



ASSURANCE STATEMENT

SGS HONG KONG LTD'S REPORT ON SUSTAINABILITY ACTIVITIES IN CITIC SECURITIES INTERNATIONAL'S SUSTAINABILITY REPORT 2021

NATURE OF THE ASSURANCE

SGS Hong Kong Limited (hereinafter referred to as SGS) was commissioned by CITIC Securities International Company Limited (hereinafter referred to as CSI) to conduct an independent assurance of its Sustainability Report 2021 (hereinafter referred to as the Report).

INTENDED USERS OF THIS ASSURANCE STATEMENT

This Assurance Statement is provided with the intention of informing all CSI's stakeholders.

RESPONSIBILITIES

The information in the Report and its presentation are the responsibilities of the directors, governing body and the management of CSI. SGS has not been involved in the preparation of any of the material included in the Report.

Our responsibility is to express an opinion on the text, data, graphs and statements within the scope of assurance with the intention to inform all CSI's stakeholders.

ASSURANCE STANDARDS, TYPE AND LEVEL OF ASSURANCE

The SGS ESG & Sustainability Report Assurance protocols used to conduct assurance are based upon internationally recognised assurance guidance and standards.

The assurance of this report has been conducted according to the following Assurance Standards:

Assurance Standard Options	Level of Assurance
AA1000ASv3 Type 1 (AA1000APS Evaluation only)	Moderate

SCOPE OF ASSURANCE AND REPORTING CRITERIA

The scope of the assurance included evaluation of quality, accuracy and reliability of specified performance information included the text and 2021 data in accompanying tables contained in the Report. Data and information of subsidiaries were included in this assurance process during the period from 1st January 2021 to 31st December 2021.

Reporting Criteria Options
Reference to the Global Reporting Initiative, GRI Standards (2016), Core option
AA1000 Accountability Principles Standard (2018)

ASSURANCE METHODOLOGY

The assurance comprised a combination of pre-assurance research, interviews, documentation and record review and validation with external bodies.

LIMITATIONS AND MITIGATION

Financial data drawn directly from independently audited financial accounts has not been checked back to source as part of this assurance process.

Some statements and information that were not identified as material issues were excluded from the scope of the assurance within the timescale allowed.

STATEMENT OF INDEPENDENCE AND COMPETENCE

The SGS Group of companies is the world leader in inspection, testing and verification, operating in more than 140 countries and providing services including management systems and service certification; quality, environmental, social and ethical auditing and training; environmental, social and sustainability report assurance. SGS affirm our independence from CSI, being free from bias and conflicts of interest with the organisation, its subsidiaries and stakeholders.

The assurance team was assembled based on their knowledge, experience and qualifications for this assignment, and comprised auditors registered with IRCA EMS Principal Auditor, auditor of ISO 37001, ISO 26000 & ISO 45001 and nominated tutor of GRI Standards.

ASSURANCE OPINION

On the basis of the methodology described and the verification work performed, we are satisfied that the specified performance information included in the scope of assurance is accurate, reliable, has been fairly stated and has been prepared, in all material respects, in accordance with the reporting criteria.

QUALITY AND RELIABILITY OF SPECIFIED PERFORMANCE INFORMATION

CSI has developed measuring tools to record all the required data.

The quality of the information disclosed in the Report was found to be satisfactory. The data were accurate and reliable.

ADHERENCE TO AA1000 ACCOUNTABILITY PRINCIPLES STANDARD (2018)

INCLUSIVITY: Stakeholder engagement has been completed.

MATERIALITY: Referring to the stakeholder engagement and materiality assessment, material topics were prioritised and confirmed.

RESPONSIVENESS: CSI took actions to address these material topics in a timely manner.

IMPACT: The impacts that CSI caused and contributed to were clearly explained.

Signed:

For and on behalf of SGS Hong Kong Limited



Miranda Kwan
Director
Knowledge Solutions
14 September 2022
WW.SGS.COM



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Licensed Report
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