



# Report from The Board of Examiners

(Special Award for SMEs)

## 評審委員會報告

(中小型企業特別獎)



Chief Holdings (H.K.) Limited (Chief Holdings) is a local financial service provider. It provides trading services for HK & US stocks and local & global futures and options products. The services are delivered through channels such as telephone hotline, on-line system and a network of 20 branches distributed over the territory. Its key customers are local-based retail clients.

### Leadership

Leaders of Chief Holdings proactively communicate the Vision-Mission-Values (VMV) via various channels to its staff members and stakeholders. It has evaluated the challenges and identified reliability and integrity as key considerations for investors seeking a reputable securities partner. Accordingly, it targets to offer comprehensive financial service with professionalism and competitive pricing for its customers.

For corporate governance, it operates the Daily Audit System to audit the customer's assets held by Chief Holdings on daily basis. In addition, it maintains 40 Compliance Manuals on various aspects of its operation.

On social responsibility, Chief Holdings has organized a volunteer team to assist the needed and made donations locally and in the Mainland for various projects to help the needy. It has been awarded the "Caring Company" logo by the HK Council of Social Services since 2008.

### Strategic Planning

Chief Holdings has clearly identified its market position and established a systematic strategic planning and deployment process for short and medium term planning to achieve its long term goal. Corporate strategies are set by the Management Board with representatives from various departments. The plans are regularly reviewed to validate the outcomes and to meet environmental changes. Key measurements are set on a balanced approach covering quality, financial, growth, human resources and social responsibility.

致富集團（香港）有限公司（致富）是一間本地金融服務公司，主要提供香港、美國股票和本地及全球期貨、期權產品買賣服務。公司通過各種管道提供服務，包括熱線電話、網上系統和遍佈香港的二十家分店。客戶對象是本地散戶。

### 領導才能

領導層積極通過各種渠道，向員工及持份者傳遞公司的願景、使命和價值觀。總結各式各樣的挑戰，領導層清楚知道投資者要求的理想證券商，必須可靠和有誠信。基於此，致富提供全面、專業和價格具競爭力的金融服務。

在企業管治方面，致富的「日常審計系統」每天都對客戶的資產進行審計；四十本運作指南規範公司各方面的營運。

社會責任方面，致富成立一支志願小組，幫助有需要人士，並捐助香港及中國大陸不同服務專案。自二零零八年起獲香港社會服務聯會頒發「商界展關懷」榮譽標誌。

### 策略性規劃

致富市場定位明確，中、短期規劃和實施流程制度化，實現長遠目標可期。公司整體策略由各部門代表組成的管理委員會制定，定期檢討，核實成效，靈活應对外部環境變化。主要衡量標準全面，包括品質、財務、增長、人力資源和社會責任各方面。

### 客戶焦點

除每兩年一次的客戶滿意度調查外，致富還通過各種不同渠道搜集客戶的意見、投



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### Customer Focus

Other than the biennial customer satisfaction survey, Chief Holdings collects customer's opinions, complaints and suggestions through various channels. It also engages an independent agent to conduct mystery client visit for its branches to identify areas for improvement. Furthermore, it joins various local professional associations in order to acquire and share best customer service practices. Upon receipt of customer feedback, it reviews its operations and roll out improvement measures, such as that for on-line pre-registration for account opening to shorten the time taken in the process.

### Measurement, Analysis, and Knowledge Management

Chief Holdings has established various Key Performance Indicators (KPIs) to measure its performance and for fact-based decision. Internal service quality audit is also conducted to monitor service standard. Leaders are required under the Performance Management System to set their annual business goals to ensure effective cascading of the goals to the line. For knowledge sharing, best practice sharing session is held regularly and the company's IT system provides the required facilitation to store and share company-wide knowledge.

### Workforce Focus

For human resources development, Chief Holdings has established reference training hours standard for different positions. Under the Performance Management System, staff members are assessed twice a year on identified core competence. High performers are distinguished for further development, and matching career development programme is offered to them.

Chief Holdings also energizes its staff and promotes teamwork through the "Company is my home family" concept. Different cross-functional taskforces are set up. Interest clubs are established to promote "work-life balance". Staff are also motivated with various compensation packages with fringe benefit and volunteering leave.

訴和建議。公司另專門聘請神秘顧客，暗訪分店情況，發掘進一步改善空間。為掌握客戶服務的最佳實踐模式，致富加入各種專業協會及團體。在客戶回饋的基礎上，致富審視公司營運狀況，制定改進措施，例如：設立網絡預先註冊帳戶，縮短開設帳戶過程。

### 評估、分析和知識管理

致富設定各種關鍵績效指標，既可以衡量業績，也可以客觀地作決策。內部服務品質審查則監測服務水準。績效管理體系要求領導人員設定自己的年度業務目標，然後向下傳達至各個層級。公司定期舉辦經驗分享會，資訊技術系統支援公司整體知識的儲存和共用。

### 工作團隊焦點

人力資源發展方面，致富為不同職位的員工設定培訓時間參考標準。根據績效管理系統的要求，每年對員工進行兩次評估，考察其指定的核心能力。高績效員工可獲進一步培育，參與配合其事業發展的培訓項目。

致富推動「公司是我家」理念，鼓舞員工，促進團隊合作；設立不同跨部門專責小組；成立興趣小組平衡員工的工作與生活，以及激勵員工的額外福利和志願假期薪酬制度。

### 營運焦點

致富的關鍵工作系統和流程，目的是為客戶提供快速、準確、可靠的投資服務。這些系統和流程包括外部服務提供和內部流程支援。績效評估有需要時會採用審計模式。一切涉及監管、品質控制、風險管理



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### Operations Focus

Chief Holdings has identified its key work systems and work processes that are instrumental to achieve the goal of providing customers with fast, accurate and reliable investment service. The operational requirements of such systems and processes are defined and they cover both external service delivery and internal support processes. The outcomes are measured, with audits introduced as necessary. Compliance, quality control, risk management and contingency plans are in place.

### Results

Chief Holdings has demonstrated rising trends in recent years. The number of clients and business volume have increased. Its product and service offering and effort in governance have been recognized. The results of mystery shopper audit are also on the rising trend. The outcome of its staff satisfaction survey is above the norm among the local enterprises. Staff training hours have also doubled in the past 3 years. It was awarded the “Service Quality Management” certificate by the HKQAA in 2012.

和應急等計畫均已落實。

### 業績

致富近年業績一直保持上升，客戶人數和業務量均有所增長。其產品和服務，以及在公司管治方面的努力獲得認可。神秘顧客評核表現理想。員工滿意度調查結果高於本地標準水平。過去三年，員工的培訓時增加一倍。公司在二零一二年更獲香港品質保證局頒發「服務管理評審」認證。