

**Astrum Financial Holdings Limited**  
**阿仕特朗金融控股有限公司**  
*(Incorporated in the Cayman Islands with limited liability)*  
(Stock Code: 8333)  
(the “**Company**”)

**Shareholders Communication Policy**

**1. Purpose**

- 1.1 This Policy aims to set out the provisions with the objective of ensuring that the Company’s shareholders, both individual and institutional (collectively, the “**Shareholders**”), and, in appropriate circumstances, the investment community at large, are provided with ready, equal and timely access to balanced and understandable information about the Company (including its financial performance, strategic goals and plans, material developments, governance and risk profile), in order to enable Shareholders to exercise their rights in an informed manner, and to allow Shareholders and the investment community to engage actively with the Company.
- 1.2 For the purpose of this Policy, references to the investment community is intended to include the Company’s potential investors as well as analysts reporting and analysing the Company’s performance.

**2 General Policy**

- 2.1 The board (the “**Board**”) of directors (the “**Directors**”) shall maintain an on-going dialogue with Shareholders and the investment community and is aimed at establishing a two-way relationship and communication between the Company and its Shareholders, and will review this Policy on an annual basis to ensure its effectiveness.
- 2.2 Information shall be communicated to Shareholders and the investment community mainly through the Company’s financial reports (including (a) quarterly reports, if prepared for publication, (b) interim reports and (c) annual reports), annual general meetings and other general meetings that may be convened, as well as by making available all the disclosures submitted to The Stock Exchange of Hong Kong Limited (the “**Stock Exchange**”) and its corporate communications and other corporate publications on the Company’s website.
- 2.3 Effective and timely dissemination of information to Shareholders and the investment community shall be ensured at all times.

- 2.4 Shareholders and the investing community may direct questions (including any question on this Policy), request for publicly available information and provide comments and suggestions to Directors or management of the Company at any time. Such questions, requests and comments can be addressed to the Company Secretary by mail to Room 2704, 27/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Hong Kong, or by email to [info@astrum-capital.com](mailto:info@astrum-capital.com).

### **3 Communication Strategies**

#### **Shareholders' enquiries**

- 3.1 Shareholders should direct their questions about their shareholdings to the Company's branch share registrar and transfer office in Hong Kong.
- 3.2 Shareholders and the investment community may at any time make a request for the Company's information to the extent such information is publicly available.
- 3.3 Shareholders and the investment community shall be provided with designated contacts, email addresses and enquiry lines of the Company in order to enable them to make any query in respect of the Company.

#### **Corporate Communications\***

- 3.4 Corporate communications will be provided to Shareholders in plain language and in both English and Chinese versions to facilitate Shareholders' understanding.

#### **Corporate Website**

- 3.5 A dedicated "Investor Relations" section is available on the Company's website ([www.astrum-capital.com](http://www.astrum-capital.com)). Information on the Company's website is updated on a regular basis.
- 3.6 Information released by the Company to the Stock Exchange is also posted on the Company's website immediately thereafter. Such information includes financial statements, results announcements, circulars and notices of general meetings and associated explanatory documents etc.
- 3.7 All presentation materials provided in conjunction with the Company's annual general meeting and results announcement each year will be made available on the Company's website as soon as practicable after their release.

- 3.8 All press releases and newsletters etc. issued by the Company or its subsidiaries will be made available on the Company's website.

### **Shareholders' Meetings**

- 3.9 Shareholders are encouraged to participate in general meetings or to appoint proxies to attend and vote at meetings for and on their behalf if they are unable to attend the meetings.
- 3.10 Appropriate arrangements for the annual general meetings shall be in place to encourage Shareholders' participation.
- 3.11 The process of the Company's general meeting will be monitored and reviewed on a regular basis, and, if necessary, changes will be made to ensure that Shareholders' needs are best served.
- 3.12 Board members, in particular, either the chairmen of Board committees or their delegates, appropriate management executives and external auditors will attend annual general meetings to answer Shareholders' questions.
- 3.13 Shareholders are encouraged to attend shareholders' activities organised by the Company, where information about the Company, including its latest strategic plan, products and services etc. will be communicated.

### **Investment Market Communications**

- 3.14 Investor/analysts briefings and one-on-one meetings, roadshows (both domestic and international), media interviews, marketing activities for investors and specialist industry forums etc. will be available on a regular basis in order to facilitate communication between the Company, Shareholders and the investment community.
- 3.15 The Directors and employees of the Company who have contacts or dialogues with investors, analysts, media or other interested outside parties are required to comply with the disclosure obligations and requirements under the applicable laws and regulation, including the Rules Governing the Listing of Securities on the GEM of the Stock Exchange.

### **4 Shareholder Privacy**

- 4.1 The Company recognises the importance of Shareholders' privacy and will not disclose Shareholders' information without their consent, unless required by law to do so.

- \* *Corporate Communications include any document(s) issued or to be issued by the Company for the information or action of holders of any of its securities or the investing public, including but not limited to (a) the directors' report and its annual accounts together with a copy of the auditors' report and, where applicable, its summary financial report; (b) the interim report and, where applicable, its summary interim report; (c) the quarterly report, if any; (d) a notice of meeting; (e) a listing document; (f) a circular; and (g) a proxy form.*

*(Adopted by the Company pursuant to the Board's resolutions passed on 13 July 2016 and amended and adopted by the Company pursuant to the Board's resolutions passed on 14 October 2022 and 5 March 2024)*