employees of the company classified by age, gender, and work area are detailed as follows,

Staff turnover rate

Staff composition criteria	New joiners			Quitted employees		
	2017 (%)	2018 (%)	2019 (%)	2017 (%)	2018 (%)	2019 (%)
% change	8.97	13.98	11.34	8.57	17.37	9.66
Gender						
Male	3.67	5.5	7.56	3.67	8.05	4.62
Female	5.3	8.47	3.78	4.89	9.32	5.04
Age range						
less than 30 years old	6.12	10.59	7.14	5.3	9.74	4.62
30-50 years old	2.44	3.39	3.78	2.85	7.62	5.04
more than 50 years old	0.4	-	0.42	0.4	-	-
Area						
Head quarters	7.34	13.55	10.5	6.12	15.25	7.98
Bangkok and metropolitan area	0.4	-	-	0.4	1.27	0.42
Regional area	1.22	0.42	0.84	2.04	0.84	1.26

Total number of employees classified by work characteristics

Qualification	2017		2018		2019	
	Type of job		Type of job		Type of job	
	Front Office	Back Office	Front Office	Back Office	Front Office	Back Office
Total	175	65	172	64	176	62
Male	58	53	54	52	55	57
Female	57	77	56	74	52	74

Human rights

The company respects the basic human rights for two big things including,

1. Economic, social and cultural rights which include right to work, right to receive food, rights in health standards, right in education, and rights in welfare and society.
2. Civil rights and political rights, which includes right in life and freedom, legal equality, and freedom of expression.

The company is careful and avoid conducting business that will affect human rights violations and provide a mechanism for complaints so that those who believe their rights are violated or employees in the company who believe they have not received justice will have a channel for formal grievances and appropriate care procedures.

Since this year, the company has conducted a sustainability report to comply with all GRI guidelines for the first time, so no human rights risk assessment has been conducted in accordance with the guideline on business and human rights of UN Guiding Principles on business and Human Rights and Humanitarian Principles, the rights of the International Labor Organization (ILO), and the United World Agreement The National Tea (Principles of the United Nations Global Compact: UNGC). However, if there are additional operating plans, the company will further enhance the content of human rights in writing in the next report.

Social action

The company has promoted social operations through various forms of support, including budget support, handing emergency assistance to employee, volunteering activities, internal activities of employees who donate money and belongings to various public charities, as well as the transfer of knowledge and skills by collaborating with alliances, groups of customer, and groups of various stakeholder.

In the year 2019, the company conducted volunteer activities and the giving of items, as well as the company has set up a plan for doing CSR activities on a regular basis almost every month. The company holds diverse CSR activities with donations of belongings for those in need, including activities that promote good traditions and culture and the education campaign to reduce global warming by using things that are not used or reduce the amount of consumables used to realize the love and commitment in the family, including supporting good projects that benefit society sustainably.

- **Donate old calendars to be a teaching-learning media** - donate old calendars that are no longer used to make educational materials for children, the visually impaired in the Foundation for the Blind in teaching in the royal patronage
- **Donate toiletries to underprivileged and needy patients** - jointly donate "Toiletries" include soaps, shampoos, toothbrushes, toothpaste, comb, and shavers that many have seen and used in hotels or resorts but not used to donate to patients and the needy who lack money
- **Trinity Project to refrain from using plastic** - campaign to encourage employees to reduce the use of plastic by choosing to do 3 activities from all 6 activities, which are waste separation, no plastic cups use, stopping using plastic bags and changing into cloth bags, using your own box, not using foam boxes to put food, and using A4 on both sides
- **Donate straws to make pillows** - donate used tubes together, bring them to clean, and make pillows for bedridden patients in the community, helping to reduce pressure ulcers and prevent allergies from dust mites, and instilling discipline in separating waste for employees in the company as well.
- **Electronic waste donation project** - organize electronic waste donation activities by requesting electronic donation E-Waste, such as mobile accessories, old mobile phone that doesn't work, mobile battery, power banks, chargers and headphones to be donated to AIS in order to be destroyed or recycled correctly.
- **Kru and Ke Open House Project** - Kru and Ke Open House Sale Project with the cooperation of staff to donate unused items that are still in good condition and hold an auction for office equipment, and furniture ready to be used for employees. The proceeds from the activities are given as scholarships and lunch for children at Wat Nekkhamaram School Pathum Thani Province, which is a school that the company has been taking care of since the big flood in year 2011
- **Toy donation project for children Students of Ban Sue Dang School, Tra Bon Subdistrict, Sai Buri District, Pattani Province**, which is a school located in the 3 southern border provinces. There are a total of 200 students. The company have collected toys and sent to the children every year as a gift to create a smile around for children during the Children's Day Festival in 2019



Good governance dimension

- Corporate Governance
- Business ethics
- Corruption Prevention
- Risk management
- Security and privacy of customer data

Corporate Governance

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

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

Supervision of operations of subsidiaries and associated companies

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

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

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

Business ethics

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

Employee ethics

1. Professional Integrity: Performing duties with honesty in the profession by adhering to equality in service provision.
2. Skill, attention and prudence: standardized operations with knowledge, ability and attention in performing duties
3. General business practices: complying with laws, rules and standards of securities business and / or forward contracts strictly
4. Information about customers: Sufficient information about customers for the purpose of determining the status and objectives of customer investment, providing investment advice to clients with correct, complete, and sufficient information for decisions of customers, and providing that same information to every customer.

