

Company: Cathay Securities Corporation
Company Description: Cathay Securities Corporation is a financial services and investment firm that provides private and institutional brokerage and investment banking to individual and institutional clients. The management team will provide customers with professional and reliable securities services based on the concept of sustainable operation and protection of customers' rights and interests.
Nomination Category: Sustainability Categories
Nomination Sub Category: Sustainability Service of the Year - in Asia (China, Japan and Korea)
Nomination Title: Pioneering ESG Tokenization: A New Capital Model for Sustainability



1. Which will you submit for your nomination in this category, a video of up to five (5) minutes in length about the achievements of the nominated organization since 1 January 2023, OR written answers to the questions for this category? (Choose one):

Written answers to the questions

2. If you are submitting a video of up to five (5) minutes in length, provide the URL of the nominated video here, OR attach it to your entry via the "Add Attachments, Videos, or Links to This Entry" link above, through which you may also upload a copy of your video.
3. If you are providing written answers for your submission, you must provide an answer to this first question: Briefly describe the nominated organization: its history and past performance (up to 200 words):

Total 12 words used.

Cathay Securities, established on **August 13, 2004**, is a core member of **Cathay Financial Holdings** and a leading innovator in Taiwan's financial sector. In response to digital transformation and product diversification, Cathay Securities is evolving beyond traditional brokerage services, focusing on **derivative product development, investment transactions, and risk management**, while **advancing the group's long-term sustainability strategy**.

Its **Digital Asset Department** spearheads Web3 initiatives, focusing on Security Token Offerings (STO), Real-World Asset (RWA) tokenization, and virtual asset custody. In 2023, Cathay Securities became **Taiwan's first securities firm approved by the FSC** to offer STO services — a landmark achievement reflecting its foresight and execution capability in digital finance.

The team developed **Taiwan's first STO management platform**, bridging Web3 and traditional finance while promoting **ESG-aligned fundraising** for unlisted enterprises in sectors such as **green energy, carbon reduction, and resource management**.

Cathay's innovative product design **combines stable returns with ESG empowerment**, granting investors both financial yield and exclusive sustainability-related engagement rights. This pioneering approach not only deepens the issuer-investor relationship but also showcases **how finance can drive ESG goals**.

4. If you are providing written answers for your submission, you must provide an answer to this second question: Outline the organization's achievements since the beginning of 2023 that you wish to bring to the judges' attention (up to 250 words):

Total 33 words used.

In 2023, Cathay Securities launched **Taiwan's first sustainability-linked STO** — the Sunshine Green Benefit STO — a debt-based token tailored for **renewable energy and environmental sectors**.

- The product **swiftly reached the NT\$30 million fundraising cap**
- Drew **widespread media attention**, both locally and internationally
- Attracted **institutional investors** such as **MiTAC Computing Technology (TWSE: 3706)**

This strong response reflects a **growing market demand** for financial products that align with **sustainability goals**.

Guided by its mission of “**capital for sustainability**”, Cathay's Digital Asset Department integrates Security Token Offerings (STO) with RWA tokenization and Web3 to reshape ESG financing.

Since 2023, the team has:

- **Evaluated and supported over 20 ESG-focused startups and SMEs**
- Provided **end-to-end fundraising services** through its in-house STO Management Platform
- Enabled **lower-cost, transparent, and efficient capital access** for mission-driven enterprises

Cathay's STOs go beyond yield — investors gain **exclusive ESG engagement rights**, fostering deeper bonds with issuers and projects. This **dual-value model** blends financial returns with participatory sustainability, turning both investors and enterprises into active contributors to the **green economy and low-carbon transition**.

These achievements demonstrate Cathay Securities' **trailblazing role in sustainable finance**, leveraging innovation to unlock real-world impact.

5. If you are providing written answers for your submission, you must provide an answer to this third question: Explain why the achievements you have highlighted are unique or significant. If possible compare the achievements to the performance of other players in your industry and/or to the organization's past performance (up to 250 words):

Total 38 words used.

ESG-focused startups and SMEs often face capital access barriers — limited financing options, equity dilution, and short-term repayment pressures. Cathay Securities' STO Management Platform introduces an **innovative ESG finance model**, combining blockchain technology with **mission-aligned token design** to unlock capital for sustainability.

Cathay Securities' **STO Management Platform** introduces an **innovative ESG finance model**, combining **blockchain technology** with **mission-aligned token design** to unlock capital for sustainability.

Unlike traditional fundraising methods, **Cathay's STOs offer**:

- **Non-dilutive funding**, allowing ESG enterprises to raise capital without losing ownership or control — essential for preserving long-term environmental and social missions
- **Longer maturity structures**, reducing short-term cash flow pressure and enabling reinvestment into green infrastructure and operations

Most notably, Cathay pioneers **ESG empowerment mechanisms** rarely seen in traditional finance:

- Investors receive not only financial yield, but also **exclusive sustainability-linked rights** (e.g., **green electricity procurement priority**)
- This creates **deep engagement between capital and impact**, aligning investor incentives with long-term ESG outcomes
- The platform serves as a **curated ESG capital matchmaking system**, connecting **impact-driven SMEs** with **mission-aligned investors** to maximize capital efficiency

In conclusion, Cathay is Taiwan's first FSC-licensed securities firm to launch the STO targeting ESG sectors. With over 20 green startups and SMEs supported and NT\$30 million raised, it leads the region in applying **blockchain to ESG capital markets**.

This business model not only addresses funding gaps, but redefines how capital can **actively accelerate the low-carbon transition**, positioning Cathay as a trailblazer in **sustainable digital finance**.

6. You have the option to answer this final question: Reference any attachments of supporting materials throughout this nomination and how they provide evidence of the claims you have made in this nomination (up to 250 words):

Total 21 words used.

To complement this nomination, we have included two attachments: a **Product Presentation** and a **Supporting Materials Deck**.

The **Product Presentation** outlines how Cathay Securities' STO Management Platform was designed to address the financing barriers faced by ESG-focused SMEs — such as equity dilution, short-term repayment pressure, and access to capital markets. It showcases how the platform **integrates blockchain with ESG empowerment**, enabling investors to support green enterprises while gaining participatory rights — a **sustainability-first approach** rare in traditional finance.

The **Supporting Materials Deck** demonstrates real-world impact through market performance and public recognition. It includes widespread media coverage following the launch of Taiwan's first sustainability-linked STO, which reached the NT\$30M cap within weeks. The deck also documents institutional investor participation, reinforcing the platform's credibility and its ability to channel capital toward meaningful ESG projects.

These materials clearly reflect the platform's alignment with sustainable development goals, its service to underserved green-sector businesses, and its role in creating a **financial model where capital actively supports the transition to a low-carbon economy** — the essence of an award-winning sustainability service.

Attachments/Videos/Links:

[Pioneering ESG Tokenization: A New Capital Model for Sustainability](#)

[REDACTED FOR PUBLICATION]