5. Conflict of interest: Avoiding conflicts of interest that may occur both within the company and within the group. If conflicts of interest arise, members must treat customers fairly and equitably, which may be achieved by disclosing information or by setting up rules regarding confidentiality within the company, or by refusing to provide the service or by any other appropriate means. Members must refrain from seeking customer benefits from it
6. Protecting customer property : Keeping customer property separate from the company's property and have appropriate prevention and treatment, which can specify which belong to which customer
7. Financial stability: Ensuring that the company is in good standing and have sufficient funds to support any obligations from the operation and potential risks from doing the business
8. Organizational organization and internal control: providing organization structure in order to have efficient management with a strict internal control system and appropriate data recording, as well as having a recruitment process that has ensured that employees have knowledge and sufficient ability to perform duties. Members must establish operational rules in accordance with applicable laws and regulations
9. Overall business Benefits: Cooperating with groups in activities for the common good and must keep public interest above personal benefits
10. Relations with business partners: refraining from doing any act which is harmful to members, or acts that cause disunity in the group
11. Relationship with supervising organizations: Opening cooperation with regulatory bodies and notifying the regulatory organization immediately, if there is any information that regulators should know

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

Corruption Prevention

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

Anti-Corruption Policy

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

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

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

Risk management

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

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

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

Risk management process

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

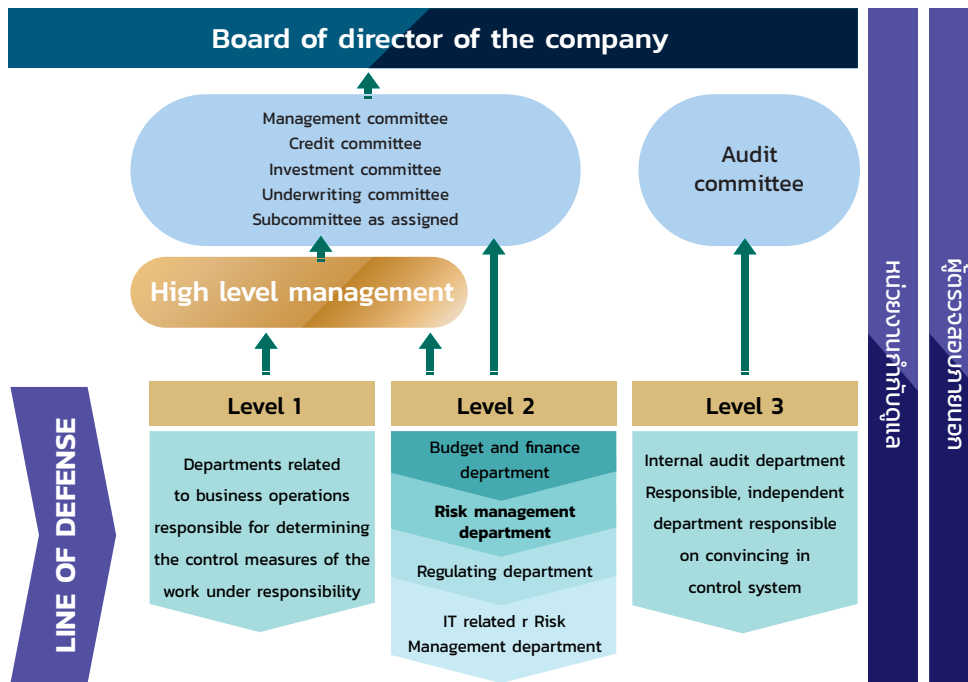
1. **Risk identification** is an indication of risk both in terms of the type of risk, causes, and risk factors both external and internal factors, including consideration or anticipation of the risk that the company is experiencing, or new risks that may occur in the future
2. **Risk assessment** is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



Risk management structure

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

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



In the year 2019, the company established a working group to protect customers' personal information and cyber security protection with computer executives and technology responsible for the operation and supervise the use of technology in accordance with the strategy of business operations, transaction volume, the complexity of the technology. The risks involved is considered a part of overall risk management in accordance with the regulations of the Stock Exchange of Thailand that wants securities companies to have good governance security and information technology risk management that is appropriate. With the company's risk management plan, it results in oversight and manage risks efficiently with the organization as a whole that can be used as a strategic plan for the company and implemented in consideration of prevention guidelines. The risk control will be controlled for 3 levels, which are the main structure of risk management including the development of risk management systems on a regular basis to ensure financial sustainability.

Raising awareness in risk management organizations

The company emphasizes importance to raising awareness among executives and employees at various levels through training and seminars to provide knowledge in courses related to risk management, such as regulations and relevant laws, operational risk management, and fraud prevention. There are 185 employees in the training in 2019, 98% of the total staff. And in the future, the company has plans to put risk management as part of corporate values.

Security and privacy of customer data

Cyber-crime prevention

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

Key technology policy

1. IT Infrastructure & Security

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

2. Data Management & Data Privacy

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

3. Application Management & Application Security

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

4. IT Governance

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

5. IT Capability

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